

Request for Records Disposition Authority

Records Schedule Number DAA-0064-2016-0006
Schedule Status Approved

Agency or Establishment National Archives and Records Administration
Record Group / Scheduling Group Records of the National Archives and Records Administration
Records Schedule applies to Major Subdivision
Major Subdivision Office of the Inspector General (OIG)
Minor Subdivision Office of Investigations
Schedule Subject Records of the Office of Investigations
Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0064-2016-0006

Sequence Number	
1	Investigation Case Files
1.1	Historically Significant Investigative Case Files Disposition Authority Number: DAA-0064-2016-0006-0001
1.2	All other closed numbered Investigative Case Files (-I) Disposition Authority Number: DAA-0064-2016-0006-0002
1.3	Closed complaint, referral, preliminary and other numbered files. Disposition Authority Number: DAA-0064-2016-0006-0003
1.4	Investigation training records, Policy and Business Records or memorandums
1.4.1	Investigation Training records Disposition Authority Number: DAA-0064-2016-0006-0004
1.4.2	Policies, Office Memorandums, Directives and Business records Disposition Authority Number: DAA-0064-2016-0006-0005

Records Schedule Items

Sequence Number											
1	<p>Investigation Case Files NARA OIG information is developed during reported fraud and abuse, and irregularities and violations of laws and regulations. Numbered Investigative Case files (-I) are derived upon a determination of that information and will be related to programs and operations administered or financed by the agency, and to agency personnel, contractors, and other persons having a relationship with the agency. Investigative files may consist of memorandums of interview or other activity, reports of investigation, and related documents, such as correspondence, notes, attachments and working papers. This schedule covers all investigative files, complaint, referral, preliminary and other numbered files in any formats. This includes information from The Archives Investigative Management System (AIMS) and Case Management and Tracking System (CMTS). AIMS covers all current and present information, and numbered investigations as well as important legacy data from the CMTS. 1.1</p>										
1.1	<p>Historically Significant Investigative Case Files Disposition Authority Number DAA-0064-2016-0006-0001</p> <p>All Significant numbered Investigative Case Files (-I) (i.e. memorandums of interview or other activity, reports of investigation, and related documents, correspondence, notes, attachments and working papers. Significant numbered Investigative Case Files (1) having a serious finding or resulting in criminal prosecution against senior NARA officials (GS-15 or higher), (2) attracting national media or Congressional attention, or (3) resulting in substantive changes in NARA policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria. Historically significant case files include: cases attracting news media attention or Congressional inquiries, precedent-setting, or had a direct impact on agency policies.</p> <table data-bbox="365 1425 893 1808"> <tr> <td>Final Disposition</td> <td>Permanent</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>Yes</td> </tr> </table> <p>Disposition Instruction</p>	Final Disposition	Permanent	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	Do any of the records covered by this item exist as structured electronic data?	Yes
Final Disposition	Permanent										
Item Status	Active										
Is this item media neutral?	Yes										
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes										
Do any of the records covered by this item exist as structured electronic data?	Yes										

Cutoff Instruction Cutoff closed case files at end of the fiscal year in which the case is closed.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2016

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	5.0 Cubic feet	1.0 Cubic feet
Microform		
Hardcopy or Analog Special Media		

1.2

All other closed numbered Investigative Case Files (-I)

Disposition Authority Number DAA-0064-2016-0006-0002

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-064-07-1, item 2a and 2b
N1-064-00-4, item 2b

Disposition Instruction

	Cutoff Instruction	Cutoff closed case files at end of the fiscal year in which the case is closed.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
1.3	Closed complaint, referral, preliminary and other numbered files.	
	Disposition Authority Number	DAA-0064-2016-0006-0003
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-064-00-4, item 2a N1-064-07-1, item 1
	Disposition Instruction	
	Cutoff Instruction	Cutoff closed case files at end of the fiscal year in which the case is closed.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
1.4	Investigation training records, Policy and Business Records or memorandums	
1.4.1	Investigation Training records	
	Disposition Authority Number	DAA-0064-2016-0006-0004
	Records maintained as a result of firearms training, periodic certifications or other law enforcement training.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	Yes

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff files at the end of the fiscal year.
	Retention Period	Destroy 5 year(s) after date of training or when no longer needed for operational purposes whichever is later.
	Additional Information	
	GAO Approval	Not Required
1.4.2	Policies, Office Memorandums, Directives and Business records	
	Disposition Authority Number	DAA-0064-2016-0006-0005
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff files at the end of the fiscal year.
	Retention Period	Destroy when superseded, cancelled or discontinued.
	Additional Information	
	GAO Approval	Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/03/2016	Return to Submitter	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
08/04/2016	Return to Submitter	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
08/08/2016	Return to Submitter	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
08/08/2016	Certify	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
11/02/2016	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
11/17/2016	Submit For Certification	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
11/17/2016	Certify	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
02/08/2017	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

02/14/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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