

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-056-00-002**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/8/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 1A, 1B, 1D, 1E, 2, 3, 4, and 5 are active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-056-09-022 items 1-4 superseded item 1C

DAA-GRS-2016-0016-0002 superseded item 6.

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-56-00-2

DATE RECEIVED

3/1/2000

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
Department of the Treasury

2. MAJOR SUBDIVISION  
Departmental Offices

3. MINOR SUBDIVISION  
Office of Inspector General

4. NAME OF PERSON WITH WHOM TO CONFER  
Steve Milline

5. TELEPHONE  
(202) 622-0790

DATE ARCHIVIST OF THE UNITED STATES

10-4-00 *John W. Paul*

## 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 6 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
2/29/00	<i>Steve J. Milline</i>	Chief, Records Management + Resources Br.

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>The Office of Inspector General is an independent, objective organization that is charged with:</p> <ul style="list-style-type: none"> <li>• Conducting audits and investigations;</li> <li>• Promoting economy, efficiency and effectiveness of programs and operations;</li> <li>• Detecting fraud and abuse; and</li> <li>• Keeping the Secretary and Congress informed about the problems and deficiencies in the Department's operations and recommending corrective actions.</li> </ul>		

*Agency, NWMD, NWMD, NR, NWCT*

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Department of the Treasury  
Office of Inspector General

1. **Investigative Files.** Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to Treasury personnel and programs and operations administered or financed by Treasury, including contractors and others having a relationship with Treasury. 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. The files may also contain, when applicable, printed copies of electronic mail and word processing documents described in item 6 below.

a. **Case files of significant value meeting one or more of the following criteria:**

(1) the subject of the file is the Secretary of the Treasury, Deputy Secretary, Assistant Secretaries, Deputy Assistant Secretaries, bureau or office heads, or any equivalent of these positions; (2) the case attracts national or regional media attention; (3) the case results in Congressional interest or action; or (4) the case results in substantive changes in agency policies and procedures. Significant cases will be selected by the Department of the Treasury, Office of the Inspector General, based on the criteria listed in this item. [Supersedes NC1-56-79-1, item 1b.]

**Disposition:** Permanent. Cutoff closed files at end of the fiscal year. Maintain in office for 3 years and then retire to the Federal Records Center (FRC). Transfer to the National Archives 25 years after cutoff.

b. **All other investigative case files not covered by item 1a above.**

[Supersedes NC1-56-79-1, item 1a.]

**Disposition:** Temporary. Cutoff closed files at end of the fiscal year. Maintain in office for 3 years and then transfer to the FRC. Destroy 10 years after cutoff.

- c. **Files containing information or allegations which are of an investigative nature but do not result in establishment of a formal case file.** The files include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.

**Disposition:** Temporary. Cutoff at the end of the fiscal year in which the file is closed. Maintain in office. Destroy on-site 5 years after cutoff.

- d. **Automated Investigative Case Tracking System**. Information is extracted from investigative case files and provides capabilities for managing and tracking investigative caseload, indexing case information and managing agent work hours. [Supersedes NC1-56-79-1, item 2.]

**Disposition: Temporary.** Maintain in office. Delete case information 15 years after the case is closed, or when no longer needed, whichever is later.

- e. **Investigation Program Files**. Documents relating to the internal administration and management of the investigation function, but not general administrative or housekeeping files. These files include organizational charts and functional statements, records documenting policies and procedures, internal reviews of investigative field offices, and other materials relating to Office of Investigations program functions. [Supersedes NC1-56-79-1, item 3.]

**Disposition: Temporary.** Cutoff at end of the fiscal year. Maintain in office. Destroy on-site 4 years after cutoff.

2. **Audit and Evaluation Files**. Files of audits and evaluations of agency programs, operations, and procedures to include Program, Financial Statement, Contract, and Information Technology audits. The files contain audit and evaluation reports with supporting work papers, as well as related correspondence and memoranda. The files may also contain, when applicable, printed copies of electronic mail and word processing documents described in item 6 below.

- a. **Records created or acquired during the course of the audit/evaluation and development of the final report**, including correspondence, memoranda, supporting work papers and the final report. [EXCLUDES such records for certain other audits and evaluations. See subitem 2-c below.]

**Disposition: Temporary.** Cutoff at the end of the fiscal year in which the final report is issued. Maintain in office for 3 years and then transfer to the FRC. Destroy 5 years after cutoff.

- b. **Final Report (Retained Office Copy)**.

**Disposition: Temporary.** Cutoff at the end of the fiscal year in which the final report is issued. Maintain in office. Destroy on-site when 30 years old.

- c. **Audits/Evaluations that meet one or more of the following criteria:** the subject of the file (1) attracts significant attention in the media, either on the national or local level; (2) results in Congressional interest or action; or (3) is unique in scope and/or nonrecurring. Item 2c files will be selected by the Department of the Treasury, Office of the Inspector General based on the above criteria. [NOTE: Item 2c files include both the final report and supporting work papers.]

**Disposition: Permanent.** Cutoff at the end of the fiscal year in which the final report is issued. Maintain in office for ~~10~~ <sup>3</sup> years, then <sup>transfer</sup> offer to the National Archives for permanent preservation. *3, then return to FRC,*

*per 1/8/03 email*

- d. **Audit Planning and Tracking files.** Documents created in (1) identifying areas for audit, defining the scope of planned audits, and scheduling audits; and (2) tracking corrective action taken on audit report recommendations.

