

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-563-09-010**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/6/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 6 superseded by DAA-0563-2019-0002-0001

Items 7a and 7b superseded by DAA-0563-2019-0002-0003

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-563-09-10</i>	
1 FROM (Agency or establishment) <b>Department of Homeland Security</b>		Date Received <i>4/30/09</i>	
2 MAJOR SUB DIVISION <b>Office of Inspector General</b>		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Kathy Schultz</b>	5 TELEPHONE <b>202-447-5075</b>	DATE <i>9/20/11</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
<b>6 AGENCY CERTIFICATION</b> 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 <u>4</u> page(s) are not needed now 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 the GAO Manual for Guidance of Federal Agencies. <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <b>4/20/09</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy Schultz</i>		TITLE <b>Senior Records Officer</b>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
<b>1</b>	<b>See attached sheet(s) for:</b>  <b>Office of Inspector General</b>  <b>Reports, Workpapers, Correspondence, and Other Records</b>		

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

**Inspector General, Office of**

The Homeland Security Act of 2002 provided for the establishment of an Office of Inspector General (OIG) in the Department of Homeland Security (DHS) by amendment to the Inspector General Act of 1978, as amended. The OIG serves as an independent and objective inspection, audit, and investigative body to promote effectiveness, efficiency, and economy in the department's programs and operations. The OIG's objective is to prevent and detect fraud, waste, and abuse in such programs and operations. The Inspector General is appointed by the President, subject to confirmation by the Senate, and reports directly to the Secretary and to Congress.

This schedule covers records related to OIG audit and inspection reports, supporting documentation and work papers, OIG correspondence, policy and procedural guidance, and other records maintained by various OIG components. Excluded are OIG investigative case files and the Enforcement Data System, which are covered under OIG Records Schedule #N1-563-07-5.

The record categories described below consist of both paper files and electronic records.

**Unless otherwise noted, all disposition instructions are media neutral, they apply regardless of the media or format of the records.**

**1 Audit/Inspection Reports and Supporting Documentation**

Reports relating to internal audits, inspections, and special reviews of agency programs, operations and procedures, contractors and grantees, and that recommend improvements in DHS programs and organizational performance. The records include both classified and unclassified information.

**Disposition:**

- a. Performance Audits and Inspection Reports** May include external peer review reports the OIG issues regarding other federal Offices of Inspector General. The records include both classified and unclassified versions of reports.

PERMANENT Cut off at end of fiscal year in which the report is issued. Transfer to National Archives 5 years after cutoff.

- b. Financial Reports, Attestation Engagements, and Advisory Reports** Includes financial statement audit reports and financial assistance (grants) reports.

TEMPORARY Cut off at end of fiscal year in which the report is formally closed (i.e., after final resolution and implementation of all findings and recommendations). Destroy or delete 15 years after cutoff.

- c. Supporting Documentation and Workpapers** Documentation of audit and inspections work performed to support report findings, conclusions, and recommendations. Includes pre-audit or inspection findings, planning materials, internal and external report correspondence, draft reports and DHS management's response, and final reports. Records are created and maintained in either paper form or electronically.

TEMPORARY Cut off at end of fiscal year in which the report is formally closed (i.e., after final resolution and implementation of all findings and recommendations). Destroy or delete 15 years after cutoff.

## 2 Report Follow-up Documentation

Documents related to the monitoring of DHS management's actions on OIG audit and inspection report recommendations. Includes DHS management responses to audit/inspections reports, agreement/disagreement with findings and recommendations, corrective action plans, correspondence regarding the status of open recommendations, requests to close out open recommendations, and other related documentation.

### a Follow-up documentation related to Performance Audit and Inspection Reports

**Disposition PERMANENT** Cut off files at end of fiscal year in which all recommendations are closed and implemented. Transfer to National Archives 5 years after cutoff.

### b. Follow-up documentation related to Financial Reports, Attestation Engagements and Advisory Reports

**Disposition: TEMPORARY** Cut off files at end of fiscal year in which all recommendations are closed and implemented. Destroy or delete 5 years after cutoff.

## 3 Correspondence Signed/Maintained by OIG Office Heads (Headquarters and Field), Deputy Office Heads, and Division-level Directors

Correspondence and related records concerning the internal administration and management of OIG programs that **does not** relate to a specific audit, inspection, or investigation. Includes correspondence with DHS components, other federal, state and local government agencies, and the private sector.

**Disposition: TEMPORARY** Cut off at end of calendar year when the record is created. Destroy or delete 5 years after cutoff.

**NOTE** Item 3 excludes the following records:

- Correspondence related to a specific audit and inspection. This correspondence will be filed with the report work papers and retained according to the disposition instructions in this schedule's Item 1c on Supporting Documentation and Workpapers.
- Correspondence related to a specific investigation. This correspondence will be placed in the appropriate investigative case file and retained according to the disposition instructions for investigative case files (see OIG Records Schedule #N1-563-07-05, Items 1 and 2).
- Correspondence signed by the Inspector General. This correspondence will have a permanent retention per DHS Schedule #N1-563-07-1, Item 4.
- Records covered under General Records Schedule 23, Item 1, Office Administrative files.
- Transitory emails or other correspondence covered under General Records Schedule 23, Item 7.

#### 4 Interagency Agreements, Memoranda of Agreement, and Memoranda of Understanding

Consists of agreements between the OIG and other DHS components, federal agencies, or state and local organizations that delineate tasks, jurisdictions, standard operating procedures or other matters for which the OIG is duly authorized and directed to conduct. Includes both monetary and non-monetary agreements.

**Disposition:**

TEMPORARY Cut off at end of fiscal year when the agreement is superseded or terminated  
Destroy 6 years, 3 months after cutoff

#### 5 Organizational Charts and Files

Includes organizational charts (final/published version), and related proposals, studies, evaluations, functional statements, and correspondence documenting the establishment and reorganization of the OIG.

**a OIG-wide organizational charts approved by the Inspector General** and reviewed by the DHS Secretary (i.e., for major organizational changes such as establishing new OIG functions or offices)

**Disposition:**

PERMANENT Cut off at end of calendar year in which approved. Transfer to National Archives 5 years after cutoff

**b Component-specific organizational charts approved by officials below the Inspector General and that document organizational changes for a single OIG office or division**

**Disposition:**

TEMPORARY Cut off at end of calendar year when replaced or becomes obsolete. Destroy or delete 5 years after cutoff or when no longer needed for business purposes, whichever is later.

#### 6 Performance Measurement Files

Records used for documenting progress toward meeting objectives and performance measures stated in the OIG Strategic Plan, Annual Performance Plan, and OIG budget justifications.

**Disposition:**

TEMPORARY Destroy or delete when 5 years old or 1 year after the responsible office determines that there are no unresolved issues, whichever is longer.

#### 7 Performance Plan Files

Files related to the OIG Annual Performance Plan, which contains approved plans and schedules for OIG audit and inspection activities.

**Disposition:**

**a Final Plan**

TEMPORARY Cut off at end of fiscal year in which the Annual Plan is published. Destroy or delete 10 years after cutoff.

**b Supporting Documentation and Workpapers**

TEMPORARY Cut off files at end of fiscal year in which the Annual Plan is issued. Destroy or delete when 1 year old or when no longer needed for business purposes, whichever is later.

## **8 Policy and Procedures Files**

Files documenting OIG policy decisions and program operational procedures. Records consist of OIG-wide directives, delegations of authority, memorandums setting policy, and component-specific policy standards and technical guidance (i.e., the Audit Manual, Inspections Manual, and Special Agent Handbook)

### **Disposition**

TEMPORARY. Cut off at end of calendar year when policy and procedures are replaced or become obsolete. Destroy or delete 3 years after cutoff, or when no longer needed for business purposes, whichever is later.

## **9 Quality Reviews of OIG Offices**

Files of internal quality reviews of OIG audit and inspection functions and external quality (peer) reviews of all OIG functions including investigations.

### **Disposition**

TEMPORARY. Cut off files at end of fiscal year in which all review recommendations have been resolved and corrective actions made. Destroy or delete 10 years after cutoff.