

June 30, 2003

Ms. Teresa M. Frye  
Department of Agriculture  
Food and Nutrition Service  
3101 Park Center Drive  
ITD, ISB, Room 332  
Alexandria, VA 22302

Dear Ms. Frye:

As a result of our telephone conversation on June 24, 2003, we are withdrawing and returning without action Job No. N1-462-02-2 for your Inspector General (IG) Investigative, Audit, and Evaluation Case Files. After carefully reviewing Job No. N1-462-02-2, it was decided the Department of Agriculture department-wide IG schedule N1-016-00-3, properly schedules the Food and Nutrition Service IG records.

If you have any questions, please call Kitty Carter on 301-837-1582.

Sincerely,

**NINA FREDERICK**  
Work Group 4  
Life Cycle Management Division

Enclosure

cc:

Official file - NWML  
Day file - NWML  
N1-462-02-2

Kc/sg/06/30/2003

File: 1301-1A – Department of Agriculture

Doc: s:\fryeN1-462-02-2wdltr.doc

Kc/sg/06/30/03

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-462-02-2</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>02/21/2002</i>	
1. FROM (Agency or establishment) Department of Agriculture		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Food and Nutrition Service		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Teresa Frye	4. TELEPHONE NUMBER (703) 305-1629	DATE	ARCHIVIST OF THE UNITED STATES <b>WITHDRAWN</b>
<p>5. AGENCY CERTIFICATION</p> <p>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 <u>4</u> page(s) are not needed now for the business for 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,</p> <p><input checked="" type="checkbox"/> is not required      <input type="checkbox"/> is attached; or      <input type="checkbox"/> has been requested.</p>			
DATE <i>02-13-2002</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Teresa M. Frye</i>		TITLE Records Management Specialist
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>The Office of Inspector General (OIG) files include records of audits and investigations conducted by the USDA OIG office. USDA Agencies maintain other related OIG records created in addition to and resulting from the investigations and audits conducted by the USDA OIG office.</p> <p>This disposal schedule covers records of the Department of Agriculture, Food and Nutrition Service (FNS) and Center for Nutrition Policy and Promotion (CNPP) and pertains to Office of Inspector General (OIG) Investigative Case Files, Audit and Evaluation Case Files, and Inspection Files. These records consist of paper hard copy, electronic, and other media filed within FNS/CNPP offices. This schedule supersedes GRS22 that withdrawn by the National Archives and Records Administration</p> <p><u>Inspector General Investigative Case Files</u> All investigation case files are arranged by alphabetical headquarters and regional designations and there under by case numbers. Case files are developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency 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 correspondence, notes, attachments, and background and working files. This includes investigative files relating to employee and hotline complaints.</p>	<i>New Sheets attached.</i> 	<b>WITHDRAWN</b>

*approved by Records Officer via e-mail on January 27, 2003.*

	<p>a. <del>Significant cases that attract national media attention</del> resulting from Office of Inspector General investigations of alleged fraud, abuse, and irregularities and violations of laws and regulations; or result in a congressional investigation and/or substantive changes in agency policies and procedures.</p> <p>PERMANENT: Cut off closed files annually. Transfer to the National Archives 5 years after cutoff.</p> <p>b. All other investigative case files containing information or allegations which warrant a specific investigation and may result in prosecutive action.</p> <ol style="list-style-type: none"> <li>1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 10 years after cutoff.</li> <li>2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 10 years after cutoff.</li> </ol> <p>c. All other investigative case files containing information or allegations which warrant a specific investigation and may result in administrative action.</p> <ol style="list-style-type: none"> <li>1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 10 years after cutoff.</li> <li>2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 10 years after cutoff.</li> </ol> <p>d. All other investigative case files containing information or allegations which warrant a specific investigation but result in no prosecutive or administrative action.</p> <ol style="list-style-type: none"> <li>1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 5 years after cutoff.</li> <li>2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 5 years after cutoff.</li> </ol> <p>e. Files containing information or allegations which did not warrant a specific investigation. They include anonymous or vague allegations, matters referred to constituents or other agencies for handling, and support files providing general information.</p> <ol style="list-style-type: none"> <li>1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 5 years after cutoff.</li> <li>2. All other staff offices. Cut off files upon close of case. Destroy 5 years after cutoff.</li> </ol>		
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f. 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 a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.

1. Copies of records covered by sub-items 1a - 1e that have no further administrative value after the recordkeeping copy is 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 the recordkeeping copy.

TEMPORARY: Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.

TEMPORARY: Destroy/delete when disseminating, revising, or updating is completed.

#### Inspector General Audit and Evaluation Case Files

a. Audits that have historical value with respect to the agency's programs and operations or include a highly specialized audit function and the report documents the effectiveness of the agency's programs and operations to the degree that the report should be permanently preserved while disposing of the remaining records as well as working files.

1. Record copy of final reports (Office of Inspector General).

PERMANENT: Cut off at the end of the fiscal year in which issued. Transfer to the National Archives when the most recent report is 5 years old.

2. Other records created or acquired during the course of the audit and the development of the final report, including notes and other working files.

TEMPORARY: Destroy 8 years after the end of the fiscal year in which the final evaluation report is closed.

b. Case files of audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.

