

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment) Federal Labor Relations Authority	
2. MAJOR SUBDIVISION Office of the Inspector General	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Wesley Allen	5. TELEPHONE (202)482-6680 x219

LEAVE BLANK (NARA use only)	
JOB NUMBER N1-480-01-1	
DATE RECEIVED 10/20/00	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE 4-4-01	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

6. AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 27 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE 10/17/2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>John L. M. Duane</i>	TITLE Director, ASD
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Sec attached.		

*SA 4/9/01 Ag, NR, NUMD, NUMCW*

## Records of the Office of Inspector General

The Office of the Inspector General (OIG) is responsible for providing the Federal Labor Relations Authority leadership with an independent and objective assessment of the organization's efficiency and effectiveness. This office uses evaluations, internal reviews, and the more traditional assessment tools of audits (i.e. inspections and investigations), in order to maximize the oversight and strengthen system and process controls, so that Government integrity is maximized and occurrences of fraud, waste, abuse and mismanagement are minimized.

The records of the Office of Inspector General can be grouped into the major categories as follows:

1. Investigation Case Files;
2. Audit Case Files;
3. Internal Review Case Files;
4. Semi-Annual Reports;
5. Subject Files; and
6. Case Tracking System

### 1. Investigation Case Files

These case files contain various documents created by the Inspector General in the process of resolving allegations. The information relates to investigations conducted as a result of complaints issued to the Inspector General, either through the FLRA Hotline or by being reported directly to the Inspector General. The files contain information, such as requests, charges, and testimony, with related back-up documents, copies of acknowledgment letters, copies of minutes, final decisions, and similar related records. These cases involve either theft, fraud, waste, abuse, mismanagement, or preliminary criminal investigations. The Privacy Act System Notice FLRA/OIG-1 governs access to these records.

- a. Substantiated investigation case files meeting one or more of the following criteria: 1) cases involving senior agency personnel such as the Chair, the Members; Chief Counsels; the General Counsel; the Chief Administrative Law Judge; the Solicitor; the Executive Director; the Executive Director of the Federal Service Impasses Panel; or, other senior officials at the Division-level or above who are either appointed officers or career employees; 2) cases resulting in extensive media coverage, either nationally or regionally; 3) cases resulting in further investigation by Congress; 4) cases involving substantial amounts of money (over \$5,000); or, 5) cases resulting in substantive changes in FLRA policies and procedures.

**Permanent.** Cut off closed cases at the end of each fiscal year. Transfer to the Washington National Records Center (WNRC) 5 years after cutoff. Transfer to the National Archives 20 years after cutoff.

- b. All other investigation case files. Cut off closed cases at the end of each fiscal year. Transfer to WNRC 5 years after cutoff. Destroy 10 years after cutoff.
- c. Electronic mail and word processing records

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate recordkeeping copies of records. These also include copies of records created by electronic mail and word processing systems that are maintained for dissemination, revision, or updating.

(1) Copies of records covered by item 1. that have no further administrative value after recordkeeping copies have been made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copies.

Destroy/delete within 1 year after recordkeeping copies have been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to recordkeeping copies.

Destroy/delete when dissemination, revision, or updating is completed.

## 2. Audit Case Files

These are reports, memoranda, and other papers documenting audits conducted within the Federal Labor Relations Authority to promote economy, efficiency, and effectiveness in agency programs and operations.

- a. Final reports of audits meeting one or more the following criteria: 1) cases resulting in further investigation by Congress; 2) cases involving substantial amounts of money (over \$5,000); or, 3) cases resulting in substantive changes in FLRA policies and procedures.

- 1. Record set (one copy) of each audit report meeting the criteria listed

above. **Permanent.** Cut off at the end of each fiscal year. Transfer to the National Archives in 10-year blocks when the most recent record is 1 year old (e.g., transfer FY1991 through FY2000 reports in 2002).

2. All other audit reports. Destroy with the case to which they relate.
3. Audit case files. Cut off closed cases at the end of each fiscal year. Transfer to WNRC 5 years after cutoff. Destroy 10 years after cutoff.

b. **Electronic mail and word processing records**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate recordkeeping copies of records. These also include copies of records created by electronic mail and word processing systems that are maintained for dissemination, revision, or updating.

