

Request for Records Disposition Authority

Records Schedule Number	DAA-0441-2021-0001
Schedule Status	Approved
Agency or Establishment	Department of Education
Record Group / Scheduling Group	General Records of the Department of Education
Records Schedule applies to	Major Subdivision
Major Subdivision	Office of Inspector General
Schedule Subject	Office of Inspector General Simplified Records Schedule
Internal agency concurrences will be provided	No

Background Information

The Department of Education Office of Inspector General (OIG) Simplified Records Schedule covers all program, operations, and administrative records created by the OIG that are not covered by a General Records Schedule (GRS). This schedule applies to all formats and media in which records are created and maintained at OIG and authorizes the disposition of records in any media. Specifically, this schedule covers audit, investigative, data and other records created by the OIG as well as those acquired by the OIG during business. OIG is responsible for conducting, controlling, and reviewing audits, investigations, analyses, and other appropriate reviews relating to the programs, operations, and activities of the Department, including Federal Student Aid (FSA). In this capacity, OIG provides leadership, coordination, and recommendations to improve performance (efficiency and effectiveness), and to detect or mitigate the risk of fraud, waste and abuse in the administration of programs, operations, and activities of the Department.

All investigations and audits are now managed electronically (since April 1, 2013) in case management systems. These systems (as well as successor systems) process complaints alleging fraud, waste, abuse, mismanagement, gross waste of funds, abuse of authority, or other violations of laws, rules, or regulations pertaining to Department employees, funds, programs, or operations. These complaints may be received by the OIG hotline, the FSA Feedback system, other government agencies, mail, or provided verbally to, and then documented by, an OIG employee. The complaint files may also contain related correspondence, such as referrals to Department components or other agencies and their responses. These systems also track administrative data for assignments by control numbers, conducted by or for Audit Services and Investigations. Input

and source records are managed under GRS 5.2 guidance for intermediary records.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	2	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0441-2021-0001

Sequence Number	
1	Inspector General Program Management, Policy, and Reporting Records Disposition Authority Number: DAA-0441-2021-0001-0001
2	Inspector General Program Management Drafts and Working Papers Disposition Authority Number: DAA-0441-2021-0001-0002
3	Case files of Major Audits and Investigations of the Office of Inspector General Records Disposition Authority Number: DAA-0441-2021-0001-0003
4	Non-major Audit and Inspection Case Files Disposition Authority Number: DAA-0441-2021-0001-0004
5	Quality Control Review of Non-Federal Audits Files Disposition Authority Number: DAA-0441-2021-0001-0005
6	Non-major Investigative Cases Disposition Authority Number: DAA-0441-2021-0001-0006
7	Complaints, Preliminary Inquiries, and Investigative Files Not Relating to a Specific Case Disposition Authority Number: DAA-0441-2021-0001-0007
8	Background and Working Papers Not Needed to Support Final Audit Reports or Investigations Disposition Authority Number: DAA-0441-2021-0001-0008

Records Schedule Items

Sequence Number					
1	<p data-bbox="345 380 1373 411">Inspector General Program Management, Policy, and Reporting Records</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0441-2021-0001-0001</p> <p data-bbox="345 485 1526 1020">The substantive records of official activities of the Inspector General (or first assistant serving as the Inspector General if there is a vacancy) as an individual that documents the policies and programs of Education OIG, including correspondence, memoranda, project files, subject files, studies, decisions, meeting minutes, speeches, public communications, briefing books, schedules of official activity, Congressional relations and testimony, and all external/public/ substantive reports, including the Semi-Annual Reports to Congress and the final reports for all audits. These records include records that originate with or are created and signed by the Inspector General (or first assistant if there is a vacancy); that include significant notes to the file made by the Inspector General (or first assistant if there is a vacancy); or that contain substantive information created or received related to official activities of the Inspector General (or first assistant if there is a vacancy). Excluded are the personal papers of the Inspector General (or first assistant if there is a vacancy).</p> <p data-bbox="345 1041 919 1073">Final Disposition Permanent</p> <p data-bbox="345 1094 849 1125">Item Status Active</p> <p data-bbox="345 1146 816 1178">Is this item media neutral? Yes</p> <p data-bbox="345 1199 805 1325">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <table border="1" data-bbox="345 1360 1526 1507"> <tr> <th data-bbox="345 1360 938 1413">Manual Citation</th><th data-bbox="946 1360 1526 1413">Manual Title</th></tr> <tr> <td data-bbox="345 1413 938 1507">VI.A. Inspector General Program Management and Reporting</td><td data-bbox="946 1413 1526 1507">DOED 21st Century Information Retention Policy</td></tr> </table> <p data-bbox="345 1539 1526 1955">GRS or Superseded Authority Citation N1-441-02-001-5-a: Record Copy of Congressional Reports N1-441-08-014-a: Calendars, Schedules and Logs of Daily Activities: Record Copy Maintained for Senior Officials (only applicable to the IG) N1-441-08-016-a: Policy and Guidance Documents: Record Copy (only applicable to records of the IG) N1-441-08-019-a: Significant Correspondence: Record Copy (only applicable to records of the IG) N1-441-08-017-a: Program Management files held by senior officials (only applicable to records of the</p>	Manual Citation	Manual Title	VI.A. Inspector General Program Management and Reporting	DOED 21st Century Information Retention Policy
Manual Citation	Manual Title				
VI.A. Inspector General Program Management and Reporting	DOED 21st Century Information Retention Policy				

Inspector General; this item for other offices will be superseded within a separate functional schedule)

Disposition Instruction

Cutoff Instruction

Cutoff annually or when incumbent leaves the position.

Transfer to the National Archives for Accessioning

Transfer analog paper records to FRC for storage immediately upon approval of this schedule. Transfer electronic records to the National Archives 15 years after cutoff.

Additional Information

First year of records accumulation 1978

What will be the date span of the initial transfer of records to the National Archives? From 1978 To 2006

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	151 MB	
Paper	17 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Inspector General Program Management Drafts and Working Papers

Disposition Authority Number DAA-0441-2021-0001-0002

OIG program management drafts and working papers include but are not limited to: * Drafts of speeches and working papers, including notes, created in relation to meeting files; * Working papers related to semiannual reports to Congress; and background materials, working papers, and drafts related to the creation of policy and guidance documents.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
VI.B. Inspector General Program Management Drafts and Working Papers	DOED 21st Century Information Retention Policy

GRS or Superseded Authority Citation

N1-441-02-001-5-b: Office of Inspector General: Semiannual Reports to Congress, Working Papers
N1-441-08-016-b: Policy and Guidance Documents: Background materials, working papers, and drafts (only applicable to records of the IG)
N1-441-08-017-b: Program Management files held by senior officials (only applicable to records of the Inspector General; this item for other offices will be superseded within a separate functional schedule)
N1-441-10-001-a-4: Office of Inspector General Management (OIG) Information System (MIS) master data files

Disposition Instruction

Cutoff Instruction Cutoff annually or when incumbent leaves the position.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval **Not Required**

Case files of Major Audits and Investigations of the Office of Inspector General Records

Disposition Authority Number **DAA-0441-2021-0001-0003**

All audits and investigation case files that attract national news media attention, results in Congressional investigation, or result in substantive changes to agency policies and procedures, or that involve the investigation of a high-level agency official. Cases have been created and managed electronically since April 2013. The Office of Investigations (IS) and Office of Audits (AS) include a field in the OIG Case Management System to indicate if a case is major (has received national news attention or fulfills the other stated criteria). The field is completed when the

investigation or audit is closed; management officials as well as the case agent or auditor in charge are involved in the determination; and the determination is used when AS and IS prepare records for archiving annually.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
VI.C. Case files of Major Audits and Investigations of the Office of Inspector General Records	DOED 21st Century Information Retention Policy

Disposition Instruction

Cutoff Instruction Cutoff 2 years after the investigative matter is closed, or 5 years after the audit is closed by the Department and no further actions are pending

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.

