

ED Records Schedule

SCHEDULE LOCATOR NO.: 218

APPROVED DATE: 09/29/2003

TITLE: Investigation Records of the Inspector General

PRINCIPAL OFFICE: Office of the Inspector General

NARA DISPOSITION AUTHORITY: N1-441-02-1, Items 2a, 2b and 2c

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 reviews 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. Investigative Files

Files are developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. 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.

TEMPORARY

Cut off files at end of the fiscal year in which case is closed. Destroy 10 years after cut off.

b. Investigative Files Not Relating to a Specific Investigation

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.

ED Records Schedule

TEMPORARY

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

c. Investigative Case File Tracking System Master Data Files

System used to track the above investigations by control numbers assigned to the various cases.

TEMPORARY

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

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:

PREVIOUS DISPOSITION AUTHORITY:

GRS 22, Item 1b

SPECIFIC LEGAL REQUIREMENTS:

SPECIFIC RESTRICTIONS:

BUSINESS LINE: Compliance