

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
		JOB NUMBER N1-374-09-2	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <b>9/9/09</b>	
1 FROM (Agency or establishment) Defense Threat Reduction Agency		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Director		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 DIR-COS, DIR-IG			
4 NAME OF PERSON WITH WHOM TO CONFER Dorotheia (DeeDee) Byrd	5 TELEPHONE NUMBER 703-767-5089	DATE <b>14 Jan 10</b>	ARCHIVIST OF THE UNITED STATES 
<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 this page are not needed now for the business for 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 of the GAO Manual for Guidance of Federal Agencies, <p style="text-align: center;"> <input checked="" type="checkbox"/> X is not required,               <input type="checkbox"/> is attached, or               <input type="checkbox"/> has been requested         </p>			
DATE 7/15/09	SIGNATURE OF AGENCY REPRESENTATIVE /s/ Dorotheia Byrd 	TITLE Records Officer, Chief of Publications & Records Management Branch	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Directed Investigation Case Files – See Attached		

# **Directed Investigations Case Files**

## **BACKGROUND**

These records are collected under the direction of the Director, DTRA, to document investigations of potential malfeasance and/or administrative incidents which occur within the agency. In these cases, the Director appoints an investigator to gather evidence regarding the incident. The primary purpose of the administrative investigation is to provide the Director and any appointed reviewing authorities with information regarding the specific incident which occurred at DTRA. The Director and any appointed reviewing officials will then make decisions and take appropriate action based upon the information contained within the investigative report. In some cases, the investigation may exonerate the individual, in which case, the recommendation in the report and the subsequent decision will be to take no action.

These investigations may be used to provide documentation for claims against the agency or to answer questions posed by the Department of Defense or the armed forces. The records cover military, civilian, and contractor employees. Contracts are usually 3-5 years in duration, and military appointments are generally no longer than 4 years. Therefore, it is possible that the individuals in question and/or witnesses will no longer be with the Agency to answer to future claims or questions, hence the keeping of the records for 7 years after close of the investigation.

The records will be centrally maintained by the IG for ease of reference. These records do not include Inspector General Investigations, EEO investigations, personnel security clearance investigations, or security violation case files, as they are covered by separate series.

These investigative case files include copies of the proposed action (adverse or otherwise) with supporting documents, statements of witnesses; employee's reply, hearing notices, reports, and decisions, copies of Letters of Reprimand or other action notifications, reversal of action; and appeal records.

**File Title:** Directed Investigation Case Files

**File Number:** 101.10d (Based on DTRA 5015.2)

**File Description:** Case files and records related to DTRA investigations of DTRA employees (Army, Air Force, Navy, Marines, civilian, and contractor personnel), that are command directed. The file includes a copy of the proposed action (adverse or otherwise) with supporting documents, statements of witnesses, employee's reply, hearing notices, reports, and decisions; copies of Letters of Reprimand or other action notifications, reversal of action; and appeal records. EXCLUDED are Original Letters of Reprimand or other administrative articles of punishment, which are filed in the official personnel file or other military personnel files, as appropriate. Also EXCLUDED are records pertaining to Inspector General Investigations (use 207.04a and b), Litigation case files (use 402.03), EEO investigations (use 401.05 through 401.07), personnel security clearances (use 503.01), and security violation case files (use 505.08).

**Disposition:** Temporary. At close of case, transfer all case records to the DTRA-IG's office. Destroy all material 7 years after the close of the case.

**Reference:** New