

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-86-004

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Item 1 was not appraised

Item 2 was superseded by N1-412-01-009

Item 3 was superseded by N1-412-02-001

Item 4 was not appraised but was still shown as superseded by N1-412-07-070 item 3

Item 5 was superseded by N1-412-07-070 item 3

Item 6 was not appraised but was still shown as superseded by N1-412-07-070 item 4

Item 7 was superseded by N1-412-07-070 item 5

Item 8 was superseded by N1-412-02-002

Item 9 was superseded by N1-412-94-002 item 22

Item 10 was superseded by N1-412-94-002 item 18 and N1-412-06-006 schedule 127

Item 11 was superseded by N1-412-94-002 item 21

Items 12 and 13 were not appraised

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

TO: **GENERAL SERVICES ADMINISTRATION**
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

JOB NO. **N1-412-86-4**
DATE RECEIVED **8-1-86**

1 FROM (Agency or establishment)

NOTIFICATION TO AGENCY

Environmental Protection Agency

2 MAJOR SUBDIVISION

Office of the Inspector General

3 MINOR SUBDIVISION

In accordance with the provisions of 44 USC 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.

4 NAME OF PERSON WITH WHOM TO CONFER

Harold Webster

Thomas Tasker

5 TELEPHONE EXT

382-5912

382-5911

DATE

7-20-87

ARCHIVIST OF THE UNITED STATES

Frank S. Bunker

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 5 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

7/29/86

C SIGNATURE OF AGENCY REPRESENTATIVE

Harold E. White
Thomas Tasker

D TITLE

Agency Records Management Officer

7
ITEM
NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR
SUPERSEDED
JOB
CITATION

10 ACTION
TAKEN
(NARS USE
ONLY)

1 - 13

The Inspector General Records Control Schedule is being revised to make it consistent with the Program's current operations. The revision of this Schedule is part of a major review and update of the EPA Records Control Schedules.

Attached is a copy of the revised Inspector General Records Control Schedule.

Appendix
B
Schedule
19

Copies to agency, NCF, NWF

(11 items)

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
INSPECTOR GENERAL RECORDS		AGENCYWIDE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
1.	<u>Program Management Files.</u> Contains data relating to the management and operation of the Office of Inspector General's audit and investigation program. Records consist of correspondence, reports, program planning documents, personnel needs, and other program management matters.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file at end of year. Keep in office 21 months, then transfer to the FRC. Destroy when 5 years old.
2.	<u>Investigative Reports.</u> Case files of investigative reports and related papers on EPA personnel or private persons or concerns having relationship with EPA relating to violations of standards of conduct, regulations or of Federal criminal law. 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 for handling, and support files providing general information which may prove useful in Inspector General Investigations. b. All other investigative case files.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file when project or transaction is completed. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old. <u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file when project or transaction is completed. Keep in office 3 years, then transfer to the FRC. Destroy when 10 years old.
3.	<u>Inspection of Procedures or Programs.</u> Reports and related documents of inspection of procedures or programs to detect conditions that may lead to violations of laws and regulations.	<u>Retention:</u> Retain 8 years. <u>Disposition:</u> Break file after inspection is completed. Keep in office 2 years, then transfer to the FRC. Destroy when 8 years old.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

INSPECTOR GENERAL RECORDS

COVERAGE OF SCHEDULE

AGENCYWIDE

ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
4.	<p><u>Final Reports of Audits.</u> Final reports of internal audits on Agency systems and procedures, and external audits conducted on contractors and grantees. Included are the following types of audits: initial pricing, construction grant audits, overhead audits, internal Agency systems surveys, interim audits, and final audits. Documentation consists of report showing purpose and scope of audit, background data, survey contents, and conclusions and recommendations.</p> <p>a. <u>Official Copies.</u> Maintained at Headquarters.</p> <p>b. <u>Other Copies.</u> Maintained in Regional Audit offices.</p>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file after final resolution of audit findings. Keep in office current fiscal year plus 2 additional years, then transfer to the FRC. Destroy when 8 years old.</p> <p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Destroy in office when 4 years old or sooner if no longer needed for administrative or reference purpose.</p>
5.	<p><u>Audit Workpaper Files.</u> Includes documentation in support of conclusions expressed in Final Audit. Reports of all internal and external audits conducted. Workpapers show a record of work performed, the method of analysis, the information collected and its source, and other information.</p>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file upon completion of audit. Keep in office current fiscal year plus 21 additional months after final resolution of audit findings, then transfer to the FRC. Destroy when 8 years old.</p>
6.	<p><u>Semiannual Reports.</u> Semiannual reports prepared by the Inspector General and submitted to Congress. The reports summarize the activities of the Office of Inspector General for the preceeding six-month periods ending March 31 and September 30. For details on composition of these reports see Section 5, Public Law 95-452 dated October 12, 1978.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 3 years.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

INSPECTOR GENERAL RECORDS

AGENCYWIDE

ITEM
NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

7. Suspension and Debarment Files. Contains records relating to the suspension and debarment of contractors and grantees for misconduct or poor performance.

