

## Request for Records Disposition Authority

Records Schedule Number           DAA-0082-2015-0001

Schedule Status                     Approved

  

Agency or Establishment           **Federal Reserve System**

Record Group / Scheduling Group   **Records of the Federal Reserve System**

Records Schedule applies to       **Major Subdivision**

Major Subdivision                  **Office of the Inspector General: Board of Governors of the Federal Reserve System and Consumer Financial Protection Bureau**

Schedule Subject                   **Records of the Office of the Inspector General for the Board of Governors of the Federal Reserve System and Consumer Financial Protection Bureau**

Internal agency concurrences will be provided   **No**

Background Information           **The Office of Inspector General (OIG) is an independent and objective oversight authority within the Board of Governors of the Federal Reserve System (Board). In addition, the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act), enacted into law on July 21, 2010, established the OIG as the independent oversight authority for the Consumer Financial Protection Bureau (CFPB). In fulfilling this responsibility, the OIG conducts audits, investigations, and other reviews related to the Board's and the CFPB's programs and operations.**

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
19	3	16	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-0082-2015-0001

Sequence Number	
1	<b>Investigations</b>
1.1	Significant investigations Disposition Authority Number: DAA-0082-2015-0001-0001
1.2	All other investigations Disposition Authority Number: DAA-0082-2015-0001-0002
1.3	Files not related to specific investigations Disposition Authority Number: DAA-0082-2015-0001-0003
1.4	Confidential informant files Disposition Authority Number: DAA-0082-2015-0001-0004
1.5	Investigator training records Disposition Authority Number: DAA-0082-2015-0001-0005
1.6	Records documenting an individual's law enforcement education, training, and professional development Disposition Authority Number: DAA-0082-2015-0001-0006
1.7	Records used to inventory and track firearms and ammunition assigned to the OIG Disposition Authority Number: DAA-0082-2015-0001-0007
1.8	Internal OI policies, procedures, instructions, and guidance Disposition Authority Number: DAA-0082-2015-0001-0008
2	<b>Audits, evaluations, inspections, attestations, and statutorily-mandated reviews</b>
2.1	Audit, inspection, evaluation, attestation, and statutorily-mandated review case files Disposition Authority Number: DAA-0082-2015-0001-0009
2.2	Final reports of audits, evaluations, inspections, attestations, and statutorily-mandated reviews Disposition Authority Number: DAA-0082-2015-0001-0010
3	<b>General program files of the OIG</b> Disposition Authority Number: DAA-0082-2015-0001-0011
4	<b>OIG Legal Counsel</b>
4.1	Litigation case files Disposition Authority Number: DAA-0082-2015-0001-0012
4.2	Formal legal opinions related to general matters of the OIG Disposition Authority Number: DAA-0082-2015-0001-0013
4.3	Informal legal opinions and other documents concerning program matters Disposition Authority Number: DAA-0082-2015-0001-0014

- 5 **Reports**
- 5.1 **Reports to Congress, including the OIG semi-annual report**  
**Disposition Authority Number: DAA-0082-2015-0001-0015**
- 5.2 **Background records consisting of supporting working papers for the reports to Congress**  
**Disposition Authority Number: DAA-0082-2015-0001-0016**
- 5.3 **Strategic plans**  
**Disposition Authority Number: DAA-0082-2015-0001-0017**
- 6 **Peer reviews**
- 6.1 **Reviews of Board and CFPB OIG**  
**Disposition Authority Number: DAA-0082-2015-0001-0018**
- 6.2 **Reviews of other agency OIGs by Board and CFPB OIG**  
**Disposition Authority Number: DAA-0082-2015-0001-0019**

Records Schedule Items

Sequence Number	
1	<p><b>Investigations</b> The Office of Investigations (OI) conducts criminal, civil, and administrative investigations related to the Board of Governors of the Federal Reserve System (Board) and the Consumer Financial Protection Bureau (CFPB) programs and operations. Files include investigative reports and related documents generated during the course of, or subsequent to, an investigation. Each file incorporates information in electronic and hard copy case tracking systems, databases containing investigatory information, "hotline" telephone logs, investigator work papers, memoranda, and letter referrals to management and others. Records consist of memorandums, e-mail, correspondence, reports, data, questionnaires, and investigator work papers. Investigations may be in paper case files or an electronic case filing system. These records are subject to applicable Freedom of Information Act (FOIA) exceptions and exemptions.</p>
1.1	<p><b>Significant investigations</b></p> <p>Disposition Authority Number      DAA-0082-2015-0001-0001</p> <p>Records include cases resulting in substantive change in agency policy and cases that attract substantial congressional or media attention.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      No</p> <p>GRS or Superseded Authority Citation      N1-082-00-001 / 1</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off files when the investigation is closed.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives in 5 year blocks 30 year(s) after cut off</p> <p><b>Additional Information</b></p>

	What will be the date span of the initial transfer of records to the National Archives?	From 1987 To 1991
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
1.2	<b>All other investigations</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0002
	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?	No
	GRS or Superseded Authority Citation	N1-082-00-001 / 1
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files when the investigation is closed.
	Retention Period	Destroy no sooner than 10 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.3	<b>Files not related to specific investigations</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0003
	<b>Files containing anonymous or vague allegations not warranting an investigation and support files providing general information that may prove useful in Inspector General investigations</b>	
	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

1.4

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

GRS or Superseded Authority Citation N1-082-00-001 / 2

**Disposition Instruction**

Cutoff Instruction Cut off files annually.

Retention Period Destroy no sooner than 5 year(s) after cut off but longer retention is authorized

**Additional Information**

GAO Approval Not Required

**Confidential informant files**

Disposition Authority Number DAA-0082-2015-0001-0004

Records include documents related to informants used in the conduct of investigations. Included are informant data cards, agent activity summaries, cross index cards, and related documents. Consists of identifying information regarding confidential informants and confidential sources.

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 Cut off files when the investigation is closed.

Transfer to Inactive Storage Maintain on site.

Retention Period Destroy no sooner than 10 year(s) after cut off but longer retention is authorized

**Additional Information**

GAO Approval Not Required

1.5

**Investigator training records**

Disposition Authority Number      DAA-0082-2015-0001-0005

Records include lesson plans, course schedules, critiques, student rosters, assessment results, and related documentation of the planning and delivery of training events. These events include basic, in-service, and advanced training; weapons qualification training; and special training events, including physical fitness assessments.

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                      Cut off files at the end of each year.

Retention Period                      Destroy no sooner than 30 year(s) after cut off but longer retention is authorized

**Additional Information**

GAO Approval                          Not Required

1.6

**Records documenting an individual's law enforcement education, training, and professional development**

Disposition Authority Number      DAA-0082-2015-0001-0006

The records include completed tests, exercises, and certifications.

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

1.7	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files at the end of each year.
	Retention Period	Destroy no sooner than 30 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Records used to inventory and track firearms and ammunition assigned to the OIG</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0007
	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	
1.8	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files at the end of each year.
	Retention Period	Destroy no sooner than 5 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Internal OI policies, procedures, instructions, and guidance</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0008
	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
	<b>Disposition Instruction</b>	
	Retention Period	Destroy when superseded, obsolete, or when no longer needed for reference purposes.
	<b>Additional Information</b>	
	GAO Approval	Not Required
2	Audits, evaluations, inspections, attestations, and statutorily-mandated reviews These case files are created and maintained in an electronic audit management system. The master file includes work papers and any information used to support the objectives and results of the work, including financial or operating information obtained from other Board and CFPB records systems. The schedule covers records in all formats. These records are subject to applicable FOIA exemptions.	
2.1	Audit, inspection, evaluation, attestation, and statutorily-mandated review case files	
	Disposition Authority Number	DAA-0082-2015-0001-0009
	Case files of audits, inspections, evaluations, attestations, and statutorily-mandated reviews (such as material loss reviews and Dodd-Frank Act 211(f) reviews), and other reviews of the Board's and CFPB's programs and operations. Case files may include reports, correspondence, memoranda, and supporting working papers.	
	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
	GRS or Superseded Authority Citation	N1-082-00-001 / 3
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files on issuance of the final report.
	Retention Period	Destroy no sooner than 5 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	

2.2

GAO Approval	Not Required
<b>Final reports of audits, evaluations, inspections, attestations, and statutorily-mandated reviews</b>	
Disposition Authority Number	DAA-0082-2015-0001-0010
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?	No
<b>Disposition Instruction</b>	
Cutoff Instruction	Cut off files when the case is closed.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 30 year(s) after cut off
<b>Additional Information</b>	
What will be the date span of the initial transfer of records to the National Archives?	From 1987 To 1991
How frequently will your agency transfer these records to the National Archives?	Every 5 Years

