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| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | DO NOT WRITE IN THESE SPACES (NARA use only) | |
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001 | | JOB NUMBER <i>N1-056-09-21</i> | |
| 1 FROM (Agency or establishment) Department of the Treasury | | DATE RECEIVED <i>8/6/09</i> | |
| 2 MAJOR SUBDIVISION Departmental Offices | | 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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10 | |
| 3 MINOR SUBDIVISION Office of Inspector General | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Evangela C Wimbush-Jeffrey | | 5 TELEPHONE 202-622-6120 | DATE <i>9/10/10</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> pages(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, | | ARCHIVIST OF THE UNITED STATES <i>[Signature]</i> | |
| <input type="checkbox"/> is not required, | | <input type="checkbox"/> is attached, or | |
| <input type="checkbox"/> has been requested | | | |
| DATE <i>8/4/09</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> | | TITLE Departmental Offices Records Officer |
| 7 ITEM NO | 8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
| | Investigations Management Information System (IMIS) Background: IMIS tracks and documents receipt of complaints and/or allegations of violations of the standards of ethical conduct for Department of the Treasury employees as per 5 CFR Part 2635), the Treasury Department's Supplemental Standards of Ethical Conduct (5 CFR Part 3101), the Treasury Department's Rules of Conduct (31 CFR Part 0), the Office of Personnel Management Merit System principles, or any other criminal or civil law, and to prove or disprove allegations which the Office of Inspector General (OIG) receives that are made against Department of the Treasury employees, contractors, programs, and other individuals associated with the Department of the Treasury This electronic system of records mirrors the paper, hard-copy documents housed within official case files Description: This case management system is a web-based information system, which runs via Adobe | | |

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information system, which runs via Adobe Macromedia Coldfusion, and accessed using a web browser on any OIG network computer, including laptops using VPN access. It is a program designed to store and link documents, management functions, and house investigative data, summaries, and activities, which are managed and tracked as specific actions (e.g. investigations, preliminaries, bureau referrals, or general information files)

A. Inputs:

OIG-OI personnel physically enter the information in the electronic field blanks in Microsoft Access

Disposition: TEMPORARY Delete case information 15 years after case is closed or when no longer needed for administrative, investigative, legal, audit or other operational purposes

GRS 20, item Z

B. System Data:

In capturing all data and information pertaining to the allegations, many different fields on different input screens are available, depending on the direction/nature of how that allegation is to be handled. Generally, all allegations will capture a summary of the reported allegation(s), name and contact information for the Complainant, Subject(s), Witnesses, and Victim(s), investigative activities (if any), disposition information, administrative referrals and actions taken (if any), law enforcement activities (if any), judicial actions imposed (if any), and documents that run the spectrum from predicated documents, interview write-ups, culminating in final Reports of Investigation. IMIS covers all current and present cases which were generated this FY 2009, as well as all cases from all previous fiscal years which have been migrated from older systems. This includes open & closed investigations, inquiries, and referrals dating back to FY 2000.

Disposition: PERMANENT Transfer case data to NARA 15 years after case is closed

Full and public use version of

C. Outputs:

Depending on hard-copy file needs, printouts of the case input screens or case activity/summary reports may be printed and placed in the official hard copy

-change per email from RB. 5/6/10 RF

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case file Statistically, reports will be developed & run to produce data call totals, which may be required for various reasons by different entities One such example is the statistics report for the Semi-Annual Report to Congress.

1 ~~Print outs~~

Disposition: TEMPORARY Delete case information 15 years after case is closed or when no longer needed for administrative, investigative, legal, audit or other operational purposes

GRS 20, item 16

2 Statistical Reports

Disposition: PERMANENT Retire to Washington National Records Center after 5 years or when no longer needed Transfer to NARA after 10 years

D. System Documentation:

Codebooks, records layout, user guide, and other related materials

Disposition: PERMANENT Transfer to NARA with corresponding case data

GRS 20, item 11(a)(2)