

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0275-2016-0001**  
Schedule Status                 **Approved**

Agency or Establishment        **Export-Import Bank of the United States**  
Record Group / Scheduling Group **Records of the Export-Import Bank of the United States**  
Records Schedule applies to    **Department-wide**  
Schedule Subject                 **Records of the Office of the Inspector General**  
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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>8</b>	<b>5</b>	<b>3</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0275-2016-0001

Sequence Number	
1	<b>Office of Investigation (OI) files - Investigative Case Files of Significant Value Disposition Authority Number: DAA-0275-2016-0001-0001</b>
2	<b>Routine Files of All Components of Inspector General Offices Disposition Authority Number: DAA-0275-2016-0001-0002</b>
3	<b>Audit, and Inspection and Evaluations Files Disposition Authority Number: DAA-0275-2016-0001-0003</b>
4	<b>Office of Inspector General (OIG) Approved Policy and Procedure Files Disposition Authority Number: DAA-0275-2016-0001-0004</b>
5	<b>Offices of Audit (OA) and Inspections and Evaluations (OI&amp;E) Approved Procedure s and Strategic Files Disposition Authority Number: DAA-0275-2016-0001-0005</b>
6	<b>Office of Investigations (OI) Approved Policy and Procedure Files Disposition Authority Number: DAA-0275-2016-0001-0006</b>
7	<b>Semiannual Reports to Congress and Substantive Correspondence with Congress Disposition Authority Number: DAA-0275-2016-0001-0007</b>
8	<b>Working Files of All Components of Inspector General Offices Disposition Authority Number: DAA-0275-2016-0001-0008</b>

## Records Schedule Items

Sequence Number				
1	<p><b>Office of Investigation (OI) files - Investigative Case Files of Significant Value</b></p> <p>Disposition Authority Number      <b>DAA-0275-2016-0001-0001</b></p> <p><b>An investigative case file is opened when the factual basis of a complaint or allegation is deemed sufficient to warrant a formal investigation. The Investigative Case File contains investigative reports and such related materials as investigative plans, memoranda, correspondence in any medium, interview recordings and transcripts, subpoenas and subsequent production, referrals to Audit, or the Bank Management's or appropriate U.S. Attorneys' offices and associated legal documents related to criminal, civil, or administrative outcomes. The investigations of significant value are those, that: 1) Attract substantial national media attention; 2) Result in Congressional investigation; 3) Result in substantive changes in the Bank's policies and procedures; or 4) Result in criminal conviction, civil remedies, or administrative action.</b></p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>At close of investigation</b></p> <p>Transfer to Inactive Storage          <b>7 year after cutoff</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>2007</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 2007 To 2012</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 4 Years</b></p> <table border="1" style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 50%;"></td> <td style="width: 25%; text-align: center;">Estimated Current Volume</td> <td style="width: 25%; text-align: center;">Annual Accumulation</td> </tr> </table>		Estimated Current Volume	Annual Accumulation
	Estimated Current Volume	Annual Accumulation		

Electronic/Digital	10 GB	3 GB
Paper	1 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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**Routine Files of All Components of Inspector General Offices**

Disposition Authority Number      DAA-0275-2016-0001-0002

Preliminary Files, Proactive Review Files, and Hotline Files containing information or allegations that do not result in the creation of a formal investigative case file, including anonymous or vague allegations that are deemed insufficient to warrant a formal investigation, matters referred to constituents or other agencies for handling, special projects, and reviews of fraud indicators and statistical trends in investigations. Peer review files documenting the conduct of peer reviews either of investigations units in other IG offices by Ex-Im OIG OI or the Ex-Im OIG OI by another OIG. Working Drafts and copies supporting the development of Policies and Procedures; reports evaluations, audit resolution files, and other documents without significant historic value.

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 close of investigation, completion of peer review, or submission and receipt of final report for peer review.

Retention Period                        Destroy 7 year(s) after cutoff

**Additional Information**

GAO Approval                            Not Required

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**Audit, and Inspection and Evaluations Files**

Disposition Authority Number      DAA-0275-2016-0001-0003

Files within the Office of Audit (OA) or within the Office of Inspections and Evaluations (OIE), including files produced during audits, inspections, evaluations and other reviews that assist management in identifying, analyzing and resolving program and organizational issues, such as final reports, evaluations, audits resolution files, work papers, and other documents, with significant value, including documents that: 1) Attract substantial national media attention; 2) Result in a congressional investigation; or 3) Result in substantive changes in Ex-Im's policies and procedures.

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? No

**Disposition Instruction**

Cutoff Instruction At close of audit, inspection, evaluation, and other reviews after the issuance of the final report. Close out audit resolution files upon final action.

Transfer to Inactive Storage Transfer 7 years after closout

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff or when no longer sensitive, whichever is later

**Additional Information**

First year of records accumulation 2007

What will be the date span of the initial transfer of records to the National Archives? From 2007 To 2012

How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	1 GB
Paper		
Microform		

<b>Hardcopy or Analog Special Media</b>		
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**Office of Inspector General (OIG) Approved Policy and Procedure Files**

Disposition Authority Number **DAA-0275-2016-0001-0004**

The approved OIG policies, procedures and strategic plans that define or document the policies and procedures established for planning, direction, controlling, performing, and assessing OIG functions, including strategic plans, operations manuals, OIG policy bulletins, and standard operating procedures.

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? **No**

**Disposition Instruction**

Cutoff Instruction **When superseded or obsolete**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

**Additional Information**

First year of records accumulation **2007**

What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 4 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>5 MB</b>	<b>1 MB</b>
<b>Paper</b>		
<b>Microform</b>		

Hardcopy or Analog Special Media		
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5 **Offices of Audit (OA) and Inspections and Evaluations (OI&E) Approved Procedures and Strategic Files**

Disposition Authority Number **DAA-0275-2016-0001-0005**

The approved OA and OI&E policies, procedures, and strategic plans that define or document the policies and procedures established for planning, direction, controlling, performing, and assessing OA and OI&E functions, including strategic plans, operations manuals, OA & OI&E policy bulletins, and standard operating 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 **When superseded or obsolete**

Retention Period **Destroy 7 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

6 **Office of Investigations (OI) Approved Policy and Procedure Files**

Disposition Authority Number **DAA-0275-2016-0001-0006**

The approved OI policies, procedures, and strategic plans that define or document the policies and procedures established for planning, direction, controlling, performing, and assessing OI functions, including strategic plans, operations manuals, OI policy bulletins, and standard operating procedures.

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? **No**

**Disposition Instruction**

Cutoff Instruction **When superseded or obsolete**  
 Transfer to Inactive Storage **At cutoff**  
 Transfer to the National Archives for Accessioning **Transfer to the National Archives 30 year(s) after cutoff**

**Additional Information**

First year of records accumulation **2007**  
 What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2012**  
 How frequently will your agency transfer these records to the National Archives? **Every 4 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>5 MB</b>	<b>1 MB</b>
<b>Paper</b>		
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

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**Semiannual Reports to Congress and Substantive Correspondence with Congress**

Disposition Authority Number **DAA-0275-2016-0001-0007**

**Semiannual reports to Congress by the Ex-Im Office of the Inspector General and substantive correspondence with Congress**

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? **No**

**Disposition Instruction**

Cutoff Instruction At the end of each calendar year (December 31)  
Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

**Additional Information**

First year of records accumulation 2007  
What will be the date span of the initial transfer of records to the National Archives? From 2007 To 2012  
How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

8

**Working Files of All Components of Inspector General Offices**

Disposition Authority Number DAA-0275-2016-0001-0008

Management challenges reports, strategic plans, organizational performance plans, performance reports, administrative documents, correspondence, letters, memos, meeting minutes without significant historical value.

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 formal(s) other than e-mail and word processing? No

**Disposition Instruction**

Cutoff Instruction At the end of each calendar year in which document is completed, approved, or superseded.

Retention Period	Destroy 3 year(s) after cutoff
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
09/21/2016	Certify	Andy Chang	Director Information and Records Management	Resource Management Group - OCIO
03/01/2017	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
03/02/2017	Submit For Certification	Alla Lake	IT Consultant	OCIO - OMT
03/06/2017	Certify	Andy Chang	Director Information and Records Management	Resource Management Group - OCIO
05/24/2017	Submit for Concurrence	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/31/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist