

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>71-560-03-3</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY 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 <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10.	
2. MAJOR SUBDIVISION Transportation Security Administration			
3. MINOR SUBDIVISION Office of Internal Affairs and Program Review (IAPR)			
4. NAME OF PERSON WITH WHOM TO CONFER Arthur McCune, Jr.	5. TELEPHONE 571/227-2076	DATE 2-3-04	ARCHIVIST OF THE UNITED STATES <i>John W. Cal</i>
6. AGENCY CERTIFICATION 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 the attached 1 page(s) are not now needed for the business of 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 04/23/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur L McCune Jr</i>		TITLE Records Management Officer
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		
<i>cc Agency, NR, NAWMD, DAWMD</i>			

IAPR 1200 – OFFICE OF INTERNAL AFFAIRS AND PROGRAM REVIEW

This category is for specific disposition guidelines in connection with Transportation Security Administration records created by Office of Internal Affairs and Program Review.

Title	Description of Records	Disposition	Authority
IAPR 1200 GENERAL CORRESPONDENCE FILES	Correspondence, letters, memorandums, reports, and other records which are pertinent to routing internal administrative and housekeeping activities and not the particular function for which the holding office exists.	Cut off at end of calendar year, hold additional 2 years then destroy .	GRS 23, Item 1
IAPR 1200.1 INVESTIGATIVE CORRESPONDENCE FILES	The investigative administrative files contain correspondence, reports, complaints, and other documents apart from those ordinarily filed in general correspondence files, official investigative case files or PSF but which have retrieval or reference value to the investigations program.	Cut off at end of calendar year, hold additional 2 years then destroy .	GRS 23, Item 1
IAPR 1200.2 CHRONOLOGICAL OR READING RECORDS	Office file copies maintained in office. Extra copies of correspondence, memorandums, notes, official informal reports, speeches, statements, telegrams and other documentations maintained.	NON RECORD Destroy when no longer needed for administrative purposes.	
IAPR 1200.3 TSA BROADCAST E- MAIL MESSAGES	Copies of TSA Broadcast e-mail messages maintained at Headquarters for informational purposes and filed chronologically by date of receipt.	REFER TO ADMIN 200.21 FOR DISPOSITION OF RECORDS.	
IAPR 1200.4 LOCK COMBINATION FILES	(a) Documents such as forms, combination record or equivalent, used to record safe combinations and names of persons knowing combinations.	Destroy when superseded by a new form or list or upon turn-in containers.	GRS 18, Item 7(a)
	(b) Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms.	Destroy 3 months following the last entry on the form. NOTE: Forms involved in investigations are retained until completion of the investigation.	GRS 18, Item 7(b)

IAPR 1200 - OFFICE OF INTERNAL AFFAIRS AND PROGRAM REVIEW

Title	Description of Records	Disposition	Authority
<p>IAPR 1200.5 CREDENTIALS FILES IDENTIFICATION CREDENTIALS AND RELATED PAPERS</p>	<p>Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and other identification credentials.</p>	<p>Destroy credentials 3 months after return to issuing office.</p>	<p>GRS-11, Item 4</p>
<p>1) IAPR 1200.6 OFFICIAL INVESTIGATIVE CASE FILES</p>	<p>Files containing records regarding internal investigations of applicants and employees. Files include correspondence, investigative reports, witness statements, personal history summaries, official messages, court documents, laboratory reports, photographs and documents concerning official administrative actions taken following an investigation. Data from these files are maintained in TSA's Internal Investigative Record System (IIRS).</p>	<p>Destroy 5 years after case is closed.</p>	
	<p>(a) Case files for investigations <u>NOT</u> referred to another internal office or outside agency for further investigation and law enforcement.</p>		
	<p>(b) Case files for investigations referred to another internal office or outside agency for further investigation and law enforcement (e.g. the Chief Counsel's Office, FBI, ATF, and state and local police).</p>	<p>Maintain file in IAPR 5 years after case is closed. Transfer closed case to Federal Records Center. Destroy file 25 years after case is closed.</p>	
<p>2) IAPR 1200.7 INSPECTION CASE FILES</p>	<p>Office of Inspection Reports – (Original) Comprehensive reports of findings prepared in a prescribed format and created as a result of inspecting each component's operations and procedures. The file includes follow-up memoranda relating to the office inspection.</p>	<p>Destroy after completion of second succeeding office inspection or 6 years whichever is longer.</p>	
<p>IAPR 1200.8 PROPERTY PASS FILES</p>	<p>Property pass files, authorizing removal of property or materials.</p>	<p>Destroy 3 months after expiration or revocation.</p>	<p>GRS-18, Item 12</p>

