

Request for Records Disposition Authority

Records Schedule Number **DAA-0297-2014-0016**
Schedule Status **Approved**

Agency or Establishment **Library of Congress**
Record Group / Scheduling Group **Records of the Library of Congress**
Records Schedule applies to **Agency-wide**
Schedule Subject **Inspector General**
Internal agency concurrences will be provided **No**

Background Information

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 6 | 3 | 3 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0297-2014-0016

| Sequence Number | |
|-----------------|--|
| 1 | Audit Files |
| 1.1 | Final Reports |
| 1.1.1 | Final Reports from 1988 forward Disposition Authority Number: DAA-0297-2014-0016-0001 |
| 1.2 | Annual Audit Plans Disposition Authority Number: DAA-0297-2014-0016-0002 |
| 1.3 | Background Materials for Audit Files Disposition Authority Number: DAA-0297-2014-0016-0003 |
| 2 | Investigative Case Files |
| 2.1 | Significant Case Files Disposition Authority Number: DAA-0297-2014-0016-0004 |
| 2.2 | All Other Case Files That Resulted in Investigation Disposition Authority Number: DAA-0297-2014-0016-0005 |
| 3 | Semiannual Reports to the Congress Disposition Authority Number: DAA-0297-2014-0016-0006 |

Records Schedule Items

| Sequence Number | | | | | |
|-----------------|--|-----------------|--------------|--------|--|
| 1 | <p>Audit Files Audit files for audits and evaluations that assist management in resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Audit files also include external audits of contractors, grantees and audit peer review files, which document the conduct of peer reviews of the audit units in other Inspector General Offices by the Library's Office of Inspector General, or of the Library's OIG audit units by an external OIG.</p> | | | | |
| 1.1 | <p>Final Reports</p> | | | | |
| 1.1.1 | <p>Final Reports from 1988 forward Disposition Authority Number DAA-0297-2014-0016-0001 (2) Final Reports from 1988 forward. Final Disposition Permanent 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? No</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>1801a2</td> <td>Library of Congress Records Schedule (LRS)</td> </tr> </tbody> </table> <p>Disposition Instruction Cutoff Instruction CUTOFF at end of fiscal year in which the reports are completed. Transfer to Inactive Storage TRANSFER to RMS 3 years after cutoff. Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.</p> <p>Additional Information</p> | Manual Citation | Manual Title | 1801a2 | Library of Congress Records Schedule (LRS) |
| Manual Citation | Manual Title | | | | |
| 1801a2 | Library of Congress Records Schedule (LRS) | | | | |

1.2

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
To Be Determined

How frequently will your agency transfer these records to the National Archives? **Unknown**
To Be Determined

Annual Audit Plans

Disposition Authority Number **DAA-0297-2014-0016-0002**

b. Annual Audit Plans

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? **No**

| Manual Citation | Manual Title |
|-----------------|--|
| 1801b | Library of Congress Records Schedule (LRS) |

Disposition Instruction

Cutoff Instruction **CUTOFF at end of fiscal year in which the plan is written.**

Transfer to Inactive Storage **TRANSFER to RMS 3 years after cutoff.**

Retention Period **Destroy 10 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

1.3

Background Materials for Audit Files

Disposition Authority Number **DAA-0297-2014-0016-0003**

c. Records created or acquired during the course of the audit and the development of the final report. Includes correspondence; notes; attachments; evidence; working papers; preliminary, final and follow-up reports; recommendations, etc. Arranged numerically by project number.

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? No

| Manual Citation | Manual Title |
|-----------------|--|
| 1801c | Library of Congress Records Schedule (LRS) |

Disposition Instruction

Cutoff Instruction CUTOFF at end of fiscal year in which the related audit or evaluation is completed.
 Transfer to Inactive Storage TRANSFER to RMS 3 years after cutoff.
 Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Investigative Case Files

Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency personnel, programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as evidence, correspondence, notes, attachments, and background and working files. This includes investigative files relating to employee and hotline complaints and other miscellaneous complaint files.

Significant Case Files

Disposition Authority Number DAA-0297-2014-0016-0004

a. Case files of significant value because the case: 1) attracts national media attention; 2) results in a Congressional investigation; 3) results in substantive changes to Library policies and procedures; or 4) involves senior Library officials. Significant cases will be selected by the Library of Congress, Office of the Inspector General, based on the criteria listed in this item.

Final Disposition Permanent

2

2.1

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? **No**

| Manual Citation | Manual Title |
|-----------------|--|
| 1802a | Library of Congress Records Schedule (LRS) |

GRS or Superseded Authority Citation **Supersedes N1-297-01-1, Item 2a**

Disposition Instruction

Cutoff Instruction **CUTOFF at end of fiscal year in which case file is closed.**
 Transfer to Inactive Storage **TRANSFER to RMS 3 years after cutoff.**
 Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown To Be Determined**
 How frequently will your agency transfer these records to the National Archives? **Unknown To Be Determined**

2.2

All Other Case Files That Resulted in Investigation

Disposition Authority Number **DAA-0297-2014-0016-0005**

b. Files containing information or allegations which relate to closed investigations not included in Item 1802a.

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? **No**

| Manual Citation | Manual Title |
|-----------------|--|
| 1802b | Library of Congress Records Schedule (LRS) |

GRS or Superseded Authority Citation **Supersedes N1-297-01-1, Item 2a**

Disposition Instruction

Cutoff Instruction **CUTOFF at end of fiscal year in which case file is closed.**

Transfer to Inactive Storage **TRANSFER to RMS 3 years after cutoff.**

Retention Period **Destroy 5 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

Semiannual Reports to the Congress

Disposition Authority Number **DAA-0297-2014-0016-0006**

OIG prepares a semiannual report no later than April 30 and October 31 of each year summarizing the activities of the OIG during the immediately preceding six-month periods ending March 31 and September 30. The Librarian is given an opportunity to comment on the report before it is printed by OIG and distributed to Congress by May 30 and November 30.

Final Disposition **Permanent**

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? **No**

| Manual Citation | Manual Title |
|-----------------|--------------|
|-----------------|--------------|

3

1803

Library of Congress Records Schedule
(LRS)

Disposition Instruction

| | |
|--|--|
| Cutoff Instruction | CUTOFF 3 years after publication. |
| Transfer to Inactive Storage | TRANSFER to RMS in 5-year blocks after last cutoff. |
| Transfer to the National Archives for Accessioning | TRANSFER to NARA in 5-year blocks 15 years after cutoff. |

Additional Information

| | |
|---|-----------------------------|
| What will be the date span of the initial transfer of records to the National Archives? | Unknown To Be Determined |
| How frequently will your agency transfer these records to the National Archives? | Unknown To Be Determined |

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 |
|------------|--------------------------|------------------|---|--|
| 01/27/2014 | Certify | John Nave | Chief, Office System Services | OSS - OSS |
| 03/07/2014 | Return for Revision | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 07/09/2014 | Submit For Certification | Ashley Davies | Records Management Specialist | OSS - RMS |
| 07/09/2014 | Certify | Ashley Davies | Records Management Specialist | OSS - RMS |
| 11/05/2014 | Submit for Concurrence | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 11/10/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 11/12/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 11/13/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |