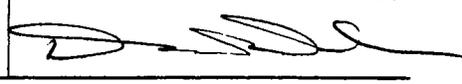
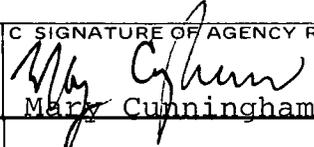


REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-269-90-2	DATE RECEIVED 11/3/89
1 FROM (Agency or establishment) GENERAL SERVICES ADMINISTRATION		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION OFFICE OF ADMINISTRATIVE SERVICES		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION INFORMATION COLLECTION MANAGEMENT BRANCH			
4 NAME OF PERSON WITH WHOM TO CONFER MAURY GRUNDY	5 TELEPHONE EXT 535-7983	DATE 8/21/90	ARCHIVIST OF THE UNITED STATES 
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 11 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE 10/25/89	C SIGNATURE OF AGENCY REPRESENTATIVE  Mary Cunningham	D TITLE GSA Records Officer Chief, Information Col. Mgmt. Branch
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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
1.	<u>INSPECTOR GENERAL PROGRAM RECORDS</u> Record descriptions and suggested disposition authorizations are contained in the attached proposed chapter to the HB, GSA Records Maintenance and Disposition System (OAD P 1820.2).	NN-168-83 NC1-269-82-3	

GENERAL SERVICES ADMINISTRATION
Washington, DC 20405

OAD P 1820.2 CHGE

SUBJECT: GSA Records Maintenance and Disposition System

1. Purpose. This order transmits a new ch. 22 to the HB, GSA Records Maintenance and Disposition System.
2. Explanation of changes. Ch. 22, Inspector General Program Records, is added to provide records maintenance and disposition instructions for records accumulated by the OIG.
3. Instructions. Insert the attached new ch. 22.

CARLENE BAWDEN
Associate Administrator
for Administration

Central Office			
100 copies to CAIR for reserve stock. 5 copies to each of the following staff offices: JA, JI, JP, JA-R, JA-V, JA-Z, and JA-F. 3 copies to each of the following Central Office field offices: JA-1, JA-2, JA-3, JA-4, JA-5, JA-6, JA-7, JA-9, JI-1, JI-2, JI-3, JI-4, JI-5, JI-6, JI-7, JI-9, and JI-W.			
Regional Offices			
Distribute the copies below to each regional CAI records officer and to NARA for reserve stock.			
Office	Copies	Office	Copies
Region 2	5	Region 7	5
Region 3	5	Region 9	5
Region 4	5	Region W	5
Region 5	5		
Region 6	5	NARA/NIRC	15

Figure 1. Supplemental distribution

Distribution: A; F; G; plus figure 1

Attachment

CHAPTER 22. INSPECTOR GENERAL PROGRAM RECORDS

1. General. This chapter provides documentation and maintenance and disposition instructions for Inspector General program records. These instructions are contained in:

- a. Appendix 22-A. Audit Program Records
- b. Appendix 22-B. Investigations Program Records

2. Microfilming records. The records described in this chapter may be converted to microfilm and the original paper records destroyed provided that the requirements and standards of the HB, GSA Micrographics Management Program, chs. 3-1, 3-3, 4-3, and 4-4 (OAD P 1882.1) are met.

3. Electronic records. The records described in this chapter are eligible for disposal in both hard copy and electronic form.

The records described in this appendix are accumulated in examining or auditing internal and contractor operations to ensure proper protection of assets; adherence to policies, procedures, and objectives; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. Audit program records are created in carrying out the assigned functions set forth in the GSA Organization Manual (OHR P 5440.1) and pursuant to the provisions of orders and handbooks in the 2000 subject classification series. This appendix does not apply to documents accumulated by other offices in responding to audits of their program areas. Documents of this nature are scheduled in app. 9-C.

RECORD SYMBOL	DESCRIPTION OF RECORD	AUTHORIZED DISPOSITION
22A1.	Audit guidance (NC1-269-82-3). Documents created in preparing, clearing, and issuing instructions and guides for use by auditors in GSA internal and contract audits, but not documents relating to instructions issued under the directives system. Included are record copies of audit guides and instructions, clearance actions, and related reports.	Cut off at the end of the fiscal year when superseded or canceled; destroy 3 years later.
22A2- 22A4.	<u>Reserved.</u>	
22A5.	Audit control registers (NC1-269-82-3). Documents used to control the assignment of numbers and other identifying data to internal and contract audits and reports. Included are index cards, register sheets, and similar controls.	Destroy when superseded or obsolete.
22A6- 22A9.	<u>Reserved.</u>	
22A10.	Audit summaries (NC1-269-82-3). Documents created in preparing and circulating summarized information on the status of audit activities, selected audit findings and recommendations, and other audit matters. Included are periodic audit digests and summaries, reports of actions taken as a result of the summaries, and related records.	Cut off at the end of the fiscal year; destroy when 3 years old.

