



Storage and Disposal of OIG Files

Employees need to properly: 1) store OIG files for current business at OIG office space; and according to the timeframes in the OIG Records Control and General Records Schedules either: 2a) transfer closed files to the Federal Records Center (FRC) for temporary storage; or 2b) dispose of files.

What happens to files when we no longer need them on-site?

Some files stay in our offices until we destroy them on-site. Others go to the FRC for temporary storage. A small volume of OIG files, the more historically significant ones, eventually go from the FRC to the National Archives and Records Administration (NARA) for permanent preservation.

Who determines how we store and dispose of OIG files?

For administrative files, NARA does. For program files, we do with NARA consultation and approval.

- For administrative files (time and attendance, credit card use, travel, correspondence, etc), use the General Records Schedule (GRS) available at <http://ardor.nara.gov/grs/index.html>.
- For audit, evaluation, investigation, and Counsel programs files, use the OIG Records Control Schedule posted in the Outlook Public Folder, "All Policies and Procedures."

Does this policy apply only to paper files?

No. Records can appear in a variety of media--paper, electronic, disk, microfilm, etc. Please print and maintain in the official files paper copies of any electronic records that support final work products or that document OIG decisions, policies, operations or other activities. This includes email messages and attachments, word processing files, spreadsheets, databases, and graphical presentations, etc. Once you have printed and filed an electronic file, you can delete it.

You do not need to print and file emails that do not document decisions and transactions, or that result in no official action. Examples of emails you do not need to print and file include:

- Messages sent for information where the recipient is not the action
- Messages of short-term value such as e-mails rescheduling meeting dates or times.
- Non-unique messages that duplicate information in existing records.
- Announcements of bond campaigns, holiday events, fund raising appeals, and personal events, such as retirements.

How do I prepare audit, evaluations or investigative files for off-site temporary storage?

Use the following instructions in conjunction with instructions from your specific office. Please ship all field records to OIG Headquarters for inventory consolidation and transfer to the FRC.

1. Ensure that official files are complete with all supporting material and any final documents included.
2. Consult with your office head (i.e., your Special Agent-In-Charge, Regional Inspector General for Audit, Audit Director, or persons acting in these positions) to determine if the records meet the criteria for permanent versus temporary retention. The criteria are listed in the OIG Records Control Schedule (for Investigations, see Item #1a and for Audit, see Item #2c).
3. Separate permanent records from temporary records.
4. Determine if any records to be stored off-site contain the following: (1) Limited Official Use (LOU) information; (2) Taxpayer Return (6103) information; (3) Classified material at the Confidential, Secret or Top Secret levels; or (4) non-paper material stored on videotape, videocassette, or

microfilm. If yes, indicate that your records contain this type of information when you prepare your box content listings, as explained in Step #12. Note: Grand Jury material should not be stored at the FRC. If you have this material, please contact the Office of Investigations for guidance.

5. Remove extra copies of documents. If you have multiple identical copies of a document, use the original (or clearest copy if no original exists) and dispose of the remaining copies. If documents are not exact duplicates, ensure that a copy of each variation is kept in the official file.
6. Remove any computer floppy disks or CD-ROMs since the FRC will not accept them for storage. Print the information and place in the official file to be stored at the FRC.
7. Separate the files into "record series." Each item # or subordinate item # in the OIG Records Control Schedule represents a records series (e.g., item 2a is for audit/evaluation work papers that have a temporary retention). Then separate/group each of these according to their final disposal date. For example, separate records closed in 1999 from those in 2000 or 2001, as each group will have a different disposal date.
8. Use standard records boxes (GSA Item #8115-00-117-8249).
9. Pack the boxes as if they were file drawers. Organize the box contents in a logical order (e.g., alphabetical, chronological, numerical, or in the same order as the original file structure). Each box should be at least ¾ full; leave about 1 inch of space at the top and sides.
10. Box records for only one fiscal year closing date in the same box. Do not mix files with multiple fiscal year closing dates in the same box. For example:
 - All FY 1999 files in boxes 1-5.
 - All FY 2000 files in boxes 1-12.
 - All FY 2001 files in boxes 1-8.
11. In pencil only, write the FY closing date (e.g., FY 00) and box number in the upper right corner of the front side. For example, if there are 10 boxes, the first box should be numbered 1/10, the second box numbered 2/10, with the last box numbered 10/10.
12. Prepare an inventory list of the box contents. You can determine the format of your list provided it has the following information:
 - Name and telephone number of the person who prepared the inventory list.
 - The box number and a description of the records. Include enough detail to aid the FRC in finding your record if the OIG needs to retrieve it later.
 - Disposal authority (i.e., the appropriate Record Item # from the OIG Records Control Schedule).
 - Remarks indicating if a particular box has (1) LOU information, (2) Taxpayer Return (6103) information, (3) Classified material, or (4) non-paper material. These remarks will alert Office of Management to work with your Headquarters Records Liaison and the FRC to arrange the proper protection and access controls.

A sample inventory list is shown below:

Box No.	Record Series Description	OIG Disposal Authority	Remarks
1/4	Federal Financing Bank, OIG-99-010	Item# 2a	LOU information
2/4	FMS Check Reclamation, OIG-99-040	Item# 2a	6103 information
3/4	Customs Disaster Recovery, OIG-99-050	Item #2a	Classified/Top Secret information
4/4	U.S. Mint Quality Review, OIG-99-060	Item# 2a	Contains Videotapes

13. Email the inventory list to OIG-OM@oig.treas.gov. The Office of Management will then arrange for transfer to the FRC.

The OIG Records Control Schedule requires employees to maintain audit, evaluations and investigative files on-site for 3 years. If we lack space for these records, what can we do?

You can choose to store files at the FRC following the steps outlined above. Please make sure to separate files according to their fiscal year closing dates.

I have old audit, evaluations or investigative files eligible for destruction according to the OIG Records Control Schedule. Can I destroy them?

Yes, but only after the Office of Management gets prior approval for you from the Office of Counsel. The Office of Management will coordinate all requests and notify you once Counsel approves. Counsel needs to determine if the files relate to any pending Treasury litigation. To request approval, complete a "Request for File Destruction" (Attachment 1) and send it to Office of Management. You do not need to request approval to destroy administrative files eligible for disposal under the General Records Schedule.

What special transmitting requirements must field offices follow when shipping LOU, Taxpayer Return (6103) or Classified material to OIG Headquarters?

- LOU Information: Seal material in an opaque envelope or box using reinforced/fibered packing tape. Send it by Fed Ex or U.S. Postal Service First Class Mail.
- Taxpayer Return (6103) Information: Transporting of 6103 documents needs to comply with IRS code. For further instructions, please contact the Office of Management.
- Classified "Confidential" or "Secret" Information *only*: Follow these steps:
 1. Email the recipient in advance to alert him/her that you are sending classified material.
 2. Double wrap the material in opaque inner and outer envelopes.
 3. For the inner envelope:
 - Indicate the full addresses of both sender and recipient; prominently mark the front and back indicating the content's classification level (i.e., Confidential or Secret); and seal with reinforced/fiber tape. A sample inner envelope is shown below:

<u>Sample Inner Envelope -- Front</u>	
Treasury Office of Inspector General Office of Investigations 5850 San Felipe Road, Suite 300 Houston, TX 77057	CONFIDENTIAL
Treasury Office of Inspector General Office of Investigations Attn: Ralph Martin 740 15 th Street, NW, Suite 500 Washington, DC 20220	CONFIDENTIAL

<u>Sample Inner Envelope -- Back</u>
Mark the classification level at the top & bottom. See the example below:
CONFIDENTIAL
CONFIDENTIAL

- For "Secret" material only, attach a Document Receipt form (Attachment 2) to the inner envelope. When received, the recipient will sign the receipt form and mail it back to you. Keep a suspense copy of the receipt form as a record of when you mailed the package.
 - 4. Seal the outer envelope with reinforced/fibered tape. When addressing it, do not use personal names for the return and mailing addresses; and do not indicate the classification level.
 - 5. Mail the information by U.S. Postal Service Registered Mail, Return Receipt Requested. For urgent deliveries only, you may use FEDEX OVERNIGHT delivery after you contact the Office of Management for further instructions.
- Classified Top Secret Information: You may not mail Top Secret information. For assistance, contact the Office of Management.

If I have a question about this policy, whom can I contact?

Contact the Office of Management by phone at (202) 927-5200 or email at OIG-OM@oig.treas.gov.

Request for Record Destruction Approval

Date of Request: _____

Requesting Office: _____

How To Complete Item #1 of this Form:

- Describe the records and indicate their age. Also, indicate if any files contain Taxpayer Return (6103) information or Classified documents at the Confidential level or higher. Use a separate piece of paper if additional space is needed.
- The certification statement should be signed by the office head having custody of the files to be destroyed (i.e., the Audit Director, Regional Inspector General for Audit, Special-Agent-In-Charge, or persons acting in these capacities).
- Please return the completed form to Office of Management by:
 1. Fax at (202) 927-6492; or
 2. Mail at 740 15th Street, NW., Suite 510, Washington, DC 20220

=====

1. Certification by Office Head with File Custodianship

According to the OIG Records Control Schedule, the records listed below are eligible for destruction. I have applied the selection criteria for permanent records (as stated in the OIG Records Control Schedule) and have determined that these records do not meet the criteria for permanent preservation.

Signature

Date

2. Approval by Counsel to the OIG

- Approve:** These records do not relate to pending Treasury litigation and therefore they can be destroyed.
- Disapprove:** Retain these records for the reasons and estimated duration stated below:

Signature

Date

DEPARTMENT OF THE TREASURY
Classified Document Record of Transmittal
(Avoid the inclusion of classified information on this form.)

TRANSMITTAL DATE

Prepare in accordance with 31 CFR, Part 2

SECTION A – ADDRESSEE AND SENDER (Type or Print in Ink)

TO:	FROM:
-----	-------

SECTION B – DOCUMENT DESCRIPTION (Type or Print in Ink)

CLASSIFICATION	DATE OF DOCUMENT	Description – (identify items such as report, letter, memo, etc. Unclassified subject or short title. Copy number and number of attachments.)	ORIGINATOR	NUMBER OF COPIES

SECTION C – ACKNOWLEDGEMENT OF RECEIPT

NAME (Type or Print)	SIGNATURE	DATE
----------------------	-----------	------

SECTION D- RECORD OF INTERNAL TRANSMITTAL

ADDRESSEE	COPY NO.	NAME OF RECIPIENT (Type or Print in Ink)	SIGNATURE OF RECIPIENT	DATE
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				