

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-269-01-1	
1 FROM (Agency or establishment) General Services Administration		DATE RECEIVED 2-1-01	
2 MAJOR SUBDIVISION Inspector General		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER Chris Langello	5 TELEPHONE 202-501-1932	DATE 6-6-01	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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>3</u> 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 1 Jan 2001	SIGNATURE OF AGENCY REPRESENTATIVE <i>Marie A. Wolf</i>	TITLE Records Officer	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

115-109

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLESTANDARD FORM 115 (REV 3-91)
Prescribed by NARA
36 CFR 1228

SI Sent to Agency, NWMD, NWME, NWMM, NR

DRAFT 3/12/01

03A056 Investigative Case Files. (N - - -).

(Previous disposal authority: N1-269-99-1)

Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency personnel, programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files.

a. "Zero" Files, Proactive Files, and Hotline Files. Files containing information or allegations of an investigative nature that do not result in the establishment of a formal investigative file. The files cover anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information that may prove useful in Inspector General investigations.

(1) Paper case file.

Temporary. Transfer to Investigations Operations Division (JIB) upon closing of case in Investigations Information System (IIS). Consolidate files into official case jacket. Convert into electronic image by scanning. Destroy paper version of case file after verifying scanned image. (Occurs within two months of when transferred to JIB.)

(2) Bulky files. (Evidentiary material provided by or received from third parties that constitutes the basis for the information contained in the case file; supporting materials; documents under seal by court order, statute or rule, such as grand jury information.) Temporary. Transfer to Investigations Operations Division (JIB) with associated case file. Convert all but the oversized or odd-sized materials into electronic image by scanning

(i) Destroy the paper version of scanned bulky file after verifying scanned image.

(Occurs within two months of when transferred to JIB.)

(ii) Destroy the oversized and odd-sized material at the same time as destruction of electronic imaged version of the case file.

(3) Electronic and/or imaged case file.

Temporary. Destroy electronic version of file three years after closing

b. Investigative Files ("I Files"). An investigative case is opened when the factual basis of a complaint or allegation warrants such action. An investigative case may result in referral for criminal prosecution, civil adjudication, or administrative action. Investigative files constitute the written agency record evidencing investigative cases,

including investigative reports and related documents, such as correspondence, notes, attachments, and background and working files.

(1) Case files of significant value. A case has significant value when:

- * the case attracts substantial national or regional media attention;
- * the case results in a Congressional investigation;
- * the case results in substantive changes in agency policies and procedures;
or
- * the case involves allegations made against senior agency officials other than frivolous allegations that did not result in a sustained investigation. Senior agency officials includes the Administrator, Associate Administrators, and directors of major agency components.

A. Paper case file. PERMANENT. Transfer to Investigations Operations Division (JIB) upon closing of case in Investigations Information System (IIS) and when no longer needed for civil or administrative action pertaining to related cases. Consolidate files into official case jacket. Convert into electronic image by scanning. Transfer paper version of file to National Archives of the United States seven years after closing of case.

B. Bulky files. (Evidentiary material provided by or received from third parties that constitutes the basis for the information contained in the case file; supporting materials, documents under seal by court order, statute or rule, such as grand jury information.) PERMANENT. Transfer to Investigations Operations Division (JIB) with associated case file. Convert all but the oversized or odd-sized materials into electronic image by scanning. Transfer paper version of bulky files to National Archives of the United States seven years after closing of case.

C. Electronic and/or imaged case file Temporary. Destroy electronic version of case file, electronic imaged version of bulky files, and related entries in electronic tracking systems at the same time as transfer to the National Archives of paper version of the case file (seven years after closing).

(2) All other files. (Investigative files defined as not having significant historical value).

A. Paper case file. Temporary. Transfer to Investigations Operations Division (JIB) upon closing of case in Investigations Information System (IIS) and when no longer needed for civil or administrative action pertaining to related cases. Consolidate files into official case jacket. Convert into electronic image by scanning. Destroy paper version of case file after verifying scanned image (Occurs within two months of when transferred to JIB)

B. Bulky files. (Evidentiary material provided by or received from third parties that constitutes the basis for the information contained in the case file; supporting materials; documents under seal by court order, statute or rule, such as grand jury

information.) Temporary. Transfer to Investigations Operations Division (JIB) with associated case file. Convert all but the oversized or odd-sized materials into electronic image by scanning.

(i) Destroy the paper version of scanned bulky file after verifying scanned image. (Occurs within two months of when transferred to JIB.)

(ii) Destroy the oversized and odd-sized material at the same time as destruction of electronic imaged version of the case file (seven years after closing).

C. Electronic and/or imaged case file. Temporary. Destroy electronic version of file seven years after closing.

c. Investigations Information System (IIS) Files. Electronic management system used by the Office of Investigations to collect and retrieve information relevant to the investigative process. Comprised of the following data: case entry, entity, subject activity, case profile (formerly called "90-day case progress report), and timekeeping.

(A) Master file. Case specific data.

Temporary. Destroy case specific information at the same time as destruction of electronic imaged version of the related file.

(B) Outputs. Routine tracking and control reports printed from the system and used for administrative purposes.

Temporary. Destroy when no longer needed for business purposes and no later than six months after creation

(C) System documentation.

Temporary. Destroy when superseded, obsolete, or no longer of use to the agency, whichever is later.

d. Electronic Mail and Word Processing Versions of Records. Electronic mail and word processing versions of records covered by this schedule (03A056, Investigative Case Files).

Temporary. Delete when file copy generated and when no longer needed for referencing or updating.