

Request for Records Disposition Authority

Records Schedule Number DAA-0220-2016-0003
 Schedule Status Approved

Agency or Establishment Special Inspector General for Afghanistan Reconstruction
 Record Group / Scheduling Group Records of Temporary Committees, Commissions, and Boards
 Records Schedule applies to Agency-wide
 Schedule Subject Inspector General
 Internal agency concurrences will be provided No

Background Information

Special Inspector General for Afghanistan Reconstruction (SIGAR) is the U.S. government's leading oversight authority on Afghanistan reconstruction. Congress created the Office of the Special Inspector General for Afghanistan Reconstruction to provide independent and objective oversight of the Afghanistan Reconstruction funds. Under the authority of Section 1229 of the National Defense Authorization Act for Fiscal Year 2008 (PL 110-181), SIGAR conducts audit, inspections, and investigations to promote efficiency and effectiveness of reconstruction programs, and to detect and prevent waste, fraud, and abuse of taxpayer dollars. SIGAR also has a hotline that allows individuals to report suspected fraud. SIGAR's mission is to promote economy and efficiency of U.S.-funded reconstruction programs in Afghanistan and to detect and deter fraud, waste, and abuse by conducting independent, objective, and strategic audits, inspections, and investigations.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	2	9	0

GAO Approval

Outline of Records Schedule Items for DAA-0220-2016-0003

Sequence Number	
1	Lessons Learned Program (LLP) Records
1.1	Final Lessons Learned Reports Disposition Authority Number: DAA-0220-2016-0003-0001
1.2	Lessons Learned Program Research Library Collection Disposition Authority Number: DAA-0220-2016-0003-0002
2	Peer Review Records
2.1	Investigative Peer Review Files Disposition Authority Number: DAA-0220-2016-0003-0003
2.2	Audit Peer Review Files Disposition Authority Number: DAA-0220-2016-0003-0004
3	Conference Planning and Event Management Records
3.1	SIGAR Components Hosting SIGAR Wide, Local and/or Internal Component Events Disposition Authority Number: DAA-0220-2016-0003-0005
3.2	Official SIGAR Event Materials Disposition Authority Number: DAA-0220-2016-0003-0006
3.3	Background Materials for SIGAR Conferences and Events Disposition Authority Number: DAA-0220-2016-0003-0007
4	SIGAR Directorate/Office Program Records
4.1	SIGAR Directorate/Office Program Files Disposition Authority Number: DAA-0220-2016-0003-0008
5	Special Projects (SP) Records
5.1	Special Projects (SP) Reports and Letters Disposition Authority Number: DAA-0220-2016-0003-0009
5.2	SIGAR Engagement Tracker Disposition Authority Number: DAA-0220-2016-0003-0010
6	Special Projects Tracking System (SPTraxx) Records
6.1	Special Projects Tracking System (SPTraxx) Masterfile Disposition Authority Number: DAA-0220-2016-0003-0011

Records Schedule Items

Sequence Number	
1	<p>Lessons Learned Program (LLP) Records The Lessons Learned Program (LLP) is responsible for conducting a comprehensive examination of the US involvement in Afghanistan since 2001 to identify key lessons and actionable recommendations to help improve current and future reconstruction efforts. The LLP is broken into specific projects that focus on thematic areas within the reconstruction such as security sector assistance, anti-corruption efforts, counter-narcotics interventions, stabilization initiatives, and economic development.</p>
1.1	<p>Final Lessons Learned Reports Disposition Authority Number DAA-0220-2016-0003-0001</p> <p>The Final Lessons Learned Reports are reports on key strategic issues that are published by SIGAR or cited in quarterly reports to Congress. The case files contain information related to capturing lessons and best practices from the US reconstruction efforts in Afghanistan. They include the report, evidentiary documentation, correspondence, memoranda, and supporting working papers.</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year.</p> <p>Transfer to the National Archives for Accessioning Transfer at the end of the agency. Individual electronic files must be accessioned in an acceptable format (following current CFR guidelines).</p> <p>Additional Information</p> <p>First year of records accumulation 2012</p> <p>What will be the date span of the initial transfer of records to the National Archives? Unknown At the end of the agency</p> <p>How frequently will your agency transfer these records to the National Archives? Unknown At the end of the agency</p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	300 GB	60 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

Lessons Learned Program Research Library Collection

Disposition Authority Number **DAA-0220-2016-0003-0002**

The LLP Research Library is a collection of research documents and data compiled by LLP in the production of lessons learned reports. It includes geospatial data, interviews, budget info, project-level documentation, and other historical documents.

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? **No**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the calendar year.**

Retention Period **Delete/destroy immediately after termination of the agency.**

Additional Information

GAO Approval **Not Required**

2

Peer Review Records

Files of internal peer reviews of OIG audit and inspection functions and external peer reviews of all OIG functions, including investigations.