IAPR 1200 - OFFICE OF INTERNAL AFFAIRS AND PROGRAM REVIEW

Title	Description of Records	Disposition	Authority
3) IAPR 1200.9 PROGRAM MANAGEMENT FILES (Internal Affairs Directives)	(a) Official signed record copy (paper) of each approved IAPR internal directive (retained as basic documentation of IAPR policy, programs and procedures.)	<u>PERMANENT</u> Cut off when directive superceded or canceled. Keep inactive directives in office up to 4 years, then retire to Federal Records Center. Transfer to the National Archives in 5 year blocks, when the most recent record is 20 years old.	
4) IAPR 1200.10 HOTLINE COMPLAINTS	Contains documents relating to Hotline complaints which include internal forms, memos and correspondence with responsible officials, synopses of case, and copies of closing reports.	Break file upon completion of case. Keep inactive materials in office 3 years after file break, than retire to Federal Records Center. Destroy when 10 years old.	
5) IAPR 1200.11 FACT FINDING AND NON SPECIALS REPORTS	Contains incident reports and other documents submitted to IAPR for alleged violations of transportation security laws and regulations where upon preliminary investigation was decided that the incident did not warrant opening an official investigation case file.	Destroy when no longer needed for legal or operational purposes.	
6) IAPR 1200.12 TREND ANALYSIS FILES	Consist of correspondence, notes, draft background material, statistical data, summaries and other papers pertaining to current and future trends in transportation security developed by the Inspections Office	<u>PERMANENT</u> Cut off at end of the calendar year in which data reported. Retain in office up to 5 years after cut-off, then retire to Federal Records Center. Transfer to the National Archives in 5 year blocks, when the most recent record is 20 years old.	

Superseded by:
DAA - 0560 - 2017 - 0012/0001
 DATE (MM/DD/YYYY):
09/26/2017

IAPR 1200 - OFFICE OF INTERNAL AFFAIRS AND PROGRAM REVIEW

Title	Description of Records	Disposition	Authority
7) IAPR 1200.13 ANALYSIS AND REVIEW REPORTS	Program Analysis Worksheets Informational checklists used in the review of draft investigative reports and program reviews.	Cut off at the end of the calendar year in which the project is completed. Destroy when 20 years old.	
8) IAPR 1200.14 E-MAIL AND WORD PROCESSING DOCUMENTS	(a) Copies of records described in the above items that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Delete/destroy within 180 days after the recordkeeping copy has been produced.	
	(b) Copies of records described in the above items used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Delete when dissemination, revision, or updating is complete.	

Note: Some Official Investigative Case Files (IAPR 1200.6) may be worthy of permanent retention if they significantly interpret TSA regulations, reflect significant developments, or attract extensive public attention. These files should be brought to the attention of NARA via a SF-115, Request for Records Disposition Authority, so they can be appraised and appropriate disposition authorized.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

MRH
10/03/03

Date : October 1, 2003

Reply to

Attn of : Julie Hunsaker - NWML

Subject : Appraisal of N1-560-03-3

To : Director, NWML

The Transportation Security Administration (TSA) submits Job Number N1-560-03-3 to request disposition authority for twelve items in the Office of Internal Affairs and Program Review (IAPR).

BACKGROUND INFORMATION

On November 19, 2001, the President signed into law the Aviation and Transportation Security Act (ATSA) which, among other things, established a new Transportation Security Administration (TSA) within the Department of Transportation. On March 1, 2003, TSA became a component of the Department of Homeland Security (DHS). TSA protects the Nation's transportation systems to ensure freedom of movement for people and commerce.

IAPR is responsible for ensuring the integrity of the operational and administrative activities of TSA and responds to reports of incidents involving criminal and administrative employee misconduct, reports of incidents involving TSA's management and program activities, and serious or sensitive incidents that affect the mission of TSA. The office conducts investigations of TSA employees and applicants as well as inspections of TSA procedures. It functions essentially as TSA's inspector general. TSA does not have a separate Office of the Inspector General (OIG); IAPR does interact with the DHS OIG.

THE RECORDS

Investigation Records

IAPR 1200.6

IAPR conducts internal investigations to provide TSA employees with a safe workplace and to ensure that employees are complying with laws and regulations. IAPR investigations are initiated by complaints regarding alleged employee and applicant misconduct which may include theft, domestic abuse, sexual harassment, and misuse of government property. IAPR receives complaints from various sources and by multiple methods. Complaints may come from the DHS OIG, TSA administrators and staff, and anonymously via telephone calls, letters, and e-mail messages.

