

Request for Records Disposition Authority

Records Schedule Number **DAA-0478-2019-0002**

Schedule Status **Approved**

Agency or Establishment **Office of Personnel Management**

Record Group / Scheduling Group **Records of the Office of Personnel Management**

Records Schedule applies to **Major Subdivision**

Major Subdivision **Office of the Inspector General**

Schedule Subject **Records of the Office of the Inspector General for the United States
Office of Personnel Management**

Internal agency concurrences will
be provided **No**

Background Information **The Office of the Inspector General (OIG) provides comprehensive and cohesive oversight of the Office of Personnel Management (OPM) and is dedicated to promoting accountability and transparency both within and outside the agency. Its mission is to provide independent and objective oversight of OPM programs and operations by conducting audits, investigations, evaluations, administrative sanction actions, legal and legislative affairs, and other congressional mandates.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	1	12	0

GAO Approval

Outline of Records Schedule Items for DAA-0478-2019-0002

Sequence Number	
1	Audit Files
1.1	Working Papers Disposition Authority Number: DAA-0478-2019-0002-0001
1.2	Audit Report Files Disposition Authority Number: DAA-0478-2019-0002-0002
2	Investigations Case Files Disposition Authority Number: DAA-0478-2019-0002-0003
3	Complaints Files Disposition Authority Number: DAA-0478-2019-0002-0004
4	Evaluations Files
4.1	Working Papers Disposition Authority Number: DAA-0478-2019-0002-0005
4.2	Report Files Disposition Authority Number: DAA-0478-2019-0002-0006
5	Office of Management, Administrative Sanctions Files
5.1	Healthcare Provider Debarment Files Disposition Authority Number: DAA-0478-2019-0002-0007
5.2	FEHBP Carrier Records Disposition Authority Number: DAA-0478-2019-0002-0008
6	Legislative Files: Reviews and Recommendations Concerning Proposed and Existing Legislation Disposition Authority Number: DAA-0478-2019-0002-0009
7	Council of the Inspectors General on Integrity and Efficiency (CIGIE) Files Disposition Authority Number: DAA-0478-2019-0002-0010
8	OIG Program Files Disposition Authority Number: DAA-0478-2019-0002-0011
9	Semiannual Report to Congress Files
9.1	Working Papers Disposition Authority Number: DAA-0478-2019-0002-0012
9.2	Final Reports Disposition Authority Number: DAA-0478-2019-0002-0013

Records Schedule Items

Sequence Number																			
1	<p>Audit Files</p> <p>The Office of Audits performs and oversees audits to promote the economical, efficient, and effective administration of OPM programs and operations. Key areas of emphasis are compliance and information technology (IT) audits of healthcare carriers participating in the Federal Employees Health Benefits Program (FEHBP) and other benefits programs, internal OPM operations, and statutorily mandated audits involving financial reporting and IT security. These audits help reduce waste, abuse, and mismanagement, identify misspent funds for recovery, and promote economy and efficiency throughout OPM.</p>																		
1.1	<p>Working Papers</p> <p>Disposition Authority Number DAA-0478-2019-0002-0001</p> <p>Files that document the audit process and the resulting findings of an audit. These files are evidence of audit work performed and include: audit programs; quality assurance reviews; evidence of audit work performed, including analytical reviews with auditors' conclusions, audit documentation, and correspondence related to the audit.</p> <table> <tr> <td>Final Disposition</td><td>Temporary</td></tr> <tr> <td>Item Status</td><td>Active</td></tr> <tr> <td>Is this item media neutral?</td><td>Yes</td></tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>Yes</td></tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td><td>Yes</td></tr> <tr> <td>GRS or Superseded Authority Citation</td><td>N1-478-08-001/2a</td></tr> </table> <p>Disposition Instruction</p> <table> <tr> <td>Cutoff Instruction</td><td>Cut off upon closure of all recommendations, or if none, issuance of report.</td></tr> <tr> <td>Retention Period</td><td>Destroy 10 year(s) after cutoff</td></tr> </table> <p>Additional Information</p> <table> <tr> <td>GAO Approval</td><td>Not Required</td></tr> </table>	Final Disposition	Temporary	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	Do any of the records covered by this item exist as structured electronic data?	Yes	GRS or Superseded Authority Citation	N1-478-08-001/2a	Cutoff Instruction	Cut off upon closure of all recommendations, or if none, issuance of report.	Retention Period	Destroy 10 year(s) after cutoff	GAO Approval	Not Required
Final Disposition	Temporary																		
Item Status	Active																		
Is this item media neutral?	Yes																		
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes																		
Do any of the records covered by this item exist as structured electronic data?	Yes																		
GRS or Superseded Authority Citation	N1-478-08-001/2a																		
Cutoff Instruction	Cut off upon closure of all recommendations, or if none, issuance of report.																		
Retention Period	Destroy 10 year(s) after cutoff																		
GAO Approval	Not Required																		
1.2	<p>Audit Report Files</p>																		

