

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER 056-10- <u>1</u>	
1 FROM (Agency or establishment) Department of Treasury		Date Received <u>11/19/09</u>	
2 MAJOR SUB DIVISION Special Inspector General for the Troubled Asset Relief Program		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disposition request, including amendments is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10	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 SUB DIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Chensse Willis-Proctor	5 TELEPHONE 202-622-0489	DATE <u>25 Sept 10</u>	ARCHIVIST OF THE UNITED STATES <u>[Signature]</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 <u>4</u> page(s) are not needed now 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,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11/18/2009	SIGNATURE OF AGENCY REPRESENTATIVE <u>[Signature]</u>		TITLE DO Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Special Inspector General for the Troubled Asset Relief Program  The Office of the Special Inspector General for the Troubled Asset Relief Program ("SIGTARP") was established by the Emergency Economic Stabilization Act of 2008 ("EESA")  Under EESA, as amended, the Special Inspector General has the responsibility, among other things, to conduct, supervise and coordinate audits and investigations of all activities under the Troubled Asset Relief Program ("TARP") SIGTARP's goal is to promote economic stability by assiduously protecting the interests of those who fund the TARP programs - i e , the American taxpayers This is achieved by facilitating transparency in TARP programs, providing effective oversight in coordination with other relevant oversight bodies, and through robust criminal and civil enforcement against those, whether inside or outside of Government, who waste, steal or abuse TARP funds		

# Office of the Special Inspector General for the Troubled Asset Relief Program (SIGTARP)

## 1. Legal Advisory Opinion Memorandum Files

The files may also contain, when applicable, printed copies of electronic mail and word processing documents

- a Files of Historical Significance are maintained by the Office of Special Inspector General for the Troubled Asset Relief Program ("SIGTARP") in connection with the development of significant legal opinions and memoranda. Files of historical significance include, but are not limited to, legal issues of first impression and precedent, the interpretation of enabling legislation, and issues that have the potential for long-term and wide-ranging legal impact. Such files will contain, at a minimum, a copy of the final written opinion and background documentation  
**(NOTE: Files must be marked as "Priority").**

Disposition: **Permanent** Cutoff files annually the year that the opinion is completed. Maintain in office for 3 years and then retire to the Washington National Records Center (WNRC). Transfer to the National Archives and Records Administration (NARA) when 20 years old.

- b All Other files are maintained by SIGTARP in connection with the development of legal opinions and memoranda. Such files will contain, at a minimum, a copy of the final written opinion and background documentation.

Disposition: **Temporary** Cutoff files annually the year that the opinion is completed. Maintain in office for 3 years and then retire to WNRC. Destroy when 7 years old.

2. Legislation Reviewed by SIGTARP is maintained by SIGTARP in connection with the monitoring of legislative activity that may affect the mission and operation of SIGTARP. The files may also contain, when applicable, printed copies of electronic mail and word processing documents.

Disposition: **Temporary** Cutoff files annually the year that the legislation is introduced to Congress. Maintain in office for 3 years and then retire to WNRC. Destroy when 7 years old.

## 3. Program, Subject, and Correspondence Files

The files may also contain, when applicable, printed copies of electronic mail and word processing documents

- a. Incoming and outgoing correspondence, reports, studies, memoranda, and other documents (INCLUDING correspondence with members of Congress) prescribing SIGTARP policies, programs and objectives, formulation and implementation of plans, responses and decisions on matters of major policy impact, or in providing operational and managerial guidance to all organizational segments of SIGTARP.

Disposition: **Permanent.** Cutoff files annually the year that the opinion is completed. Maintain in office for 3 years and then retire to the WNRC. Transfer to NARA when 20 years old.

- b. Incoming and outgoing correspondence, reports, studies, memoranda, and other documents of a routine or recurring nature.

Disposition **Temporary** Cutoff files annually Maintain in office for 3 years and then retire to WNRC Destroy when 7 years old

#### 4 Litigation Case Files

The files may also contain, when applicable, printed copies of electronic mail and word processing documents

- a. Significant Litigation Files consist of a record of pleadings, correspondence, memoranda, studies, appraisals, decisions and related documents for administrative and judicial proceedings These records include administrative claims that may result in litigation Files designated as "significant" include, but are not limited to, cases that involve novel legal issues or facts, cases that impact the entire operations of SIGTARP or an entire functional area of SIGTARP, class action lawsuits, cases with a high dollar value, cases that are extremely complex, and, cases that involve recurring litigants requiring a longer period of access to those files **(NOTE: Files must be marked as "Priority")**.

Disposition **Permanent**. Cutoff files annually the year that the litigation is ended Maintain in office for 3 years and then retire to the WNRC Transfer to NARA when 20 years old

- b. All Other Litigation Case Files consist of a record of pleadings, correspondence, memoranda, studies, appraisals, decisions and related documents for administrative and judicial proceedings These records include administrative claims that may result in litigation

Disposition **Temporary**. Cutoff files annually the year the litigation is ended Maintain in office for 3 years and then retire to WNRC Destroy when 7 years old.

5. Investigative Case Files Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws, rules and regulations Cases relate to Troubled Asset Relief Program (TARP) 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, and working papers The files may also contain, when applicable, printed copies of electronic mail and word processing documents

- a. Case files of significant and sensitive 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 significant national or regional media attention, (3) the case results in significant Congressional interest or action, or (4) the case results in substantive changes in agency policies and procedures **(Note: Files must be marked as "Priority")**.

Disposition **Permanent**. Cutoff after the final, legal or administrative action Maintain in office for 3 years and then retire to the WNRC Transfer to NARA when 20 years old

- ~~b. All other investigative case files not covered by item 5a above~~

Disposition **Temporary**. Cutoff after the final, legal or administrative action Maintain in office for 3 years and then retire to the WNRC Destroy when 7 years old

- 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 support files providing general information which may prove useful in Special Inspector General investigations

Disposition **Temporary.** Cutoff after the final, legal or administrative action Maintain in office Destroy on-site 5 years after cutoff

- d 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 Investigations Division program functions

Disposition **Temporary.** Cutoff after the final, legal or administrative action Maintain in office Destroy on-site 5 years after cutoff

- 6 Audit and Evaluation Files Files of audits and evaluations of TARP programs, operations, and procedures to include program and contract 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

- a 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 significant Congressional interest or action, or (3) is unique in scope and/or nonrecurring Item 6a files will be selected by SIGTARP based on the above criteria NOTE: Item 6a files include both the final report and supporting work papers ]

Disposition **Permanent.** Cutoff annually the year in which the final report is issued Maintain in office for 10 years and then retire to WNRC Transfer to NARA when 20 years old

- b. 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 Item 6a above ]

Disposition **Temporary.** Cutoff annually the year in which the final report is issued Maintain in office for 3 years and then retire to the WNRC Destroy when 7 years old

- c. ~~Final Report (Retained Office Copy)~~

~~Disposition **Temporary.** Cutoff annually the year in which the final report is issued Maintain in office Destroy on-site when 10 years old~~

- 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.** Cutoff when no further corrective action is necessary  
Destroy 5 years after cut off

7. Electronic Mail and Word Processing System Copies (covers items # 1- 6 of this schedule)

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 the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination

- a. Copies that have no further administrative value after the recordkeeping copy are 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

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

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

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