OAD P 1820.2 CHGE

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
22A11- 22A14.	<u>Reserved.</u>	
22A15.	<u>Audit schedules (NC1-269-82-3).</u> Documents created in identifying areas for audit, defining the scope of planned audits, and scheduling audits.	Cut off at the end of the fiscal year; hold 2 years and retire to FRC. Destroy when 5 years old.
22A16- 22A19.	<u>Reserved.</u>	
22A20.	<u>Audit report chronological file (NC1-269-82-3).</u> Records accumulated for reference and referral to contract audits, internal audits, clearances, and related information. Included are copies of final contract and internal audit reports.	Cut off at the end of the fiscal year; hold 2 years and retire to FRC. Destroy when 10 years old.
22A21- 22A24.	<u>Reserved.</u>	
22A25.	<u>Audit case files (GRS 22/2).</u> Case files of internal audits of agency programs, operations and procedures, and of external audits of contractors and grantees. Included are audit reports, correspondence, memoranda, and supporting working papers.	Cut off at the end of the fiscal year in which case is closed; hold 2 years and retire to FRC. Destroy 8 years after cutoff.
22A26- 22A29.	<u>Reserved.</u>	
22A30.	WITHDRAWN BY CHGE	
22A31- 22A39.	<u>Reserved.</u>	

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
22A40.	<u>Area audit office inspections (NC1-269-82-3).</u> Documents accumulated in inspecting the activities of field audit offices for the purposes of increasing operational and administrative effectiveness. Included are inspection reports and related records.	Cut off annually; destroy when 3 years old.
22A41- 22A44.	<u>Reserved.</u>	
22A45.	<u>Audit administrative subject files (NC1-269-82-3).</u> Documents relating to the routine operation and administration of the audit function, but not general administrative files described in app. 9-C. Included are pertinent laws, copies of contracts or other authoritative documents relating to specific audit functional areas; organizational charts and functional statements; surveys of procedures and controls; statistical tabulations; contractors' financial statements; analyses of cost trends; and significant findings of prior audits in each functional area.	Destroy when superseded or obsolete.
22A46- 22A49.	<u>Reserved.</u>	
22A50.	<u>Semiannual report to the Congress (NC1-269-82-3).</u> Documents accumulated in the compilation of summary data on Inspector General activities and achievements	

RECORD
SYMBOL

DESCRIPTION OF RECORD

AUTHORIZED DISPOSITION

during the first and second
6-month periods of each
fiscal year.

a. Final report. (HQ ^{record} ~~copy~~ only.
*All other copies may be
disposed of in office space
when no longer needed for reference*)

Permanent. Cut off
semiannually, hold 5
years, and retire to
FRC. Offer to NARA
when 10 years old in 5-
year blocks.

~~b. Other records.~~

~~Cut off with related
report; destroy or
delete 5 years after
cutoff.~~

22A51-
22A54.

Reserved.

~~22A55.~~

~~Subpoenas (NC1-269-82-3).
Documents created in the
issuance and return process
of a subpoena duces tecum.~~

~~Cut off annually; de-
stroy when 3 years old.~~

The records described by this appendix are created in providing investigative services for GSA. They are accumulated by the Central Office and field offices of the Office of Inspector General as a result of responsibilities outlined in the GSA Organization Manual (OHR P 5440.1). Related documentation accumulated by other offices is not covered by this appendix. Such documentation should be identified and filed with the contract or transaction to which the particular investigative service pertains. The systems of records described in 22B1 and 22B2 of this appendix are exempt from the Privacy Act of 1974.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
22B1.	<p><u>Investigative case files.</u> Case files developed during investigations of known or alleged fraud or abuse and irregularities or violations of laws and regulations. Cases relate to GSA personnel and programs and operations administered or financed by GSA, including contractors and others having a relationship with GSA. 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.</p>	<p>Cut off annually; destroy when 5 years old.</p>
	<p>a. Files containing information or allegations of an investigative nature that do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information that may prove useful in Inspector General investigations (GRS 22/1a).</p>	
	<p>b. All other investigative case files (GRS 22/1b).</p>	<p>Place in inactive file when case is closed. Cut off inactive file at end of fiscal year; hold 2 years and retire to FRC. Destroy 10 years after cutoff.</p>

RECORD SYMBOL	DESCRIPTION OF RECORD	AUTHORIZED DISPOSITION
22B2.	<u>Investigations Information System (IIS) (- - -)</u> . Automated investigative case information and Hot-line complaint records, investigative indices, employee personnel data, time reporting, investigative equipment and federal procurement contract data. Each investigations Field Office manages a Regional IIS with the below listed modules related specifically to their regions.	NOTE: Retention periods apply to both the Regional IIS units and to the replicated National IIS unit in Central Office.
	a. Information or allegations of an investigative nature that do not relate to a specific investigation. Included are vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information that may prove useful in Inspector General investigations.	Cut off annually; delete 15 years later.
	b. Automated investigative case file information.	Cut off following destruction of hard copy (22B1b). Delete 5 years later.
	c. Automated investigative indices. Information used to provide an index to investigation case files. Included are names, dates of birth, social security numbers, address information of complainant, victims, witnesses, subjects, targets and other names of persons related to the	Delete when automated investigative case file information (22B2b) is deleted.

22/1A
(GRS 22/13)

22/1B
(GRS 22/13)

RECORD SYMBOL	DESCRIPTION OF RECORD	AUTHORIZED DISPOSITION
	conduct of an investigation.	
	d. Investigative personnel data. Information maintained to assign personnel to perform and/or manage specific investigations. Included are name, date of birth, marital status, sex, social security number, skills, training, performance ratings and awards, education and other pertinent data.	Cut off on separation date of employee. Delete 10 years after cutoff.
	e. Automated time reporting system. Record of hours charged to different tasks by investigative personnel.	Cut off following last pay period of calendar year. Delete 15 years after cutoff.
	f. Automated table of investigative equipment. Information related to all serialized and other investigative equipment in Central Office and each Field Office.	Delete after disposal or destruction of equipment.
	g. Information obtained from the Federal Procurement Data System for investigative lead purposes.	Delete when no longer needed.
	h. Documentation. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports related to IIS.	Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.
22B3- 22B4.	<u>Reserved.</u>	
22B5.	WITHDRAWN BY CHGE	

OAD P 1820.2 CHGE

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
22B6- 22B9.	<u>Reserved.</u>	
22B10.	WITHDRAWN BY CHGE	