1. ~~TEMPORARY: Office of Inspector General.~~  
Destroy 5 years after the end of the fiscal year in which the report is closed.

2. ~~TEMPORARY: All other staff offices. Destroy 5~~  
years after the end of the fiscal year in which the report is closed or when no longer needed whichever comes first.

c. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.

1. Copies of records covered by sub-items 2a and 2b that have no further administrative value after the recordkeeping copy is 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 procure the recordkeeping copy.

~~TEMPORARY: Destroy/delete within 180 days~~  
after the recordkeeping copy has been produced.

2. Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.

~~Destroy/delete within 180 days after the~~  
recordkeeping copy has been produced.

#### Inspector General Inspection Files

a. Case files for recurring OIG program evaluations that assist management in identifying, analyzing, and resolving internal OIG program and organization performance/policy issues, studies of specific concern, and internal operations study initiatives designed to achieve organizational implementation.

~~TEMPORARY: Destroy 5 years after the end of the~~  
fiscal year in which final evaluation report is issued.

b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.

	<p><del>1. Copies of records covered by sub-item 3a that have no further administrative value after the recordkeeping copy is 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 procure the recordkeeping copy.</del></p> <p>TEMPORARY: Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>2. Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.</p> <p>TEMPORARY: Destroy/delete when disseminating, revising, or updating is completed.</p>		
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## 1. Inspector General Investigative Case Files

All investigation case files are arranged by alphabetical headquarters and regional designations and thereunder by case numbers. Cases files are developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations, EXCLUDING those that results in national media attention, Congressional investigations, or substantive changes in agency policy or procedures. Cases relate to agency programs and operations administered or financed by the agency, including contractors and other having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files. This includes investigative files relating to employee and hotline complaints.

- a. Office of Inspector Investigative case files containing information or allegations, which warrant a specific investigation and may result in prosecutive action.
  1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 10 years after cut off.
  2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 10 years after cut off.

[NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures are not covered by this item. NARA will determine the disposition of significant investigative files. Such files must be scheduled by submitting a SF 115.]

- b. All other investigative case files containing information or allegations which warrant a special investigation and may result in prosecution action.
  1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 10 years after cut off.
  2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 10 years after cut off.
- c. All other investigative case files containing information or allegations which warrant a specific investigative but result in no prosecutive or administrative action.
  1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 5 years after cut off.
  2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 5 years after cut off.

- d. Files containing information or allegations which did not warrant a specific investigation. They include anonymous or vague allegations, matters referred to constituents or other agencies for handling, and support files providing general information.
  - 1. TEMPORARY: Office of Inspector General. Cut off files upon close of case. Destroy 5 years after cut off.
  - 2. TEMPORARY: All other staff offices. Cut off files upon close of case. Destroy 5 years after cut off.
- e. 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 a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.
  - 1. Copies of records covered by sub-items 1(a) and 1(d) that have no further administrative value after the recordkeeping copy is 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 the recordkeeping copy.

TEMPORARY: Destroy/delete within 180 days after the recordkeeping copy has been produced.
  - 2. Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.

TEMPORARY: Destroy/delete when disseminating, revising, or updating is completed.

2. Inspector General Audit and Evaluation Case Files

- a. Audits that have historical value with respect to the agency's programs and operations or include a highly specialized audit function. The report documents the effectiveness of the agency's program and operations while disposing of the remaining records as well as working files, EXCLUDED are those results in national media attention, Congressional investigations, or substantive changes in agency policy or procedures.
  - 1. Records created or acquired during the course of the audit and the development of the final report, including notes and other working files.

TEMPORARY: Destroy 8 years after the end of the fiscal year in which the final evaluation report is closed.

[NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures are not covered by this item. NARA will determine the disposition of significant audit and evaluation case files. Such files must be scheduled by submitting a SF 115].

- b. Case files of audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.
  - 1. TEMPORARY: Office of Inspector General. Destroy 5 years after the end of the fiscal year in which the report is closed.
  - 2. TEMPORARY: All other staff offices. Destroy 5 years after the end of the fiscal year in which the report is closed or when no longer needed whichever comes first.
- c. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing system that are maintained for updating, revising, or disseminating.

- 1. Copies of records covered by sub-items 2a and 2b that have no further administrative value after the recordkeeping copy is 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 procure the recordkeeping copy.

TEMPORARY: Destroy/delete within 180 days after the recordkeeping copy has been produced.

- 2. Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy

TEMPORARY: Destroy/delete when disseminating, revising, or updating is completed.

### 3. Inspector General Inspection Files

- a. Case files for recurring OIG program evaluations that assist management in identifying, analyzing, and resolving internal OIG program and organization performance/policy issues, studies of specific concern, and internal operations study initiative designed to achieve organizational implementation.

TEMPORARY: Destroy 5 years after the end of the end of the fiscal year in which the final evaluation report is issued.

- b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.

1. Copies of records covered by sub-item 3a that have no further administrative value after the recordkeeping copy is 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 procure the recordkeeping copy.

TEMPORARY: Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for disseminating, revising, or updating that are maintained in addition to recordkeeping copy.

TEMPORARY: Destroy/delete when disseminating, revising, or updating is completed.