(1) Copies of records covered by item 2. that have no further administrative value after recordkeeping copies have been made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copies.

Destroy/delete within 1 year after the recordkeeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to recordkeeping copies.

Destroy/delete when dissemination, revision, or updating is completed.

3. **Internal Review Case Files**

These are reports, memoranda, and other papers documenting internal reviews conducted within the Federal Labor Relations Authority to address efficiency and effectiveness in agency programs and operations.

- a. Final reports of internal reviews meeting the following criterion: cases resulting in substantive changes in FLRA policies and procedures.
  1. Record set (one copy) of each internal review report meeting the

criterion listed above. **Permanent.** Cut off at the end of each fiscal year. Transfer to the National Archives in 10-year blocks when the most recent record is 1 year old (e.g., transfer FY1991 through FY2000 reports in 2002).

2. All other internal review reports. Destroy with the case to which they relate.
3. Internal review case files. Cut off closed cases at the end of each fiscal year. Transfer to WNRC 5 years after cutoff. Destroy 10 years after cutoff.

b. **Electronic mail and word processing records**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate recordkeeping copies of records. These also include copies of records created by electronic mail and word processing systems that are maintained for dissemination, revision, or updating.

(1) Copies of records covered by item 3. that have no further administrative value after recordkeeping copies have been made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copies.

Destroyed/delete within 1 year after the recordkeeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to recordkeeping copies.

Destroy/delete when dissemination, revision, or updating is completed.

4. **Semi-Annual Reports**

These reports are generated twice a year pursuant to Section 5 of the Inspector General Act. The purpose of these reports is to summarize the major activities and accomplishments of the Office of the Inspector General. The Semi-Annual report is submitted to Congress and the Chair of the Federal Labor Relations Authority.

- a. Record set (one copy) of each semi-annual report. **Permanent.** Cut off at

the end of each fiscal year. Transfer to the National Archives in 10-year blocks when the most recent record is 1 year old (e.g., transfer FY1991 through FY2000 reports in 2002).

- b. All other copies of the semi-annual report. Destroy in office space when no longer needed for current business or when 10 years old, whichever is sooner.
- c. Working papers accumulated in the preparation of the semi-annual report.  
  
Destroy when no longer needed for current business.

d. Electronic mail and word processing records

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate recordkeeping copies of records. These also include copies of records created by electronic mail and word processing systems that are maintained for dissemination, revision, or updating.

(1) Copies of records covered by item 4. that have no further administrative value after recordkeeping copies have been made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copies.

Destroy/delete within 1 year after the recordkeeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to recordkeeping copies.

Destroy/delete when dissemination, revision, or updating is completed.

5. a. Subject Files

These files consist of correspondence, reports, memoranda, regulations, evaluations, and similar records that pertain to policies, functions, program operations, and administration of the OIG.

These subject files include such topics as meeting minutes, PCIE/ECIE correspondence, FOIA files, general correspondence, procurement information, and

GAO regulations and correspondence.

Cut off closed files at the end of each fiscal year. Transfer to WNRC 5 years after cutoff. Destroy 10 years after cutoff.

b. Electronic mail and word processing records

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate recordkeeping copies of records. These also include copies of records created by electronic mail and word processing systems that are maintained for dissemination, revision, or updating.

(1) Copies of records covered by sub-item a. that have no further administrative value after recordkeeping copies have been made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copies.

Destroy/delete within 1 year after the recordkeeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to recordkeeping copies.

Destroy/delete when dissemination, revision, or updating is completed.

6. Case Tracking System

The Office of the Inspector General maintains this system that is comprised of two major components: 1) a register of current Hotline Investigations and 2) a register of current Corrective Actions. The application used is *Corel WordPerfect v.8*. The inputs are derived from records dealing with current investigations, audits, and internal reviews. Both elements of the system are included in the Inspector General's Semi-Annual Report to Congress.

- a. Inputs. Destroy/delete in accordance with instructions found elsewhere in this schedule.
- b. Data on electronic media. Destroy/delete when related case is destroyed or when no longer needed for current business.
- c. Outputs consisting of printed copies of the two major system components.

Destroy when no longer needed for current business, or when superseded or obsolete.

- d. System documentation. Destroy/delete when superseded or obsolete, or 1 year after the discontinuance of the system.