

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date . March 14, 2001

Reply to

Attn of : Mary T. Donovan, NWML

Subject . Appraisal of records covered by Job No. N1-269-01-1

To . Director, NWML

The General Services Administration requests a modification to Job No. N1-268-99-1, item 03A56, covering Office of Inspector General's (OIG) investigative case files.

In February 2000, NARA approved Job No. N1-268-99-1 which included OIG investigative case files. All series were appraised as temporary and the schedule included a note stating, "The General Services Administration will bring any historically significant files to the National Archives and Records Administration's attention on a case by case basis." When the approved schedule was returned to GSA, OIG staff requested that specific selection criteria for permanent investigative case files be included on the schedule. In addition, OIG is currently scanning documents into digital images and designating them as the record copy. They are requesting disposal authority for temporary paper records that are scanned and for all electronic images of scanned paper records.

Items 03A056 (a)(1), 03A056 (a)(2), and 03A056 (a)(3) cover files containing information or allegations of an investigative nature that do not result in the establishment of a formal investigative case file. The items cover the paper case file, "bulky files" (third party information, sealed documents, and supporting materials), and the imaged copy of the case. As the OIG takes no formal action regarding such cases, the records in both formats are correctly proposed as temporary.

Items 03A056 (b)(1)(A) and 03A056 (b)(1)(B) cover hard copy investigative case files and associated "bulky files" for cases of significant value. The specific criteria for permanent case files includes those attracting substantial national or regional media attention, those resulting in a Congressional investigation, those resulting in substantive changes in GSA policy and procedures, and those cases involving senior agency officials. These criteria are consistent with those outlined in NARA's "Guidelines for Scheduling Office of Inspector General Records" which was promulgated in December 1998 in a Memorandum to Agency Records Officers entitled, "Changes to the General Records Schedules and withdrawal of GRS 22, Inspector General Records" (NWM 05.99). Files falling into one of the four categories listed on the schedule warrant permanent retention

Item 03A056(b)(1)(C) covers the electronic imaged copy of the case file covered by items 03A056 (b)(1)(A) and 03A056 (b)(1)(B) of the schedule. In addition to the preservation challenges associated with the long-term preservation of electronic images, these records are proposed as temporary for the following reasons. GSA anticipates that the number of permanent case files will not exceed one or two cases per year. Locating a hardcopy file

within a series of such low volume is straightforward and unproblematic. In addition, Inspector General investigative case files typically contain information covered by Freedom of Information Act exemptions. Redactions of unreleasable information are more easily accomplished using the hard copy.

Items 03A056 (b)(2)(A), 03A056 (b)(2)(B), and 03A056 (b)(2)(C) cover investigative case files that are not significant; therefore, GSA correctly proposes them in all formats for temporary retention.

Items 03A056 (c)(A), 03A056 (c)(B), and 03A056 (c)(C) cover the Investigations Information System (IIS), a tracking and control system which generates reports used for administrative purposes. Given that the number of GSA investigative case files selected for permanent retention will probably be few, preservation of a tracking system for use as a finding aid is unwarranted; therefore, the IIS and related records are correctly proposed as temporary.

Item 03A056 (d) covers copies of the records on this schedule created using electronic mail and word processing applications. The electronic copies of the records do not significantly add to the archival value of the records and are correctly proposed as temporary.

Retention periods of the temporary records on this schedule appear to be sufficient for the protection of rights and interests of those involved, as well as ensuring government accountability. I recommend approval of this schedule as submitted.



MARY T. DONOVAN
Life Cycle Management Division