3

<b>General program files of the OIG</b>	
Disposition Authority Number	DAA-0082-2015-0001-0011
<b>Consists of general program files, e-mail, and other communications not related to a specific investigation, audit, review, evaluation, etc. Also includes program files of internal reviews, quality assurance reviews, strategic initiatives, policies, procedures, handbooks, and MOUs.</b>	
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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files annually.
	Retention Period	Destroy no sooner than 5 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
4	<b>OIG Legal Counsel</b>	
4.1	<b>Litigation case files</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0012
	<b>Correspondence, memorandums, briefs, motions, declarations, depositions, and other internal documentation and court filings related to OIG litigation.</b>	
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files at the end of the year in which the matter was closed.
	Retention Period	Destroy no sooner than 10 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
4.2	<b>Formal legal opinions related to general matters of the OIG</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0013

	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off files at the end of the year in which the matter was closed.
	Retention Period	Destroy no sooner than 5 year(s) after cut off but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
4.3	<b>Informal legal opinions and other documents concerning program matters</b>	
	Disposition Authority Number	DAA-0082-2015-0001-0014
	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
	<b>Disposition Instruction</b>	
	Retention Period	Destroy when no longer needed for legal or administrative purposes.
	<b>Additional Information</b>	
	GAO Approval	Not Required
5	<b>Reports</b>	
5.1	<b>Reports to Congress, including the OIG semi-annual report</b>	

Disposition Authority Number      **DAA-0082-2015-0001-0015**

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?                      **No**

**Disposition Instruction**

Cutoff Instruction                      **Cut off files annually.**

Transfer to the National Archives  
for Accessioning                      **Transfer to the National Archives in 5 year blocks 5  
year(s) after cut off**

**Additional Information**

What will be the date span of the  
initial transfer of records to the  
National Archives?                      **From 2008 To 2012**

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

5.2

**Background records consisting of supporting working papers for the reports to Congress**

Disposition Authority Number      **DAA-0082-2015-0001-0016**

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**

5.3	<p>Retention Period</p> <p><b>Additional Information</b></p> <p>GAO Approval</p> <p><b>Strategic plans</b></p> <p>Disposition Authority Number</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>Do any of the records covered by this item exist as structured electronic data?</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction</p> <p>Retention Period</p> <p><b>Additional Information</b></p> <p>GAO Approval</p>	<p>Destroy when no longer needed</p> <p>Not Required</p> <p>DAA-0082-2015-0001-0017</p> <p>Temporary</p> <p>Active</p> <p>Yes</p> <p>Yes</p> <p>No</p> <p>Cut off files when obsolete or superseded.</p> <p>Destroy no sooner than 5 year(s) after cut off but longer retention is authorized</p> <p>Not Required</p>
6	<p><b>Peer reviews</b></p>	<p>Each statutory OIG should receive separate independent, comprehensive peer reviews of its audit and investigative operations once every three years, consistent with applicable standards and guidelines. In general, these peer reviews determine whether the OIG's internal quality control system is adequate as designed and provides reasonable assurance that the OIG follows applicable standards, policies, and procedures. Peer reviews may be in paper case files or an electronic case filing system.</p>
6.1	<p><b>Reviews of Board and CFPB OIG</b></p> <p>Disposition Authority Number</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in</p>	<p>DAA-0082-2015-0001-0018</p> <p>Temporary</p> <p>Active</p> <p>Yes</p> <p>Yes</p>

6.2

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 Cut off files at the end of the year in which the review is closed.

Retention Period Destroy no sooner than 5 year(s) after cut off but longer retention is authorized

**Additional Information**

GAO Approval Not Required

Reviews of other agency OIGs by Board and CFPB OIG

Disposition Authority Number DAA-0082-2015-0001-0019

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 Cut off files at the end of the year in which the review is closed.

Retention Period Destroy no sooner than 5 year(s) after cut off but longer retention is authorized

**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
07/28/2015	Certify	Stephen Cooper	Records Program Manager	NA - NA
08/04/2015	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
10/14/2015	Submit For Certification	Robert Finch	Assistant Records Management Analyst	Federal Reserve System - Federal Reserve System
12/15/2015	Certify	Stephen Cooper	Records Program Manager	NA - NA
12/16/2015	Return for Revision	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/05/2016	Submit For Certification	Robert Finch	Assistant Records Management Analyst	Federal Reserve System - Federal Reserve System
01/13/2016	Certify	Stephen Cooper	Records Program Manager	NA - NA
03/03/2016	Return for Revision	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
04/07/2016	Submit For Certification	Stephen Cooper	Records Program Manager	NA - NA
04/11/2016	Certify	Stephen Cooper	Records Program Manager	NA - NA
12/05/2016	Submit for Concurrence	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1



12/07/2016	Return to Submitter	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/07/2016	Submit for Concurrence	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
12/09/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/13/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/15/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist