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Internal Audit Records Retention Schedules

The table below list records retention schedules for the Ohio Attorney General's Office that have been approved by the Department of Administrative Services (DAS), State Archives, and Auditor of State. To view the official agency retention schedules, please go to the Ohio Government Records Database. **Disclaimer:** If you have any issues reading this document, please feel free to Contact Us and we will try to provide an accessible version.

Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Special Consulting Projects	IA-OAG-02 10551268	Projects looking at smaller processes/functions in response to executive/management request for information rather than performing a normal, full-scale internal audit. Records include, but are not limited to, memo outlining understanding of purpose, limited tests and work papers, and recommended follow-up actions of an advisory nature.	Could contain information considered exempt per ORC 149.43 or other specific sections of ORC depending on the information being reviewed.		Electronic – Retain 4 years from completion. Paper – Retain 4 years from completion. If scanned and saved electronically, dispose of paper immediately.		Electronic – Delete Paper – Shred	8/30/2023

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Internal Audit Working Papers	IA-OAG-04 10551566	Working papers used to review and determine corrective action plans to assure Ohio Attorney General's Office (AGO) operations are compliant to laws and regulations as well as operating efficiently. Records include, but not limited to, the final audit reports, audit programs, narratives, process reviews, testing, work papers, supporting documentation and follow-up corrective action plan.	Records may contain social security numbers, medical information, and possibly other types of information exempt by state or federal law, such as ORC 149.43 and 5 U.S.C. 522a.		Electronic – Retain 5 years from issuing of the Final Audit Report. Any source documentation received from AGO sections, units, or special counsel should be retained until no longer of value, then disposed. Paper – Retain 5 years from issuing of the Final Audit Report. If scanned and saved electronically, dispose of paper immediately. Any source documentation received from AGO sections, units, or special counsel should be retained until no longer of value, then disposed.		Electronic – Delete Paper – Shred	8/13/2024

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
IRS 1075 Internal Inspection Reports	IA-OAG-05 10551630	Compliance review audits of all Internal Revenue Service (IRS) 1075 inspections of the Ohio Attorney General's Office (AGO) and its contractors. Records include, but may not limited to, but may not be limited to, test documentation, workpapers, and reports. Files may also contain administrative records such as policies and procedures, templates, correspondence & scheduling.			Electronic – Retain 5 years from completion of review. Any source documentation received from AGO sections, units, or special counsel should be retained until no longer of value, then disposed. Paper – Retain 5 years from completion of review. If scanned and saved electronically, dispose of paper immediately. Any source documentation received from AGO sections, units, or special counsel should be retained until no longer of value, then disposed.	The Federal IRS 1075 publication requires that this documentation be retained for a minimum of 5 years from the date the inspection was completed.	Electronic – Delete Paper – Shred	8/13/2024

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Outside Audit Reports and Office Responses	IA-OAG-06 10551678	Documents audit findings issued by external entities like the Auditor of State and Federal Government regarding Ohio Attorney General (AGO) operations. Records include, but are not limited to, audit report summarizing findings and recommendations for corrective action as well as responses by the AGO on what their corrective action plans are.			Electronic – Retain 10 years.	Needed for reference by current and future administrations.	Electronic – Delete	10/14/2026

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Law Enforcement Quota Violation Investigations	IA-OAG-07 10551824	Per ORC 109.70, the Ohio Attorney General's Office (AGO) shall establish a complaint form for possible future investigation that any local or state police officer can report the use of quotas in violation of ORC 109.70 by the law enforcement official or agency that has jurisdiction over the local or state police officer. Records include, but are not limited to, complaint form, correspondence, and records collected during investigation.	Portions may be considered confidential law enforcement investigatory records (ORC 149.43).		Electronic – Retain 2 years from close of investigation. If complaint determined unsubstantial, retain 6 months. Paper - Retain 2 years from close of investigation. If complaint determined unsubstantial, retain 6 months. If scanned and saved electronically, dispose of paper immediately.		Electronic – Delete Paper – Shred	10/15/2025

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Client Litigation Risk Files	IA-OAG-08 10551835	Annual financial report requested by the Office of Budget and Management (OBM) for the Auditor of State concerning the material loss contingencies arising from pending or threatened litigation and from unasserted claims and assessments (valued over $20 million or other limit as stated by OBM) against the Ohio Attorney General's Office (AGO) or its client agencies. Records include, but are not limited to, letter from OBM, AGO reporting forms on clients, responses from clients, correspondence requesting information, and the final reporting to the State Auditor with any follow-up reporting they may request.			Electronic – Retain 2 years after submitting.		Electronic – Delete	10/14/2026