

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
<b>TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)</b> <b>WASHINGTON, DC 20408</b>		<b>JOB NUMBER</b> <div style="font-family: cursive; font-size: 1.2em;">71-129-01-2</div>	
<b>1. FROM (Agency or establishment)</b> <div style="text-align: center;">FEDERAL BUREAU OF PRISONS</div>		<b>DATE RECEIVED</b> <div style="font-family: cursive; font-size: 1.2em;">12-6-2000</div>	
<b>2 MAJOR SUBDIVISION</b> <div style="text-align: center;">CENTRAL OFFICE</div>		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
<b>3. MINOR SUBDIVISION</b> <div style="text-align: center;">(SEE ATTACHED)</div>			
<b>4. NAME OF PERSON WITH WHOM TO CONFER</b>  <div style="text-align: center;">OMAR HERRAN</div>	<b>5. TELEPHONE</b>  <div style="text-align: center;">(202) 514 - 2254</div>		
<b>6. AGENCY CERTIFICATION</b> 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 _____ 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, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input checked="" type="checkbox"/> is not required;           <input type="checkbox"/> is attached; or           <input type="checkbox"/> has been requested.         </div>		<b>DATE</b> <div style="font-family: cursive; font-size: 1.2em;">4-6-01</div>	
<b>DATE</b> <div style="font-family: cursive; font-size: 1.2em;">12/5/00</div>		<b>ARCHIVIST OF THE UNITED STATES</b> <div style="font-family: cursive; font-size: 1.2em;">John W. Paul</div>	
<b>SIGNATURE OF AGENCY REPRESENTATIVE</b> <div style="font-family: cursive; font-size: 1.2em;">Omar Herran</div>		<b>TITLE</b> <div style="text-align: center;">CHIEF, INFORMATION MANAGEMENT OFFICE</div>	
<b>7. ITEM NO.</b>	<b>8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</b>  <div style="font-family: cursive; font-size: 1.2em;">(SEE ATTACHED)</div>	<b>9. GRS OR SUPERSEDED JOB CITATION</b>	<b>10. ACTION TAKEN (NARA USE ONLY)</b>
<div style="font-family: cursive; font-size: 1.5em; margin-top: 10px;">             Agency, NWMD, NWME, NWMA, NWET, NR           </div>			

CO\_OGC INTERNAL AFFAIRS

**Federal Bureau of Prisons: Record Group 129****CENTRAL OFFICE - INTERNAL AFFAIRS**

The Office of Internal Affairs (OIA), is a branch unit within the agency Director's organization. From an operational perspective, OIA reports to the agency's General Counsel who provides overall direction and guidance. The Inspector General Act of 1978 and re-delegated powers from 28 U.S.C. 3050, directs OIA to conduct and supervise investigations relating to programs and operations of the BOP. OIA is tasked to promote economy, efficiency, and effectiveness in BOP program administration by preventing and detecting fraud, waste, and abuse in program operations. Records are created in the course of investigating individuals and entities suspected of having committed illegal or unethical acts and in conducting related criminal prosecutions, civil proceedings, and/or administrative actions. The office has an operating unit at the Denver Management Specialty Training Center (Aurora, Colorado), used in part to conduct investigations and to temporarily store some of the OIA records.

**1. Information Matter Files**

Anonymous or signed correspondence, letters, reports, notes on telephone conversations, and unsubstantiated referral notices to OIA of matters not applicable to its jurisdiction or issues which on the surface do not suggest an incident of misconduct on behalf of BOP staff but rather a possible break down in communications. Examples of these files include complaints and reported potential misconduct allegations of staff members from other components (INS, USMS, state prisons), inmate complaints about conditions of confinement or about other inmates, inmate complaints of unfair transfers, or member(s) of the community complaining about lack of attention to an inmate.

**Disposition:** *Temporary. Redirect files to DOJ's IG when appropriate. Destroy when 30 days old.*

**2. Complaints Files**

Reports, correspondence, and working files presented to OIA which contain sufficient information to describe an alleged staff misconducts, but lacks specificity or sufficiency to open a case investigation file. Examples of these files include reports of past incidents where time elapsed prevents or makes it difficult to ascertain an investigation, and reports of broad allegations without specific evidence to the charge.