2.1

Investigative Peer Review Files

Disposition Authority Number **DAA-0220-2016-0003-0003**

Investigative Peer Review Files include documents that summarize the conduct of peer reviews of investigative units of other OIGs or of the SIGAR OIG by another OIG. The Investigative Peer Review file contains includes SIGAR-Engagement Letter to FRB, SIGAR-Final Report and any supporting attachments if applicable, FRB provided materials (i.e., CDs) of their investigative policies and procedures; and all SIGAR PEER Review team working notes. Documentation that supports the results of these assessments also are included in the peer review file.

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? No

Disposition Instruction

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

Retention Period Delete/destroy 10 year(s) after cutoff, or at the end of the agency.

Additional Information

GAO Approval Not Required

2.2

Audit Peer Review Files

Disposition Authority Number DAA-0220-2016-0003-0004

Audit Peer Review Files include documents that summarize the conduct of peer reviews of the audit function of other OIGs or of the SIGAR's audit function by another OIG. The Audit Peer Review file contains CIGIE Appendix A, the results of the reviewing organization's assessment of policies and procedures; Appendix B, the review of adherence to general auditing standards; CIGIE Appendix E, documentation that the reviewing organization has assessed the organization's compliance with performance auditing standards; Appendix F, the checklist used to assess the organization's monitoring of audit work performed by independent public accounting firms; and other related documents. Documentation that supports the results of these assessments also are included in the peer review file.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

electronic format(s) other than e-mail and word processing?

Disposition Instruction

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

Retention Period Delete/destroy 10 year(s) after cutoff, or at the end of the agency.

Additional Information

GAO Approval Not Required

3

Conference Planning and Event Management Records

Conference Planning and Event Management is the process of planning a conference, ceremony, convention, seminar, or similar type of event. Conference and event planning can include budgeting, establishing dates and alternate dates, selecting and reserving the event site, acquiring permits & licenses, coordinating transportation and parking, developing a theme or motif for the event, arranging for speakers and alternate speakers, coordinating location support (such as electricity and other utilities), and arranging decor, event support and security, catering, emergency plans, aid stations, and cleanup. Conference Planning and Event Management records are developed for SIGAR wide events and events held internally by SIGAR components.

3.1

SIGAR Components Hosting SIGAR Wide, Local and/or Internal Component Events

Disposition Authority Number DAA-0220-2016-0003-0005

Records and information documenting the planning and management of SIGAR wide, local and/or internal events. Records include but are not limited to information on venue, request for funding, purchase requests, contracts for services, security and security clearances, development of brochures, pamphlets, placards, seating charts and other related materials, and email coordination.

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? No

Disposition Instruction

Cutoff Instruction Close event/project files annually upon completion of the event.

3.2	Retention Period	Delete/destroy 10 year(s) after cutoff, or at the end of the agency.
	Additional Information	
	GAO Approval	Not Required
	Official SIGAR Event Materials	
	Disposition Authority Number	DAA-0220-2016-0003-0006
	Final event materials includes final presentations, overviews schedules of events, information given to formal delegates and participants, event scripts, schedules, and invitations during SIGAR-wide, local and/or internal events, EXCLUDING presentations and speeches given by the IG or the Deputy IG (DIG). NOTE: Presentations and speeches given by the IG or the DIG are permanent records in accordance with DAL-0220-2014-0001-0004.	
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Close event/project files annually upon completion of the event.
	Retention Period	Delete/destroy 10 year(s) after cutoff, or at the end of the agency.
	Additional Information	
	GAO Approval	Not Required
3.3	Background Materials for SIGAR Conferences and Events	
	Disposition Authority Number	DAA-0220-2016-0003-0007
	Administrative and background material for event. Includes drafts of final presentations, conference proposals, speeches, scripts, general talking points schedules, and invitations, training materials presented to staff in advance of events, logistical information, vendor information, and other related documentary materials.	
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Close event/project files annually upon completion of the event.
	Retention Period	Delete/destroy when 3 years old or when no longer needed for business use, whichever is later.
	Additional Information	
	GAO Approval	Not Required
4	SIGAR Directorate/Office Program Records	
4.1	SIGAR Directorate/Office Program Files	
	Disposition Authority Number	DAA-0220-2016-0003-0008
	Documents relating to the internal administration and management of the SIGAR directorates and offices, but not general administrative or housekeeping files. These files include correspondence, memoranda, reports, forms, data calls/surveys, internal directorate/office procedures, and other materials accumulated by directorate and/or office staff in managing and carrying out assigned internal program functions and procedures.	
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the fiscal year.
	Retention Period	Destroy 7 years after cutoff, or at the end of the agency.
	Additional Information	
	GAO Approval	Not Required
5	Special Projects (SP) Records	
	The Special Projects directorate was created to examine emerging issues and deliver prompt, actionable reports and letters to federal agencies and the Congress. The directorate conducts a variety of assessments, producing reports	

5.1

and letters on all facets of Afghanistan reconstruction to fulfill SIGAR's legislative mandate and protect taxpayers.

