

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0297-2014-0016

Status: INACTIVE
Date Approved: 11/13/2014

General Information

Agency or Establishment	Library of Congress
Record/Scheduling Group	0297 - Records of the Library of Congress
Records Schedule Applies To	Agency-wide
Schedule Subject	Inspector General
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 3

Number of Permanent disposition items: 3

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 6

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Outline of Records Schedule Items for DAA-0297-2014-0016

Item #	Title	Disposition
0001	Audit Files : Final Reports : Final Reports from 1988 forward	Permanent
0002	Audit Files : Annual Audit Plans	Temporary
0003	Audit Files : Background Materials for Audit Files	Temporary
0004	Investigative Case Files : Significant Case Files	Permanent
0005	Investigative Case Files : All Other Case Files That Resulted in Investigation	Temporary
0006	Semiannual Reports to the Congress	Permanent

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Records Schedule Items

Group Title	Audit Files : Final Reports
DAA-0297-2014-0016-0001	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Final Reports from 1988 forward
Item Description	(2) Final Reports from 1988 forward.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	1801a2
Manual Title	Library of Congress Records Schedule (LRS)
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0297-2024-0013-0002 on 01/22/2025.	
Final Disposition	Permanent
Cutoff Instructions	Other: CUTOFF at end of fiscal year in which the reports are completed.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item subject to a FOIA exemption?	

Group Title	Audit Files
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Group Description	Audit files for audits and evaluations that assist management in resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Audit files also include external audits of contractors, grantees and audit peer review files, which document the conduct of peer reviews of the audit units in other Inspector General Offices by the Library's Office of Inspector General, or of the Library's OIG audit units by an external OIG.
STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Annual Audit Plans
Item Description	b. Annual Audit Plans
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	1801b
Manual Title	Library of Congress Records Schedule (LRS)
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0297-2024-0013-0003 on 01/22/2025.	
Final Disposition	Temporary
Cutoff Instructions	Other: CUTOFF at end of fiscal year in which the plan is written.
Retention Period	Destroy 10 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Background Materials for Audit Files

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Item Description	c. Records created or acquired during the course of the audit and the development of the final report. Includes correspondence; notes; attachments; evidence; working papers; preliminary, final and follow-up reports; recommendations, etc. Arranged numerically by project number.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	1801c
Manual Title	Library of Congress Records Schedule (LRS)
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0297-2024-0013-0004 on 01/22/2025.	
Final Disposition	Temporary
Cutoff Instructions	Other: CUTOFF at end of fiscal year in which the related audit or evaluation is completed.
Retention Period	Destroy 10 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Investigative Case Files
Group Description	Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency personnel, programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as evidence, correspondence, notes, attachments, and background and working files. This includes investigative files relating to employee and hotline complaints and other miscellaneous complaint files.

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DAA-0297-2014-0016-0004	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Significant Case Files
Item Description	a. Case files of significant value because the case: 1) attracts national media attention; 2) results in a Congressional investigation; 3) results in substantive changes to Library policies and procedures; or 4) involves senior Library officials. Significant cases will be selected by the Library of Congress, Office of the Inspector General, based on the criteria listed in this item.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	1802a
Manual Title	Library of Congress Records Schedule (LRS)
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
Supersedes N1-297-01-1, Item 2a	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0297-2024-0013-0005 on 01/22/2025.	
Final Disposition	Permanent
Cutoff Instructions	Other: CUTOFF at end of fiscal year in which case file is closed.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item subject to a FOIA exemption?	
DAA-0297-2014-0016-0005	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	

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Item Title	All Other Case Files That Resulted in Investigation	
Item Description	b. Files containing information or allegations which relate to closed investigations not included in Item 1802a.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	1802b	
Manual Title	Library of Congress Records Schedule (LRS)	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
Supersedes N1-297-01-1, Item 2a	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0297-2024-0013-0006 on 01/22/2025.		
Final Disposition	Temporary	
Cutoff Instructions	Other: CUTOFF at end of fiscal year in which case file is closed.	
Retention Period	Destroy 5 year(s) after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0297-2014-0016-0006	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Semiannual Reports to the Congress
Item Description	OIG prepares a semiannual report no later than April 30 and October 31 of each year summarizing the activities of the OIG during the immediately preceding six-month periods ending March 31 and September 30. The Librarian is given an opportunity to comment on the report before it is printed by OIG and distributed to Congress by May 30 and November 30.
Is this item media neutral?	Yes

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Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	1803
Manual Title	Library of Congress Records Schedule (LRS)
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0297-2024-0013-0008 on 01/22/2025.	
Final Disposition	Permanent
Cutoff Instructions	Other: CUTOFF 3 years after publication.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: TRANSFER to NARA in 5-year blocks 15 years after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item subject to a FOIA exemption?	

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Signatory Information

Action	User	Date
Approve	David Ferriero	11/13/2014