**Disposition: Temporary.** Maintain in office. Destroy on-site when 4 years old.

- e. **Audit Program Subject Files.** Documents relating to the internal administration and management of the audit function, but not general administrative or housekeeping files. These files include Memoranda of Understanding (MOUs) documenting OIG agreements with internal and external entities regarding Office of Audit operations, organizational charts, functional statements, records documenting policies and procedures, and other materials relating to Office of Audit program functions.

**Disposition: Temporary.** Cutoff at end of the fiscal year. Maintain in office. Destroy on-site 4 years after cutoff.

3. **OIG Office of Counsel Files.** Files accumulated by the Office of Counsel in support of OIG programs and operations. This includes legal opinions/memoranda and litigation case files. The files may also contain, when applicable, printed copies of electronic mail and word processing documents described in item 6 below. [NOTE: This series EXCLUDES responses to Freedom of Information Act (FOIA) and Privacy Act (POA) requests which are covered under General Records Schedule 14; and litigation records pertaining to Equal Employment Opportunity complaints and other personnel/administrative grievances which are covered under General Records Schedule 1.]

- a. **Legal Opinions/Memoranda:** Legal opinions and memoranda are official documents in which Counsel to the Inspector General renders his or her understanding of the law as applied to a defined set of facts. Such documents may be addressed to the Inspector

General; the head of any component of the Office of Inspector General; the head of any Treasury bureau or office; or in response to any official inquiry of any other Governmental entity.

Disposition: **Permanent.** Cutoff at the end of the fiscal year. Maintain in office for 30 years, then offer to the National Archives for permanent preservation.

- b. **Legal Opinion Memorandum Files:** Official files of the Office of Counsel to the Inspector General established in connection with the development of legal opinions and memoranda, as described in item 3a above. Such files will contain, at a minimum, a copy of the final written opinion, supporting authorities, and background documentation.

Disposition: **Temporary.** Cutoff at the end of the fiscal year. Maintain in office. Destroy on-site 6 years after cutoff.

- c. **Indices to Legal Opinions/Memoranda:** Inventory of opinions arranged by subject matter/issue; U.S. Code section(s); Federal regulation(s); proposed legislation; Executive Orders; Presidential Proclamations; U.S. Constitution; Opinions of the Attorney General; Comptroller General Opinions; and other identifying characteristics or controlling legal authorities. In addition to categorical information, indices will contain legal opinion identification numbers, names of authors, and dates of issuance of legal opinions or memoranda. Indices are electronic, but may be converted to tangible media.

Disposition: **Temporary.** Cutoff at the end of the fiscal year. Maintain in office. Destroy on-site 30 years after cutoff.

- d. **Litigation Case Files.** Files consisting of a record of pleadings, correspondence, memoranda, studies, appraisals, decisions and related documents for administrative and judicial proceedings.

Disposition: **Temporary.** Cutoff at end of the fiscal year. Maintain in office. Destroy on-site 5 years after cutoff.

- e. **Counsel Program Subject Files.** Documents relating to the internal administration and management of the Office of Counsel, but not general administrative or housekeeping files. These files include correspondence, memoranda, reports, copies of legislation, OIG testimony given before Congressional committees, and other materials relating to Office of Counsel program functions.

Disposition: **Temporary.** Cutoff at end of the fiscal year. Maintain in office. Destroy on-site 5 years after cutoff.

4. **Semiannual Report to the Congress.** Documents accumulated in the compilation of summary data on Inspector General activities and achievements during the first and second 6-month periods of each fiscal year. The files may also contain, when applicable, printed copies of electronic mail and word processing documents described in item 6 below.

- a. **Final report** (record copy only).

Disposition: **Permanent.** Cutoff semiannually. Maintain in office. Offer to the National Archives 5 years after cutoff. [NOTE: Destroy other paper copies in office space when no longer needed for reference.]

- b. **Electronic copies.** Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

Disposition: **Temporary.** Destroy/delete when dissemination, revision or updating is completed, or when no longer needed.

- c. **Other records created or acquired during development of the final Semiannual Report to Congress,** including correspondence, memoranda and supporting work papers.

Disposition: **Temporary.** Cutoff with related report. Maintain in office. Destroy on-site 5 years after cutoff.

5. **OIG-wide Program Subject Files.** Documents relating to the operation and administration of the OIG as a whole, but not general administrative files. These files are maintained either by the Office of Management Services, or the Inspector General. The documents include responses to surveys/datacalls regarding OIG programs and operations, studies initiated to achieve organizational improvement, organizational charts, functional statements, records documenting OIG-wide policies and procedures, and other materials relating to OIG program functions as a whole. The files may also contain, when applicable, printed copies of electronic mail and word processing documents described in item 6 below.

Disposition: **Temporary.** Cutoff at end of the fiscal year. Maintain in office. Destroy on-site 5 years after cutoff.

6. **Electronic Mail and Word Processing Documents.** Records created and received via electronic systems that cover all items under this IG Schedule will be filed in the appropriate record keeping system. This 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 to produce the recordkeeping copy.

Disposition: **Temporary.** Destroy/delete after producing the recordkeeping copy.