

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-NU-02-01	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-09-01	
1 FROM (Agency or establishment) Department of the Navy		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Inspector General			
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Larry Lipolis	4 TELEPHONE NUMBER (202) 433-2224	DATE 3-11-02	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
5. 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 _____ page(s) are not needed now for the business for 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 type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested.			
DATE 9 October 2001	SIGNATURE OF AGENCY REPRESENTATIVE <i>James C. Jensen</i> JAMES C. JENSEN		TITLE DON RECORDS MANAGER WASH, DC
	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<u>SSIC 5041</u> <u>NAVAL INSPECTOR GENERAL INVESTIGATIVE FILES</u> SENIOR OFFICIAL AND SPECIAL INVESTIGATIONS (INQUIRIES). Case files of investigations conducted directly by the Office of the Naval Inspector General (NAVINSGEN). These files include investigations of senior Department of the Navy officials (Political Appointees, Flag and General Officers, and Senior Executive Service Personnel, both career and non-career) conducted pursuant to Secretary of the Navy Instruction (SECNAVINST) 5800.12A, and all other investigations or inquiries conducted by personnel assigned to the NAVINSGEN. These cases relate to personnel, programs, and operations administered or financed by the DON.	<i>cc: Agency, JWR, JWM</i>	<i>JWMW JR, JWM</i>

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	<p>1. Files consist of final investigative reports and working papers. Files may contain audio and/or videocassette tapes.</p> <p style="margin-left: 40px;">a. <u>Investigations of historical significance (those that attract great public, congressional, or judicial attention, cause substantive changes in agency policies or procedures or involve as subjects of the investigation political appointees serving in the DON, Admirals, and Vice Admirals in command).</u></p> <p style="margin-left: 40px;">(1) Record copy of final reports with working papers offered to/accepted by the Naval Historical Center:</p> <p style="margin-left: 80px;">Permanent. Transfer 10 years after investigation is closed. Naval Historical Center transfer to NARA 50 years after case closing and after declassification review.</p> <p style="margin-left: 40px;">(2) Record copy of final reports not transferred to the Naval Historical Center:</p> <p style="margin-left: 80px;">Permanent. Transfer to WNRC 10 years after investigation is closed. Transfer to NARA 25 years after case closing and after declassification review.</p> <p style="margin-left: 40px;">b. <u>Investigations of a Routine Nature.</u></p> <p style="margin-left: 80px;">Maintain record copy at NAVINSGEN for 10 years after closing, then destroy.</p>		
2	<p>2. TASKED INVESTIGATIONS. Investigations conducted by other DON activities at NAVINSGEN direction. Investigating activities forward record copy to NAVINSGEN during course of investigation. Record copy includes the final investigative report with attachments, any interim reports, endorsements and other correspondence.</p>		
3	<p>3. (This section is currently blank in the image)</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

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4	<p>a. <u>Investigations of historical significance.</u> (NOTE: Historical significance is defined above.)</p> <p>(1) Record copy of final reports with working papers offered to/accepted by the Naval Historical Center:</p> <p>Permanent. Transfer 10 years after closing. Naval Historical Center transfer to NARA 50 years after case closing and after declassification review.</p> <p>(2) Record copy of final reports not transferred to the Naval Historical Center:</p> <p>Permanent. Transfer to WNRC 10 years after investigation is closed. Transfer to NARA 25 years after case closing and after declassification review.</p>		
5	<p>b. <u>Investigations of a routine nature.</u></p> <p>Retire record copy of case file to WNRC two years after closing. Destroy 10 years after closing.</p>		
6	<p>c. <u>Field Copies.</u> Duplicates of material sent to NAVINSGEN and other working papers maintained by the tasked activities including interview transcripts, sworn statements, results of interviews, background information, case summaries, recommendations, copies of related e-mail, and action memorandums.</p>		
7	<p>Maintain at local activity for 2 years after closing, then destroy. Cases in litigation shall be maintained locally until the litigation is completed.</p> <p>3. CONGRESSIONAL INQUIRIES. IG investigations frequently generate congressional inquiries; accordingly, such case files contain correspondence to and from the concerned congressional office. Such cases will be maintained consistent with paragraphs 1 and 2 above, e.g., if it is a tasked investigation,</p>		

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8	<p>it falls under paragraph 2. Congressional interest alone does not change the status of the case.</p> <p>Refer to paragraphs 1 or 2 for disposition.</p> <p>4. BOOKFILED CASES. Cases opened for recordkeeping purposes only. No investigation conducted. Case files contain complaints, correspondence, analysis, briefing points, memoranda and e-mail.</p> <p style="padding-left: 40px;">a. <u>Record copy of cases containing allegations that, if investigated, would fall under paragraphs 1a or 1b above.</u></p> <p>Maintain at NAVINSGEN for 10 years and then destroy.</p> <p style="padding-left: 40px;">b. <u>Record copy of cases containing allegations which, if investigated, would fall under paragraph 2 above.</u></p>		
9	<p>Destroy after 2 years.</p> <p>5. ELECTRONIC DOCUMENTARY MATERIALS.</p> <p style="padding-left: 40px;">a. <u>NAVINSGEN Case Management Information System (CMIS).</u> Electronic database listing progress of investigations on cases identified in paragraphs 1 through 4 above.</p>		
10	<p>Place printout of database information related to each case in the case file before transfer to the Naval Historical Center or WNRC. Destroy/delete records from the database when superseded, obsolete, or no longer needed for reference, whichever is later.</p>		
11	<p style="padding-left: 40px;">b. <u>Electronic copies of reports, working papers, and other case related materials identified in paragraphs 1 through 4 above.</u></p> <p>Destroy/delete when no longer needed for reference / AND AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.</p>		

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	<p>6. OTHER DON IG INVESTIGATIVE FILES.</p> <p style="margin-left: 40px;">a. <u>Case files for complaints received and investigated by other DON organizations whose personnel may perform an IG investigative function.</u></p> <p style="margin-left: 40px;">Maintain consistent with paragraphs 2 through 4.</p> <p style="margin-left: 40px;">b. <u>All IG case files, which have been determined by the chain of command to be of historical significance.</u></p> <p style="margin-left: 40px;">Send to NAVINSGEN 2 years after closing. NAVINSGEN transfer per paragraphs 2a(1) and 2a(2).</p>		