Additional Information

First year of records accumulation 2013

What will be the date span of the initial transfer of records to the National Archives? From 2013 To 2030

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	3 GB	
Paper		
Microform		

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Hardcopy or Analog Special Media		
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Non-major Audit and Inspection Case Files

Disposition Authority Number **DAA-0441-2021-0001-0004**

Files developed during formally approved audits conducted in accordance with the Government Accountability Office's Government Auditing Standards. These records provide the central source of information on work conducted by OIG staff or staff under contract for the OIG for the following: * Internal audits relating to the programs, operations, and activities of the Department of Education. * External audits relating to entities doing business with the Department of Education. Entities generally include, but are not limited to, contractors, grantees, lenders, guaranty agencies, state education agencies, local education agencies, schools, and other third parties having an interest in Department programs, operations, and activities. * Also includes files developed during formally approved alternative projects performed in accordance with the Council of the Inspectors General on Integrity and Efficiency's Quality Standards for Inspection and Evaluation. These records provide the central source of information on work conducted by OIG staff or staff under contract for the OIG generally pertaining to, but not limited to, alert memoranda, management information reports, and inspection reports. These projects and files may relate to the programs, operations, and activities of the Department of Education or entities doing business with the Department of Education. Inspections are efficient and independent assessments used to provide Department decision makers with a means to analyze programs quickly and to evaluate operational efficiency, effectiveness, and vulnerability. This work includes special reviews of sensitive issues that arise suddenly and congressional requests for studies that require immediate attention. Inspections are conducted for the purposes of providing timely information to managers for decision-making; monitoring compliance; measuring performance; assessing efficiency and effectiveness; making value-added recommendations for improvements to programs, policies, or procedures; and sharing best practices. The Office of Investigations (IS) and Office of Audits (AS) include a field in the OIG Case Management System to indicate if a case is major (has received national news attention or fulfills the other stated criteria). The field is completed when the investigation or audit is closed; management officials as well as the case agent or auditor in charge are involved in the determination; and the determination is used when AS and IS prepare records for archiving annually.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	Yes

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
VI.D.1. Non-major Audit Case Files	DOED 21st Century Information Retention Policy

GRS or Superseded Authority Citation
N1-441-02-001-1-a: Audit Reports
N1-441-02-001-1-b: Audit Tracking System
N1-441-02-001-4-a: A&I Reports
N1-441-02-001-4-b: A&I Tracking System

Disposition Instruction

Cutoff Instruction
Cutoff at end of fiscal year in which audit or alternative projects are closed (final action is completed) by the Department.

Retention Period
Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval **Not Required**

Quality Control Review of Non-Federal Audits Files

Disposition Authority Number **DAA-0441-2021-0001-0005**

Files developed during the quality control reviews to determine whether non-Federal audits were conducted in accordance with the appropriate auditing standards and applicable audit guidance. This may include Office of Management and Budget (OMB) Circular A-133; OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; related compliance supplements; or applicable OIG audit guides. These records provide the central source of information on work conducted by the OIG to determine whether documentation prepared by independent public accountants met applicable standards and requirements and supported the engagement report. These files may include support for referrals of non-Federal auditors to appropriate State Board(s) of Accountancy and the American Institute of Certified Public Accountants' Professional Ethics Division for misconduct or poor performance.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **Yes**

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electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
VI.D.2. Quality Control Review of Non-Federal Audits Files	DOED 21st Century Information Retention Policy

GRS or Superseded Authority Citation
N1-441-02-001-4-c: OIG Non-Federal Auditor Referral, Suspension, and Debarment Files
N1-441-89-001-2-a: Hardcopy Systems
N1-441-89-001-2-b: Microfilm Systems

Disposition Instruction

Cutoff Instruction Cutoff at end of fiscal year in which review or project is closed.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Non-major Investigative Cases

Disposition Authority Number DAA-0441-2021-0001-0006

Files generated or compiled during formally approved investigations conducted in accordance with the Council of Inspector General on Integrity and Efficiency Quality Standards for Investigations and opened based upon an articulable factual basis that reasonably indicates there is criminal activity or misconduct pertaining to Department of Education funds, programs, information, or operations. This includes all documentation of investigative activity, analysis, and documents gathered to support the criminal or civil prosecution or administrative action against individuals or institutions. The Office of Investigations (IS) include a field in the OIG Case Management System to indicate if a case is major (has received national news attention or fulfills the other stated criteria). The field is completed when the investigation is closed; management officials as well as the case agent or auditor in charge are involved in the determination; and the determination is used when AS and IS prepare records for archiving annually.

