

## Part 16 - Audit and Investigative Records

This schedule covers audit and investigative reports created by the Department of Education as well as those acquired in the course of business.

Audit and investigation report records are created by the Office of Inspector General (OIG), under the general supervision of the Secretary. OIG is responsible for conducting and supervising audits and investigations relating to programs and operations of the Department; for providing leadership, coordination and policy recommendations to promote economy, efficiency and effectiveness, and to prevent and detect fraud and abuse in the administration of the programs and operations of the Department; and for keeping the Secretary and Congress fully informed in a timely manner about problems and about the necessity for and progress of corrective actions in the administration of the Department's programs and operations.

Note: For items 3 and 4 of this schedule, in December 1998 NARA withdrew the authority for Federal agencies to dispose of Inspector General Records under General Records Schedule 22. The Department is in the process of revising the records schedules for these items.

### ED/RDS

### ITEM

### NO.

### DESCRIPTION OF RECORDS

### DISPOSAL

### AUTHORITY

#### **AUDIT REPORTS**

1.

**Master Set of Audit Reports on Department of Education Programs** (regional and central office) with related correspondence and administrative documentation. This set of audit reports provides the central source within the Department of information for audits performed under the Inspector General.

Disposition: Destroy 5 years after completion of audit.

NARA Job No.  
NC1-12-76-1

2. **Non-ED OIG Audit Reports.**

Reports affecting direct ED funded programs, audited by non-ED federal auditors, independent public accountants, and state and local government auditors.

## Part 16 - Grant and Loan Program Records

<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
a.	<u>Hard Copy System.</u>  <u>Disposition:</u> <b>TEMPORARY.</b> Cutoff at end of fiscal year in which review of audit is completed. Retire to the Federal Records Center 1 year after cutoff. Destroy 8 years after cutoff.	NARA Job No. NI-441-89-1 Item 2a
b.	<u>Microfilm System.</u>  <u>Disposition:</u> <b>TEMPORARY.</b> Destroy hard copy (textual record) immediately after microfilm has been proofread, verified and tested. Cutoff film at the end of the fiscal year after completion of the report. Destroy 8 years after cutoff.	NARA Job No. NI-441-89-1 Item 2b

### 3. **Audit Case Files of Civilian Agencies other than the Central Intelligence Agency.**

Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.

Disposition: Cutoff at end of fiscal year in which case is closed. Destroy 8 years after cutoff.

### **INVESTIGATIVE RECORDS**

### 4. **Investigative Case Files for Civilian Agencies other than the Central Intelligence Agency.**

Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations, **excluding** those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Cases relate to agency personnel and programs and operations administered or financed by the agency including contractors and other having a relationship with

## Part 16 - Grant and Loan Program Records

**ED/RDS**  
**ITEM**  
**NO.**

**DESCRIPTION OF RECORDS**

**DISPOSAL**  
**AUTHORITY**

the agency. 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.

- 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.

Disposition: Destroy when 5 years old.

- b. All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others.

Disposition: Place in inactive files when case is closed. Cut off inactive file at end of the fiscal year. Destroy 10 years after cutoff.

*[Note: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures, are not covered by this item. The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting an SF115.]*