**Disposition:** *Temporary. Destroy when 5 years old.*

### 3. Case Investigation Files

Reports of investigations, reports from other law enforcement bodies (FBI, USMS, INS, etc.), memoranda, letters, oath declarations, affidavits, inmate statements, working papers and other documents gathered during the course of a staff's preliminary investigation. These files are received by OIA and are deemed by OIA to have sufficient detail to investigate allegations of criminal or administrative misconduct. Some examples of case investigation files include: misuse of government's credit card, misuse of sick leave, verbal/physical abuse by staff, charges of domestic violence by staff, staff failure to follow correctional policy, and staff absent without official leave. These records are organized chronologically using a numerical assignment that includes the fiscal year when the case investigation file was opened by OIA.

**Disposition:** *Temporary. Cut off at the end of the fiscal year. Transfer to FRC 4 years after cutoff. Destroy 30 years after cutoff.*

### 4. Investigations DataBase Indexing System

This database management system was developed in 1986 to serve a file locator and indexing tool for case investigation files and complaint files. The system was designed and developed in DBASE. Using query filters, OIA staff may generate a variety of reports based on time of event, site location, subject of investigation, a synopsis of event, and individuals involved (victims and complainants), and by case investigation file number. The system is also used to generate basic statistics on annual caseloads. This system will be migrating to a new system called Lawpack.

**A- Input:** Textual information extracted from source materials such as E-mails, fax transmissions, letters, phone interviews, notes, working files, reports, correspondence, and NFC (personnel), system downloads.

**Disposition:** *Temporary. Destroy source materials in accordance with items #2 and #3 of this schedule.*

**B- Output:** Individualized case file and complaint file record sheet, inventory list of open cases, report on case workload by specific agent

**Disposition:** *Temporary. Destroy when no longer needed for reference purposes.*

**C- Data:** Record information containing fielded data regarding case date, time of event, site location, subject of investigation, a synopsis of event, and individuals involved (victims and complainants), and case investigation file number among others.

**Disposition:** *Temporary. Destroy 1 years after records and system migration is completed to the new Lawpack system.*

## 5. LawPack Case Investigation System

This new database management system began operating in October 2000, and is currently in use as a file locator and indexing tool for case investigation files and complaints file opened since FY 2001. OIA plans to move data from the **Investigations DataBase Indexing System** to LawPack by the end of FY 2001. The system operates in a Microsoft Windows NT environment. Using query filters, OIA staff may generate a variety of reports based on time of event, site location, subject of investigation, a synopsis of event, and individuals involved (victims and complainants), and by case investigation file number. The system is also used to generate basic statistics on annual caseloads.

**A- Input:** Textual information extracted from source materials such as E-mails, fax transmissions, letters, phone interviews, notes, working files, reports, correspondence, and NFC (personnel), system downloads.

**Disposition:** *Temporary. Destroy source materials in accordance with items #2 and #3 of this schedule.*

**B- Output:** Individualized case file and complaint file record sheet, inventory list of open cases, report on case workload by specific agent

**Disposition:** *Temporary. Destroy when no longer needed for reference purposes.*

**C- Data:** Record information containing fielded data regarding case date, time of event, site location, subject of investigation, a synopsis of event, and individuals involved (victims and complainants), and case investigation file number among others.

**Disposition:** *Temporary. Destroy 1 years after superseded, obsolete, or no longer of use to agency.*

**D- SysDoc:** System documentation including file layout, user manuals, and related records needed to read and understand the data on this system.

**Disposition:** *Temporary. Destroy when superseded or no longer of use to agency.*

6. **Electronic Version of Records Created by the Electronic Mail and Word Processing Applications for items 1-3 of the record schedule of the Office of Internal Affairs schedule.**

**Disposition:** *Temporary. Delete after record keeping copy has been produced.*