

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-85-99-6	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) WASHINGTON, DC 20408		DATE RECEIVED 8/10/99	
1 FROM (Agency or establishment) DEPARTMENT OF JUSTICE		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION IMMIGRATION AND NATURALIZATION SERVICE			
3 MINOR SUBDIVISION OFFICE OF INTERNAL AUDIT			
4 NAME OF PERSON WITH WHOM TO CONFER Nancy J. Mann	5 TELEPHONE (202) 616-2573	DATE 5-19-00	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 2 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 11-17-99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Viola Kause</i>	TITLE Asst Dir, Records Policy & Analysis Branch	
7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	(SEE ATTACHED)		

Agency, NWMD-C-B, NWCTB, NWMW

The Office of Internal Audit promotes economy, efficiency, and effectiveness within the Immigration and Naturalization Service's systems for resolving alleged mismanagement and misconduct by Service employees; reviewing and evaluating the efficiency and effectiveness of Service operations and programs; collecting and analyzing data to identify patterns of deficiencies or other weaknesses warranting investigative or audit follow-up; making recommendations on disciplinary policies and procedures of the Service; overseeing Service systems to eliminate fraud, waste, and abuse in the workplace; and acting as the Service's liaison with outside audit/inspection agencies

1. **Program Subject Files.** Correspondence, reports, studies, forms, and other records relating to the program, documenting plans, progress, and accomplishments. Includes records generated with word processing and electronic applications.

- a. Official file.

Disposition: Temporary. Destroy when 10 years old.

- b. Electronic version of records created by the electronic mail and word processing applications.

Disposition: Temporary. Delete when file copy is generated or when no longer needed for reference or updating.

2. **Investigative Case Files.** Includes both hard copy and electronic (database) records related to investigations or other disposition of allegations of employee misconduct. Includes reports, notes, tape recordings and transcripts, forms, and other related documents or evidence. Case files are classified as either temporary or permanent.

- a. **Selected case files** are those that involve one or more of the following conditions: attracted substantial national media attention; specifically directed by Congressional officials, resulted in a Congressional investigation; resulted in substantial changes in INS policy and procedures; considered to have national security interest significance; or involved substantiated misconduct on the part of senior agency officials, defined as the agency head or head of a significant agency component

Disposition: PERMANENT. Transfer to the National Archives of the United States 10 years after case is closed.

- b. **Non-selected cases** of Investigations and Inquiries Resulting in Substantiated Allegations. This applies to investigations and inquiries made by: INS Office of Internal Audit (OIA), DOJ Office of Inspector General (OIG), Management and other offices.

Disposition. Temporary. Destroy 10 years after case is closed.

c. **Other cases** of Investigations and Inquiries Resulting in Unsubstantiated Allegations. This applies to investigations and inquiries made by: INS Office of Internal Audit (OIA), DOJ Office of Inspector General (OIG), Management and other offices. Included are cases sent to the field for information and cases submitted for filing only.

Disposition. Temporary. Destroy 5 years after case is closed.

d. Electronic version of records created by the electronic mail and word processing application.

Disposition. Temporary. Delete when file copy is generated or when no longer needed for reference or updating.

3. Internal Review Files.

a. **Case files.** Files established to conduct internal reviews and studies of agency programs, operations, functions, and procedures, consisting of reports and related documents, such as correspondence, notes, attachments, and supporting working papers.

Disposition: Temporary. Cut off at end of fiscal year in which case is closed. Transfer to the Washington National Records Center 1 year after closing. Destroy 10 years after cutoff.

b. **General files.** Files, including correspondence, forms, and related documents pertaining to the internal administration and operation of the conduct of internal reviews and studies of agency programs, operations, functions, and procedures.

Disposition: Temporary. Destroy when superseded, obsolete, or no longer needed for reference.

c. **Electronic** version of records created by the electronic mail and word processing applications.

Disposition: Temporary. Delete when file copy is generated or when no longer needed for reference or updating.

All changes to this proposed schedule have been approved by:

Cary C. Conn
NARA appraiser

4/5/2000
date

Viola Bause
Agency representative

3/28/2000
date

N1-85-99-6

Item 3b., Internal Review General Files, has a vague disposition and appears to be a subset of the Program Subject Files, described in Item 1. Are these simply copies of records from the Program files that the internal review segment of the Internal Audit staff maintains for convenience? If not, how do they differ from the documents and information in the Program Files? Finally, if the Internal Review side of the house maintains its own, scheduled files system, separate from the Program files, should not the Investigative side also have a similar system?

In any event, it would simplify the job just to eliminate this category unless INS indicates that these really are a distinct record set. If they are a correspondence set, then they should have a more defined destruction (or life) cycle.