IAPR maintains records regarding investigations in its Investigative Case Files. These files contain statements and other information provided by individuals (investigation subjects, complainants, witnesses, or others) and documents (incident and audit reports) concerning details of alleged criminal, civil, or administrative misconduct by TSA employees. The files include correspondence, memoranda (including legal opinions or advice provided by agency counsel); exhibits; statements; affidavits; records obtained during the course of the investigation (including those obtained from other sources, such as Federal, State, local, international, or foreign investigation or law enforcement agencies and other government agencies); and records involving the disposition of the investigation and any resulting agency action (e.g., criminal prosecutions, civil proceedings, and administrative action).

TSA shares IAPR investigation information with a wide array of Federal, State, local, tribal, territorial, foreign, and international agencies for a variety of purposes including to: ensure safety and security in all modes of transportation; assess threats to aviation safety, civil aviation or national security; enforce safety- and security-related regulations and requirements; determine hiring or retention of an individual; determine the issuance to an individual of a security clearance, license, certificate, contract, grant, or other benefit; and to support civil or criminal law enforcement or litigation proceedings.

Normally, a retention of five years after case closure is sufficient to meet the administrative and legal needs of TSA. However, when IAPR shares information from an Investigative Case File with a law enforcement agency, it is imperative that the file not be destroyed while that agency's investigation is ongoing because these investigations may lead to criminal prosecutions. IAPR may not be informed by the outside agency when its investigation has concluded, therefore IAPR will retain all of its investigative case files for twenty-five years after IAPR's investigation is complete.

These records in Investigative Case Files do not have permanent value. The process of handling employee misconduct is an administrative function conducted by every Federal agency. While these records serve important administrative and legal functions, they do not document TSA's core function.

Although it is not included on this schedule, IAPR manages an electronic system called the Internal Investigation Record System (IIRS) which contains information input from these case files. A Privacy Act notice about IIRS was published in the Federal Register on August 18, 2003 (Volume 68, Number 159) on pages 49496-49511. The TSA records management staff informed NARA that IAPR would submit a Request for Records Disposition Authority for this system on a schedule in the future.

IAPR 1200.10

Hotline Complaints files are created for complaints that have been forwarded to IAPR from the DHS OIG. The majority of these complaints relate to employee misconduct and government waste, fraud, and abuse. After IAPR determines the appropriate follow-up action to take, the office files its response to the DHS OIG here. IAPR may launch an investigation to look into a Hotline Complaint. In this case, the office creates an Investigative Case File for it. These files

do not have permanent value; they contain preliminary information duplicated in DHS OIG files and IAPR investigative files.

IAPR 1200.11

These Fact Finding and Non Specials Reports contain records about allegations that did not develop into an official investigation case file. The files include correspondence, information about the original complaint, and reports of findings. They are preliminary in nature and do not warrant permanent retention.

IAPR 1200.13

Program Analysis and Review Reports are checklists used to review draft investigative reports and program reviews. They have an important administrative purpose, but do not contain substantive or detailed information about investigations and do not warrant permanent retention.

Inspection Records

IAPR 1200.7

IAPR is responsible for conducting inspections of TSA operations and procedures. These inspections are conducted as audits and examine, for example, whether employees are following administrative procedures for things like travel card use, the accuracy of screening service billing charges, and the efficacy of employee training programs, screening procedures, and TSA recruitment efforts. These inspections records are routine in nature and do not have permanent value.

IAPR 1200.12

Trend Analysis Files include records that synthesize statistical data about trends in areas such as covert testing procedures (which are classified Secret) and the types of allegations that arise involving misconduct by TSA employees. These records are used by TSA to define and refine goals, policy, and procedure and shed light on TSA's development. For these reasons, these files are significant and have permanent value.

Directives

IAPR 1200.9

The other permanent series on this schedule is the record set of formal directives signed and issued by the IAPR head which document IAPR policy, programs and procedures. Examples of IAPR directives topics include evidence management, authority delegation, and firearms. The directives contain fundamental information about the make-up, direction and activities of this component within TSA.

The directives case files, which are proposed for temporary retention, contain duplicate copies of final directives and background information and do not have permanent value.

E-mail and Word Processing Documents

IAPR 1200.14

No e-mail or word processing documents connected with records on this schedule have permanent value. All Federal records created belonging to these IAPR series will be printed out and filed within an IAPR record keeping system for storage and future access. NARA prefers to receive Directives (IAPR 1200.9) in hardcopy (on paper) because the paper versions are actually more complete records than their counterparts in electronic format; paper versions of Directives contain the signature of the head of IAPR.

CONCLUSION

There are two permanent series listed on this schedule. All of the proposed disposition instructions are adequate to provide government accountability and are conducive to TSA business procedures and needs. It poses no problems and arouses no controversy. I recommend approval of this job as written.



JULIE HUNSAKER
Life Cycle Management Division