Disposition Authority Number DAA-0478-2019-0002-0002

Final reports, as well as draft reports, auditees' responses to draft reports, audit resolution memoranda, and all other correspondence related to the draft and final report.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-478-08-001/2b

Disposition Instruction

Cutoff Instruction Cut off upon closure of all recommendations, or if none, issuance of report.

Retention Period Destroy no sooner than 15 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

Investigations Case Files

Disposition Authority Number DAA-0478-2019-0002-0003

The Office of Investigations (OI) conducts criminal, civil, and administrative investigations of fraud, waste, and abuse related to OPM programs and operations. The case files are developed during investigations of known or alleged fraud, waste, and abuse and irregularities and violations of laws and regulations. The cases relate to OPM programs and operations administered or financed by the agency, and to agency personnel, contractors, and other persons having a relationship with the agency. Complaint and investigative files may consist of memoranda of interviews, reports of investigation, and case related documents, such as subpoenas, records (e.g, medical, financial and legal), correspondence, notes, attachments, and working papers. These records contain documentation of actions taken during criminal, civil, and/or administrative investigation conducted by OI. Includes data from the case management and tracking system and documentation stored elsewhere.

Final Disposition Temporary

3

Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-478-08-001/3a N1-478-08-001/3b N1-478-08-001/3e
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the fiscal year in which the investigation is closed.
Retention Period	Destroy no sooner than 15 year(s) after cutoff but longer retention is authorized
Additional Information	
GAO Approval	Not Required
Complaints Files	
Disposition Authority Number	DAA-0478-2019-0002-0004
Records containing information or allegations which are of an investigative nature, but do not lead to an investigation. Files include: anonymous or vague allegations not warranting an investigation, matters referred to internal or external stakeholders (e.g., Federal agencies, Program Offices) for handling, and support information for the initiation of an investigation.	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-478-08-001/3d

4	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which the complaint is closed.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Evaluations Files	
	The Office of Evaluations (OE) provides the Inspector General with an alternative method to conduct independent, credible, and thorough reviews of OPM's program and operations to prevent waste, fraud, and abuse. OE quickly analyzes OPM concerns or issues that need immediate attention, and OE reports provide OPM management with findings and practical recommendations that will assist in enhancing program operations, efficiency, effectiveness, and compliance with applicable policies and procedures.	
	Working Papers	
	Disposition Authority Number	DAA-0478-2019-0002-0005
	Files that document the evaluation process and the resulting findings. These files are evidence of evaluation work performed and include: evaluation programs; quality assurance reviews; evidence of evaluation work performed, including analytical reviews with evaluators' conclusions, evaluation documentation, and correspondence related to the evaluation.	
4.1	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of fiscal year in which evaluations recommendations are closed or if none, issuance of report.
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	

	GAO Approval	Not Required
4.2	Report Files	
	Disposition Authority Number	DAA-0478-2019-0002-0006
	These documents are the official record files of evaluations. They include: draft reports, final reports, evaluated parties' responses to draft reports, evaluation resolution memoranda, and all other correspondence related to the draft and final report. They also include final reports making no recommendations for corrective action.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of fiscal year in which evaluations recommendations are closed or if none, issuance of report.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
5	Office of Management, Administrative Sanctions Files	
	OPM is required by law to debar healthcare providers from participating in the Federal Employees Health Benefits Program (FEHBP) when they, among other things, have lost professional licenses, been convicted of a crime related to delivery of or payment for healthcare services, violated provisions of a Federal program, or been debarred by another Federal agency. The OIG operates these authorities under delegation from the OPM Director.	
5.1	Healthcare Provider Debarment Files	
	Disposition Authority Number	DAA-0478-2019-0002-0007
	Documents and information related to actions against healthcare providers as authorized by 5 U.S.C. 8902a and 5 CFR Part 890, Subpart J. Files include copies of OIG investigative reports and other forms of informational materials on FEHBP	

providers, Administrative Sanctions' analyses and recommendations, notices to healthcare providers, contests, final decisions, and other related materials.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than re-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-478-08-001/1a1
N1-478-08-001/1a2

Disposition Instruction

Cutoff Instruction Cut off when debarment action is finalized.

Retention Period Destroy 15 year(s) after cutoff

Additional Information

GAO Approval Not Required

FEHBP Carrier Records

Disposition Authority Number DAA-0478-2019-0002-0008

Files maintained on carriers participating in the FEHBP. Files include plans and procedures of carriers to comply with OIG debarment or suspension guidelines, transmittals between carriers and Administrative Sanctions, enrollee requests for exception to a provider's debarment, and OIG's periodic audits of carrier compliance relative to OIG debarment and suspension guidance, and carrier semiannual activity reports.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than re-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-478-08-001/1c

5.2

6

Disposition Instruction

Cutoff Instruction Cut off upon termination of the carrier's participation in the FEHBP.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Legislative Files: Reviews and Recommendations Concerning Proposed and Existing Legislation

Disposition Authority Number DAA-0478-2019-0002-0009

The Office of Legal and Legislative Affairs provides independent legal advice and support to the Inspector General in all areas, including regarding the Inspector General Act of 1978, as amended (IG Act), litigation, and administrative matters. The Office of Legal and Legislative Affairs also provides legal advice and support to other offices within the OIG. The Office of Legal and Legislative Affairs also reviews existing and proposed legislation and regulations to make recommendations concerning the impact of such legislation or regulations on the economy and efficiency in the administration of programs and operations administered or financed by OPM or the prevention and detection of fraud and abuse in such programs and operation. These records are files regarding proposed and existing legislation relating to OPM programs and operations, including internal memoranda, legislative history, bill reports, office correspondence from members of Congress, Congressional testimony, comments, and related correspondence. The remaining records of this office are covered by the GRS or are expected to be covered by the forthcoming GRS 6.7.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-478-08-001/4c1

Disposition Instruction

Cutoff Instruction Cut off at end of Congressional session.

Retention Period Destroy 6 year(s) after cutoff

7	Additional Information	
	GAO Approval	Not Required
	Council of the Inspectors General on Integrity and Efficiency (CIGIE) Files	
	Disposition Authority Number	DAA-0478-2019-0002-0010
	Records created pursuant to involvement in the Council of the Inspectors General on Integrity and Efficiency (CIGIE) and subsidiary committees or working groups thereof, as well as any predecessor or successor entities.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than re-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-478-08-001/6
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Retention Period	Destroy 5 year(s) after cutoff
8	Additional Information	
	GAO Approval	Not Required
	OIG Program Files	
	Disposition Authority Number	DAA-0478-2019-0002-0011
	Records relating to the activities of the OIG in directing and carrying out its policies, functions, and responsibilities that are not related to a specific investigation, audit, or evaluation. These records include, but are not limited to, planning materials; internal policies, guidance, procedures, meeting materials, and correspondence; and other related materials.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	Yes

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-478-08-001/5
	Disposition Instruction	
	Cutoff Instruction	Cut off when superseded or obsolete.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
9	Semiannual Report to Congress Files	
9.1	Working Papers	
	Disposition Authority Number	DAA-0478-2019-0002-0012
	Working papers of congressionally mandated reports, which include but are not limited to, materials submitted by OIG components about their work products that are synopsized in the congressionally mandated reports and publication of staff comments regarding that material.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
9.2	Final Reports	
	Disposition Authority Number	DAA-0478-2019-0002-0013

Reports submitted to Congress pursuant to the IG Act, summarizing significant OIG activities for the 6-month periods ending March 31 and September 30 and other reports as mandated by Congress.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Records are electronic.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year in which report is filed.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 1 year(s) after block closes

Additional Information

First year of records accumulation 1998

What will be the date span of the initial transfer of records to the National Archives? From 1998 To 2013

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	80 MB	4 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
04/29/2019	Certify	Bethany Letalien	Management Analyst	Office of the Chief Information Officer - Information Management Division
09/25/2019	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/30/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/01/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/02/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist