

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
		JOB NUMBER <i>NI-563-07-5</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received <i>2-22-2007</i>	
1 FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY	
2 MAJOR SUB DIVISION Office of Inspector General		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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			
4 NAME OF PERSON WITH WHOM TO CONFER Kathy Schultz	5 TELEPHONE 202-447-5075	DATE <i>10/16/07</i>	ARCHIVIST OF THE UNITED STATES <i>Alan W...</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 <u>2</u> page(s) are not needed now 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 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 1/31/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathleen A. Schultz</i>		TITLE Senior Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	See attached sheet(s) for: Investigative Case Files and Data Management System		
<i>SA 10/16/07 Copies sent to Agency, NWM, NWM, NWM, NR</i>			

**U.S. Department of Homeland Security
Office of Inspector General
Investigative Case Files and Data Management System**

The Homeland Security Act of 2002 provided for the establishment of an Office of Inspector General (OIG) in the Department of Homeland Security (DHS) by amendment to the Inspector General Act of 1978. By this action, Congress and the administration ensured independent and objective audits, inspections and investigations of the Department. The Inspector General is appointed by the President, subject to confirmation by the Senate, and reports directly to the Secretary of DHS and to Congress.

This record system consists of paper investigative files and an electronic case management and tracking information system. These disposition instructions are media neutral. Except for items 1b and 2b, these instructions apply regardless of the media or format of the records.

X Investigative Case Files

Case files developed during investigations of known or alleged fraud and abuse, and irregularities and violations of laws and regulations. The case files relate to DHS personnel and programs and operations administered or financed by DHS, including contractors and others having a relationship with DHS. This includes investigative reports and related documents, such as correspondence, notes, attachments and working papers.

Item 1x All Investigative Case Files EXCEPT for unusually significant cases covered in Item 1b.

Disposition: TEMPORARY. Destroy 20 years after completion of the investigation and all actions based thereon.

Item 2x Significant Investigative Case Files that (1) involve substantive information relating to national security, (2) involve allegations made against senior DHS officials, (3) attract national media or Congressional attention, or (4) result in substantive changes in DHS policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria.

Disposition: PERMANENT. Transfer to the National Archives for permanent retention 20 years after completion of the investigation and all actions based thereon.

X Investigations Data Management System (IDMS)

The Investigative Data Management System (IDMS) supports the OIG Office of Investigations in its mission to conduct and supervise investigations of alleged violations of criminal, civil or administrative laws and regulations relating to DHS employees, contractors and other individuals and entities associated with DHS. The database is used to process complaints and to manage information provided during investigations. The system allows the OIG to index investigative case information, manage case inventory, track complaint status, disposition and results, and prepare various management and statistical reports. The IDMS also captures investigative property records and special agent training records for Office of Investigation employees.

The IDMS contains records from 2002 to the present. Historical data is included from the Offices of Inspectors General for three legacy DHS agencies: Department of the Treasury, Department of Justice, and Federal Emergency Management Administration.

X Inputs/Source Documents

Complaints and other investigative information are received by telephone, mail, electronic mail, fax and walk-ins. All complaints and information are assigned a complaint number, and the information is entered into the system through an on-line Complaint Data Entry form. Investigative offices make additional entries as information is developed. Also includes keyed entries for government property records for OIG Office of Investigations employees and other investigator-related information.

1) ~~Complaint Data Entry Form and related documentation~~

~~Instructions—After the data has been entered and/or scanned and verified, file incoming source documentation in the appropriate investigative case file. See Investigative Case Files (Items 1a and 1b in this schedule) for disposition.~~

Item 3 ✕ Government property records for OIG Office of Investigations employees and other investigator-related information

Disposition: TEMPORARY. Delete when superseded or when no longer needed for operational purposes

✕ **Master File/Database Contents**

Electronic Complaint and Investigative Case Information

Data elements include, but are not limited to the following items: date of complaint, complaint number, names and other identifying information for complainants, witnesses, informants, suspects or other parties involved, matters alleged, and complaint disposition and resulting actions. This information may include scanned images. Files also include modules for data investigative property records and other investigator related information.

Item 4 ✕ Complaint information and related documentation (except for data related to significant cases described in Item 2b 2)

Disposition: TEMPORARY. Delete 20 years after completion of the investigation and all actions based thereon, or when no longer needed for operational purposes, whichever is later

Item 5 ✕ Significant complaint information and related documentation (i.e., database entries related to Significant Investigative Case Files described in Item 1b)

Disposition: PERMANENT Transfer physical custody to NARA 5 years after completion of the investigation and all actions based thereon. Transfer legal custody to NARA 20 years after completion of the investigation and all actions based thereon.

Item 6 ✕ Government property records for OIG Office of Investigations employees and other investigator-related information

Disposition: TEMPORARY. Delete when superseded or when no longer needed for operational purposes

Item 7 ✕ **Outputs**

Management Tracking and other Ad Hoc Reports

Reports include printed or on-line display reports containing lists or summary statistical information concerning investigative caseload, accomplishments, etc.

Disposition: TEMPORARY. Destroy when no longer needed for business purposes or place in appropriate file and apply approved disposition for that item