

# Request for Records Disposition Authority

(See Instructions on reverse)

To **National Archives and Records Administration (NIR)**  
**Washington, DC 20408**

1 From (Agency or establishment)

**Federal Housing Finance Board (FHFB)**

2 Major Subdivision

**Office of Inspector General**

3 Minor Subdivision

4 Name of Person with whom to confer

**Karen Rogers**

5 Telephone (include area code)

**202/408-2910**

## Leave Blank (NARA Use Only)

Job Number

**N1-485-08-2**

Date Received

**10/30/07**

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

Date

**12/1/07**

Archivist of the United States

**Albin L. Kuhn**

## 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

☐ has been requested

Signature of Agency Representative

**Karen M. Rogers**

Title

**Records Officer**

Date (mm/dd/yyyy)

**10/17/07**

7  
Item  
Number

8 Description of Item and Proposed Disposition

9 GRS or  
Superseded  
Job Citation

10 Action  
taken (NARA  
Use Only)

**See attachment.**

Reviewed by:

**James A. Kays**

**Associate General Counsel, FHFB**

**10-23**

**10/23/07**

Date

**Acting Director, Office of Management**

**10/24/07**

Date

FILE PLAN – INSPECTOR GENERAL'S RECORDS  
PROPOSED INSPECTOR GENERAL RETENTION SCHEDULE (REVISED 2/26/08)

IG No.	Record Series Title	File Description	Disposition Authority
2	Audit and Survey Workpaper Files	Series contains FHFB-OIG generated workpapers from internal audits and surveys of agency programs, operations, and procedures, and audit peer reviews of other ECIE members' offices	Temporary Cut off at end of calendar year Destroy 6 years and 3 months after cut off  <i>Supersedes NI-485-94-1 Item 3 3 (destroy 8 years after cut off)</i>
3	Office of Inspector General Program Status Reports	<u>Recurring</u> Series contains recurring annual and semiannual non-audit, non-survey, non-investigation, and non-peer review reports that the Inspector General prepares. They include strategic plan, annual audit plan, semiannual reports, internal control assessment and letter of assurance for OIG	Temporary Cut off at end of calendar year Destroy 5 years after cut off  <i>Supersedes NI-485-94-1, Item 3 11 (destroy when no longer needed)</i>
4		<u>Non-Recurring</u> Series contains non-recurring non-audit, non-survey, non-investigation, and non-peer review reports that the Inspector General prepares. They include briefings to members of the Board of Directors, Congressional responses, PCIE/ECIE responses, OMB responses, etc	
5	Chronological File	Series contains copies of all outgoing non-investigative correspondence signed by or approved by the Inspector General	Temporary Cut off at end of each calendar year Destroy 5 years after cutoff  <i>Supersedes NI-485-94-1, Item 34 (destroy when no longer needed)</i>
13	Peer Review Files	Files series contain documents related to the conduct of peer reviews of the investigations units in other IG offices by FHFB OIG. Each file contains the workpapers, other related material, and the final report prepared by FHFB-OIG	Temporary Place in inactive files when the peer review is completed. Cut off inactive file at end of the calendar year that the review is completed. File is updated every 3 years and transferred to another IG office after 9 years
14	Grand Jury (6e) Files	File series contain materials obtained by a grand jury under subpoena. They require special handling and are segregated from the investigation case file and kept under strict physical security while the case is open	Temporary Cut off when case is closed. Retain in a segregated, locked file in OIG for 20 years after case is closed
15	Summary OIG Workload Status Reports	File series contains summary reports on the status of audits, investigations, peer reviews, and legislation/regulation reviews initiated by FHFB-OIG. Each report is updated every six months	Temporary Cut off at the end of each calendar year Destroy 5 years after cut off

FILE PLAN – INSPECTOR GENERAL'S RECORDS  
PROPOSED INSPECTOR GENERAL RETENTION SCHEDULE (REVISED 2/26/08)

16	Inspector General Community Operational Guidance	Series contains correspondence and information regarding OIG community standards, procedures and guidance. They include President's Council on Integrity and Efficiency (PCIE) correspondence, and Executive Council on Integrity and Efficiency (ECIE) correspondence, non-peer review related correspondence with other IG offices, correspondence and guidance issued by the GAO, OMB, the Congress, etc.	Temporary Cut off at end of each calendar year Destroy 3 years after cut off  <i>Supersedes NI-485-94-1 Item 3.7 (destroy when no longer needed)</i>
17	FHFB-OIG Audit Reports File	Series includes audit reports issued by FHFB-OIG. In addition, it includes audit reports issued by GAO and other entities that address FHFB and FHLBank System operations.	Temporary Cut off at end of calendar year Transfer to the Washington National Records Center after 6 years and 3 mos Destroy 10 years after the cut off
19	Office of Inspector General - Subject Files	Series includes a file for each non-investigation project initiated by OIG. Each file contains correspondence and documents along with the original of any final product issued by OIG. Files are established for each audit, survey, and special project.	Temporary Cut off at end of calendar year Transfer to the Washington National Records Center after 6 years and 3 months Destroy 10 years after cutoff
20	OIG Policy and Procedure Files	Series contains all records that define or document the policies and procedures established for planning, directing, controlling, performing and assessing OIG functions, including operations manuals, OIG policy bulletins, investigations policies and procedures, audit policies and procedures, and Office standard operating procedures.	Temporary Destroy when obsolete or superseded
22	Review of Legislation, Regulations, and Agency Policies and Procedures	Series contains documents related to OIG's review of existing and proposed legislation and regulations that impact FHFB or OIG operations. In addition to existing and proposed FHFB policies and procedures. Each file contains copies of the existing or proposed legislation, regulation, or policy and procedure, and other relevant documents for each file.	Temporary Information is updated as appropriate Destroy outdated records after 2 years