

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-441-01-1	DATE RECEIVED 9-8-00
1. FROM (Agency or establishment) U.S. Department of Education		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Inspector General		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Lawrence Newman	5. TELEPHONE 202-205-9790	DATE	ARCHIVIST OF THE UNITED STATES

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 \_\_\_ 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 8/30/00	SIGNATURE OF AGENCY REPRESENTATIVE <i>Chiquitta Thomas</i> Chiquitta Thomas	TITLE Department Record Officer
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	See Attached Schedule for Office of Inspector General.  Attachments Lawrence Newman <i>Lawrence E. Newman</i> Area Manager, Planning, Analysis and Management Services (PAMS) Date: 8/29/00		

**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF INSPECTOR GENERAL  
N1-441-00-**

This schedule covers audit and investigative records created by the Department of Education as well as those acquired in the course of business.

The Office of Inspector General (OIG) creates audit and investigation records, under the general supervision of the Secretary. OIG is responsible for conducting and supervising audits and investigations relating to programs and operations of the Department, for providing leadership, coordination and policy recommendations to promote economy, efficiency and effectiveness and to prevent and detect fraud and abuse in the administration of the programs and operations of the Department.

**AUDIT REPORTS**

**1. Master Set of Audit Reports on Department of Education Programs.**

Headquarters and Regional offices with related correspondence and administrative documentation. This set of audit reports provide the central source within the Department for information on audits performed by the Office of Inspector General or under contract by the Office of Inspector General.

**Disposition: TEMPORARY.** Cut off at end of fiscal year after completion of all audit actions. Retire to the Federal Records Center 1 year after cutoff. Destroy 5 years after cutoff. (Supersedes NARA Job No NC1-12-76-1).

**(a) 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 record-keeping copy of the records covered by this item. Includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

**Disposition: TEMPORARY.** Destroy/Delete within 180 days after the recordkeeping copy has been produced.

**2. Non-ED OIG Audit Reports**

Reports affecting ED funded programs, audited by Non-ED Federal Auditors, Independent Public Accountants, and State and local Government auditors.

**(a.) Hard Copy System**

**Disposition: TEMPORARY.** Cut off at end of fiscal year in which review is completed Destroy 5 years after cut off or 5 years after completion of either Department's corrective action plan or the appropriate appeals process is

completed whichever is later. Retire to the Federal Records Center 1 year after cutoff. Destroy 5 years after cutoff. (Supersedes NARA Job No. N1-441-89-1 Item 2 a).

(b.) Microfilm system

**Disposition: TEMPORARY.** Destroy hard copy (textual record) immediately after microfilm has been proofread, verified and tested. Cut off film at the end of the fiscal year following completion of the report. Destroy 8 years after cutoff. (Supersedes NARA Job No N1-441-89-1 Item 2 b).

(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 a record-keeping copy of the records covered by this item. Includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

**Disposition: TEMPORARY.** Destroy/Delete within 180 days after the recordkeeping copy has been produced.

3. **Audit Case Files of Civilian Agencies Other than the Central Intelligence Agency.**

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

**Disposition: TEMPORARY.** Cut off at end of fiscal after completion of either Department's corrective action plan or the appropriate appeals process is completed whichever is later. Retire to the Federal Records Center 1 year after cutoff. Destroy 5 years after cutoff. (Supersedes GRS 22, Item 2.).

(a) **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 record-keeping copy of the records covered by this item. Includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

**Disposition: TEMPORARY.** Cut off at end of fiscal year in which case is closed. Destroy 5 years after cutoff. (Supersedes GRS 11, Item 1 a).

- (b) All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others.

**Disposition: TEMPORARY.** Cut off files at end of the fiscal year in which review is completed. Retire to the Federal Records Center 1 year after cutoff. Destroy 10 years after cut off. (Supersedes GRS 22, Item 1 b).

(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 a record-keeping 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, revision, or dissemination.

**Disposition: TEMPORARY.** Destroy/Delete within 180 days after the recordkeeping copy has been produced.

4. **Investigator Material Compiled for Personnel Security and Suitability.**

Correspondence, reports, and other records relating to the administration and operation of the personnel security program. Lists or rosters show the current security clearance status of individuals.

**Disposition: TEMPORARY.** Cut off inactive files at end of the fiscal year in which is the case is closed. Transfer to the Federal Records Center 1 year after cutoff. Destroy 2 years after cutoff.

(a) **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 record-keeping 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, revision, or dissemination.

**Disposition: TEMPORARY.** Destroy/Delete within 180 days after the recordkeeping copy has been produced

5. **OIG Non-Federal Auditor Referral, Suspension, and Debarment Files.**

**Case Files**

Contain records relating to the suspension and debarment of contractors and grantees for misconduct or poor performance.

**Disposition: TEMPORARY.** Cut off files at the end of the fiscal year in which the case is closed. Retire to the Federal Records Center 2 years after cutoff. Destroy 8 years after cutoff.

(a) **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 record-keeping 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, revision, or dissemination.

**Disposition: TEMPORARY.** Delete 180 days after the record-keeping copy has been produced

**INVESTIGATIVE RECORDS**

6. **Investigative Case Files for Civilian Agencies other than the Central Intelligence Agency.**

Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. **EXCLUDING** those that result in national media attention, Congressional investigation, or substantive changes in agency policy and programs and operations administered or financed by the agency including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

- (a.) Files containing information or allegations which are of an investigative nature but, do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies handling, and support files providing general information which may prove useful in Inspector General investigations.

**Disposition: TEMPORARY.** Cut off inactive files at end of the fiscal year in which case is closed. Retire to the Federal Records Center 1 year after cutoff. Destroy 5 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 a record-keeping 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, revision, or dissemination.

**Disposition: TEMPORARY.** Destroy/Delete 80 days after the recordkeeping copy has been produced.

7. **Hotline Complaint Files of the Inspector General.**

Hotline complaint files consist of information compiled for use to alert the OIG of potentially serious problems as well as to apprise the Department's management of administrative problems.

**Disposition: TEMPORARY.** Cut off files at the end of the fiscal year in which the complaint is resolved. Retire to the Federal Records Center 2 years after cutoff. Destroy 4 years after cut off.

(a) **Electronic Mail and Word Processing Records**

Electronic copies of records that are created on electronic mail and word processing systems used solely to generate record-keeping 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, revision, or dissemination.

**Disposition: TEMPORARY.** Destroy/Delete 180 days after the record-keeping copy has been produced.