

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-01-009

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by N1-412-07-070.

Date Reported: 08/31/2020

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 204081 FROM (Agency or establishment)
Environmental Protection Agency2. MAJOR SUBDIVISION
Office of Inspector General

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Chris O'Donnell

5 TELEPHONE

202-260-1324

LEAVE BLANK (NARA use only)

JOB NUMBER

71-412-01-9

DATE RECEIVED

11-15-2000

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

ARCHIVIST OF THE UNITED STATES

11-20-00

John W. Paul

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,

☒

is not required;

☐

is attached; or

☐

has been requested.

DATE

11/8/00

SIGNATURE OF AGENCY REPRESENTATIVE

Chris O'Donnell

TITLE

Agency Records Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION10. ACTION
TAKEN (NARA
USE ONLY)

See attached schedule U.S. EPA 698 - Investigative Case Files

cc: Agency NWML NR

12/4/00

U.S. EPA RECORDS SCHEDULE

#1. SERIES TITLE: Investigative Case Files

PROGRAM: Inspector General

EPA SERIES NO: 698

AGENCY FILE CODE: INSP 698

NARA DISPOSAL AUTHORITY: N1-412-01-9
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Consists of case files developed during investigations of known or alleged fraud, abuse, irregularities and violations of laws and regulations, excluding those that result in national media attention, Congressional investigation, or substantive changes in Agency policy or procedure. Cases relate to Agency personnel, programs, and operations administered or financed by the Agency, including contractors and others having a relationship with the Agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.

b. All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by Agency officials or others.

c. Electronic versions created with electronic mail and word processing systems.

Excludes: Unusually significant case files which are scheduled separately.

ARRANGEMENT: Arranged numerically by case number.

TYPE OF RECORDS:
Case filesSPECIFIC RESTRICTIONS:
Privacy Act System #4MEDIUM:
Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program management and oversightSPECIFIC LEGAL REQUIREMENTS:
Inspector General Act (P.L. 95-452), as amended

EPA SERIES NO. 698

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break file upon case closure.

DISPOSITION INSTRUCTIONS:

- a. Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy when 5 years old.
- b. Keep inactive materials in office 5 years after file break, then retire to FRC. Destroy when 20 years old.
- c. Delete when record copy is generated.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The program office has requested a change in the retention for subitem b, increasing the retention from 10 to 20 years to meet litigation and investigation needs.

AGENCY-WIDE GUIDANCE: If evidence files are returned to program offices, they are to be maintained for the same length of time as stated in the disposition instructions.

Unusually significant case files that document major violations of criminal law or ethical standards are covered by EPA 143 - Program Development Files of Headquarters Offices or EPA 126 - Program Development Files of Regional Offices.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Office of Investigations

Location: Waterside Mall

Inclusive Dates: 1991 - present

Volume on Hand (Feet): 140

Annual Accumulation:
(feet or inches) 6 ft

CONTACT POINT:

Name: Charles C. Lewis

Mail Code: 2431

Telephone: 202-260-1109

Office:

Room: NE3307

CONTROL INFORMATION:

RELATED ITEMS: EPA 126, EPA 143

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: N1-412-86-4/2

EPA SERIES NO. 698

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
11/13/00		11/4/93	12/4/00