Final Disposition Temporary

Item Status Active

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **Yes**

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
VI.E.1. Non-Major Investigative Cases	DOED 21st Century Information Retention Policy

GRS or Superseded Authority Citation N1-441-02-001-2-a, Investigative Files
N1-441-02-001-2-c, Investigative Case File Tracking System
N1-441-02-001-3-c, Hotline Tracking System

Disposition Instruction

Cutoff Instruction Cutoff at end of fiscal year during which the matter was closed (all administrative, civil, and judicial actions have been completed and the investigation is administratively closed).

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Complaints, Preliminary Inquiries, and Investigative Files Not Relating to a Specific Case

Disposition Authority Number DAA-0441-2021-0001-0007

Complaints alleging fraud, waste, abuse, mismanagement, gross waste of funds, abuse of authority, or other violations of laws, rules, or regulations pertaining to Department employees, funds, programs, or operations. These complaints may be received by the OIG hotline, the FSA Feedback system, other government agencies, mail, or provided verbally to, and then documented by, an OIG employee. The complaint files may also contain related correspondence, such as referrals to Department components or other agencies and their responses. This item includes files developed during a preliminary inquiry, conducted in accordance with the Quality Standards for Investigations, into allegations of fraud, waste, abuse, mismanagement, gross waste of funds, abuse of authority, or other violations of laws, rules, or regulations pertaining to Department employees, funds, programs, or operations. This includes documentation of investigative activity conducted and documents gathered to determine if there is sufficient evidence to warrant a full investigation. Also includes files generated or compiled and containing information or allegations which are of an investigative nature, but do not relate to a specific inquiry or investigation. This may include research into

investigative trends or other data to identify potential criminal activity, or other support information, which may prove useful in OIG investigations.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
VI.E.2. Complaints, Preliminary Inquiries, and Investigative Files Not Relating to a Specific Case	DOED 21st Century Information Retention Policy

GRS or Superseded Authority Citation N1-441-02-001-2-b: Investigative Files Not Relating to a Specific Case
N1-441-02-001-3-a: Complaint Files

Disposition Instruction

Cutoff Instruction Cutoff at end of fiscal year during which a decision is made not to initiate a full investigation and the inquiry is administratively closed.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Background and Working Papers Not Needed to Support Final Audit Reports or Investigations

Disposition Authority Number DAA-0441-2021-0001-0008

Background and working papers compiled as part of an audit or inspection but are not needed to support the final report. This item also includes files generated or compiled containing information or allegations which are of an investigative nature, but do not relate to a specific inquiry or investigation. This may include research into investigative trends or other data to identify potential criminal activity, or other support information, which may prove useful in other OIG investigations. Also includes files generated or compiled as part of data or forensic analysis conducted in support of an inquiry or investigation but not needed as part of the investigative file and retained only to demonstrate compliance with Council of Inspector General

on Integrity and Efficiency quality standards and applicable Attorney General guidelines.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
VI.F. Background and Working Papers Not Needed to Support Final Audit Reports or Investigations	DOED 21st Century Information Retention Policy

GRS or Superseded Authority Citation N1-441-02-001-7-a, Administrative Copies
N1-441-02-001-7-b, Dissemination Copies

Disposition Instruction

Cutoff Instruction Cutoff at end of fiscal year during which the matter was closed.

Retention Period Keep until no longer needed for business purposes, but not to exceed 15 years.

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
04/08/2021	Certify	Jason Lautenbacher	Agency Records Officer	OCIO - ITPS
11/08/2021	Return for Revision	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
12/10/2021	Submit For Certification	Tammy Strickler	Deputy Program Manager	Office of the Chief Information Officer - Information Management Branch
12/10/2021	Certify	Jason Lautenbacher	Agency Records Officer	OCIO - ITPS
07/20/2022	Submit for Concurrence	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
07/30/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/01/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/03/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office