Disposition:

a. Record Copy. Break file upon transmission to Congress. Keep in office 5 years, then transfer to the FRC. Keep in FRC 15 years, then offer to the National Archives in 5 years blocks when 20 years old.

b. Information Copies. Destroy when 3 years old or sooner if no longer needed.

Retention: Retain 8 years.

Disposition: Break file upon completion of case. Keep in office current fiscal year plus 2 additional years, then transfer to the FRC. Destroy when 8 years old.

8. Hotline Files. Contains records relating to Hotline complaints which include internal forms, memos, and correspondence with responsible official, synopsis of case, and copies of closing reports.

Retention: Retain 10 years.

Disposition: Break file upon completion of case. Keep in office current fiscal year plus 2 additional years, then transfer to the FRC. Destroy when 10 years old.

9. Controlled and Major Correspondence of the Inspector General. Includes copies of controlled and major correspondence signed by the Inspector General. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures.

Retention: Permanent.

Disposition: Break file at end of year. Keep in office current year plus 1 additional year, then transfer to the FRC. Keep in FRC for 10 years, then offer to the National Archives in 5 yr. blocks when 10 years old.

10. General Correspondence of the Inspector General. Includes copies of non-controlled (routine) correspondence. Records consist of incoming letters and enclosures.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

TITLE OF SCHEDULE INSPECTOR GENERAL RECORDS		COVERAGE OF SCHEDULE AGENCYWIDE
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
11.	<u>Speeches by Inspector General or Staff.</u> Speeches prepared for delivery at civic functions and professional conferences and meetings.	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file after presentation. Keep in office 5 years, then transfer to the FRC. Keep in FRC for 5 years, then offer to the National Archives in 5 yr. blocks when 10 yr. old.</p> <p>b. <u>Information Copies.</u> Destroy when 1 year old or sooner if no longer needed.</p>
12.	<u>Personnel Security Clearance Files.</u> A record of investigations of personnel employed by, or seeking employment with the Agency, or whose relationship with the Agency requires a security clearance.	<p><u>Retention:</u> Retain 5 years after termination of employment.</p> <p><u>Disposition:</u> Keep in office 5 years after separation or transfer of employee, then destroy.</p>
	a. Case files documenting the investigations of Federal employees and applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for EPA under contract, who require an approval before having access to Government facilities or to sensitive data.	<p><u>Retention:</u> Retain 2 years after termination of employment.</p> <p><u>Disposition:</u> Keep in office 2 years after separation or transfer of employee, then destroy.</p>
	b. Investigate reports and related papers furnished to EPA by investigative organizations for use in making security/suitability determinations.	
13.	<u>Personnel Security Clearance Status Files.</u> Records maintained to show the security clearance status of individuals, either in the form of list or rosters.	<p><u>Retention:</u> Destroy.</p> <p><u>Disposition:</u> Break file when superseded or obsolete, then destroy.</p>

RECORDS MANAGEMENT MANUAL

Atch to SF 115 (Revised Item Numbers compared to Previous Item Numbers,
Schedule Number, and NARS Job Number)

Title Of Schedule: Inspector General Records

<u>REVISED</u> <u>Item Numbers</u>	<u>Item No.</u>	<u>PERVIOUS</u> <u>Schedule No.</u>	<u>NARS Job No.</u>
1.	1	B - 19	NC-1-412-83-3
2.	2		
3.	3		
4.	4		
5.	5		
6.	6		
7. (New)			
8. "			
9. "			
10. "			
11. "			
12. "			
13. "			

Atch to SF 115 (Info for "PERMANENT" retention records)

Title Of Schedule: Inspector General Records

<u>Item No.</u>	<u>Volume On Hand</u>	<u>Growth Per Year</u>	<u>Arrangement Of Files</u>
9.	2	1	Subject
11.	1/4	1/8	Chronological