Special Projects (SP) Reports and Letters

Disposition Authority Number DAA-0220-2016-0003-0009

The Special Projects reports and letters focus on providing timely, credible, and useful information to Congress and the American people, consistent with SIGAR's oversight duties. The Special Projects reports and letters may be the result of an issue that arises during an ongoing audit, investigation, inspection, recommendation follow up, or any topic that needs to be completed or addressed quickly. The products are intended to inform the agency about an issue(s) requiring immediate attention, obtain information on a specific issue, and/or communicate the results of work stemming from information provided by SIGAR's investigators, inspectors, auditors, or a hotline inquiry/complaint. All special project products are held for an embargo period (from 48 hours to 5 calendar days) before being posted to the SIGAR web site. The types of Special Project reports and letters include the following: • (1) Reviews – report the results of information garnered through targeted research on specific and/or narrow topics. Reviews are supported by sufficient, appropriate information with key facts, figures, and findings traceable to the source documentation. Reviews are written and published in a letter or report format. • (2) Inquiry letters – highlight an issue that requires the agency to produce answers in response. The letters generally request additional information and request confirmation of the facts presented in the letter. • (3) Alerts – point out an issue(s) that require immediate attention by an agency due to safety or other concerns. Timely issuance is critical to be of maximum use. Such communication alerts officials to matters needing immediate attention and allows them to promptly take corrective action. • (4) Fact sheets – informative products, written in a report format, for public release that provide information on a particular topic and do not contain findings, conclusions, and recommendations. • (5) Follow-up letters – based on responses received from an agency, SIGAR may send a follow-up letter(s) regarding a review report, inquiry or alert letter, or fact sheet. The case files for the Special Project reports and letters contain information related to the specific issue concerning the US reconstruction efforts in Afghanistan. They include the report; project planning documentation; scope & methodology documentation; evidentiary documentation collected from interviews, document collection, analysis, research, physical inspection, and other appropriate means; SP forms (i.e., Independence Declaration, Record of Meeting to discuss Product Development, and Independent Review of Special Projects), agency comments, correspondence, memoranda, and supporting working papers.

Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	No

electronic format(s) other than e-mail and word processing?

Disposition Instruction

Cutoff Instruction

Cut off at the end of the calendar year.

Transfer to the National Archives for Accessioning

Transfer at the end of the agency. Individual electronic files must be accessioned in an acceptable format (following current CFR guidelines).

Additional Information

First year of records accumulation 2012

What will be the date span of the initial transfer of records to the National Archives?

Unknown
At the end of the agency

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

Unknown
At the end of the agency

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	400 GB	60 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

5.2

SIGAR Engagement Tracker

Disposition Authority Number DAA-0220-2016-0003-0010

The Special Project Directorate notifies agencies of all special projects through the SIGAR Engagement Tracker. The tracker lists all work being conducted by SIGAR, including performance audits, inspections, financial audits, lessons learned initiatives, and special projects, and discusses them via conference call on a biweekly basis. Exceptions may occur to notifying agencies of a special project due to the nature of the matter being addressed, particularly when it involves safety or security.

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
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Delete/destroy immediately after termination of the agency.
	Additional Information	
	GAO Approval	Not Required
6	Special Projects Tracking System (SPTraxx) Records Special Projects Tracking System (SPTraxx) is an internal electronic project management system used to retain, organize, and provide search capability of project ideas and administrative project files related to authorized special projects. SPTraxx is designed to retain descriptive information obtained in authorized special projects regarding administrative details, messaging, tracking of product clearance/approval process, final completed documents, assigned staff, statistical accomplishments associated with project, project reminders, key dates, and a chronological listing of administrative project notes. Additionally, the system supports a large selection of standard and customizable reports and report export functions to assist Special Projects leadership in administration of production timelines and management.	
6.1	Special Projects Tracking System (SPTraxx) Masterfile	
	Disposition Authority Number	DAA-0220-2016-0003-0011
	Data captured in SPTraxx includes, but is not limited to, project assignment number, project name, project initiation and completion dates, administrative details, messaging, tracking of product clearance/approval process, final completed documents, assigned staff who worked on the project, statistical accomplishments associated with project, project reminders, key dates, and a chronological listing of administrative project notes. Note: All Special projects are initiated and documented in the SPTRAXX system.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Data and documents are either submitted electronically or scanned into the system.

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**

Disposition Instruction

Cutoff Instruction **Close when agency is discontinued or system is terminated.**

Retention Period **Delete/destroy when agency is discontinued or system is terminated.**

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
07/28/2016	Certify	Alexis Kroot	Public Information Manager	Management and Support - Privacy Records and Disclosure
02/08/2017	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
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