

ED Records Schedule

SCHEDULE LOCATOR NO.: 216

APPROVED DATE: 09/29/2003

TITLE: Audit Records

PRINCIPAL OFFICE: Office of the Inspector General

NARA DISPOSITION AUTHORITY: N1-441-02-1 Item 1a, 1b

DESCRIPTION:

This schedule covers audit, investigative analysis, inspection, and other records created by the Office of Inspector General (OIG) within the Department of Education as well as those acquired by the OIG in the course of business.

The OIG is responsible for conducting, controlling, and reviewing audits, investigations, inspections, analyses, evaluations, and other appropriate review relating to the programs, operations, and activities of the Department, including Federal Student Aid (FSA) (Performance Based Organization-PBO). In this capacity, the OIG provides leadership, coordination and recommendations to improve performance (efficiency and effectiveness), and to detect or prevent fraud, waste and abuse in the administration of the programs, operations, and activities of the Department.

DISPOSITION INSTRUCTIONS:

a. Audit Reports

This set of records provides the central source within the Department for information on work conducted by the Office of Inspector General staff or under contract for the Office of Inspector General for the following:

Internal audits and reviews and other alternative products with related correspondence and administrative documentation relating to the programs, operations, and activities of the Department of Education, including FSA.

External audits and reviews and other alternative products with related correspondence and administrative documentation relating to entities doing business with the Department of Education, including FSA. Entities generally include, but are not limited to, contractors, grantees, lenders, guaranty agencies, state education agencies, local education agencies, schools, and other third parties having an interest in Department programs, operations and activities.

TEMPORARY

Cut off at end of fiscal year which case is closed. Destroy 5 years after cut off.

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b. Audit Tracking System Master Data Files

This system is used to track assignments by control numbers, conducted by or for Audit Services.

TEMPORARY

Destroy/delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

c. Duplicate Copies Regardless of Medium Maintained for Reference Purposes and That Do Not Serve as the Record Copy

TEMPORARY

Destroy/delete when no longer needed for reference.

IMPLEMENTATION GUIDANCE:

Follow the disposition instructions in ED 086 Information Systems Supporting Materials for system software; input/source records; output and reports; and system documentation.

ARRANGEMENT/ANNUAL ACCUMULATION:

FORMAT:

PREVIOUS DISPOSITION AUTHORITY:

NC1-12-76-1, Item 1

SPECIFIC LEGAL REQUIREMENTS:

SPECIFIC RESTRICTIONS:

BUSINESS LINE: Compliance