

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		DO NOT WRITE IN THESE SPACES (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <u>N1-174-99-1</u>	
1. FROM (Agency or establishment) U.S. DEPARTMENT OF LABOR		DATE RECEIVED <u>7-20-99</u>	
2. MAJOR SUBDIVISION OFFICE OF INSPECTOR GENERAL		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION OFFICE OF AUDIT			
4. NAME OF PERSON WITH WHOM TO CONFER PAMELA DAVIS	5. TELEPHONE 202-693-5113	DATE <u>3-29-00</u>	ARCHIVIST OF THE UNITED STATES <u>John W. Cal</u>
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, <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span><input checked="" type="checkbox"/> is not required;</span> <span><input type="checkbox"/> is attached; or</span> <span><input type="checkbox"/> has been requested.</span> </div>			
DATE <u>7/15/99</u>	SIGNATURE OF AGENCY REPRESENTATIVE <u>Maurice Hill</u>	TITLE DEPARTMENT RECORDS OFFICER	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

8/1  
4/13/00 Agency

NR, NWMD, NWMD

## OIG AUDIT FILES

Case files for program audits that assist management in identifying, analyzing and resolving program and organizational performance/financial policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. During the course of an audit, work papers (which can include survey questionnaires, rough draft proposals and correspondence) are used to prepare the final recommendations and report. The audit staff prepares a final report which is incorporated into the work papers on completion of each audit.

### 1. Audit Files

- a. Case files of internal audits of agency programs, grantees and contractors. Case files contain the record copy of final reports and other records generated in the course of conducting the audit, including work papers.

Cut off at the end of the FY in which case is closed. Destroy 3 years after cut off.

- 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 recordkeeping copy of records. Also includes 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 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.

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

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

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

### 2. Audit Information Reporting System (AIRS)

The Audit Information Reporting System is designed to index and track audit files. It is currently comprised of the following subsystems: (1) Audit Management and Planning System (AMPS) that tracks the due date and time spent on various audit activities; (2) Time Management System (TMS) that documents the time spent on each audit activity by staff-completed time sheets; (3) Audit Resolution and Closure Tracking System (ARCTS) that tracks agency actions to resolve and close audit recommendations; and, (4) Contract Funds Tracking System (CFTS) that tracks time and funds spent by independent public accounting firms on Office of Audit activities. The subsystems provide information to the Office of Audit to develop performance measures and determine the cost for each audit activity. Information is extracted from the audit files and provides the capabilities for managing and tracking audits, indexing audit information, gathering and consolidating work hours

and managing employee training information. Input forms are filed with the workpapers of a specific case/project after required information has been entered into the appropriate subsystem. Summary reports are generated as needed for management and planning purposes.

- a. Inputs - Destroy/delete 3 years after related case is closed.
- b. Outputs -
  - 1. Hard copy of records related to a specific case/project. File in appropriate case/project file. Destroy 3 years after related case is closed.
  - 2. Hard copy of periodic reports generated about the status of cases. Destroy when superseded or obsolete.
- c. Data on Electronic Media - Destroy/delete when related case is destroyed.
- d. Systems documentation - Destroy/delete when dissemination, revision, or updating is completed or when information is superseded or obsolete.