

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0286-2022-0006

Status: APPROVED
Date Approved: 08/17/2023

General Information

Agency or Establishment	United States Agency for International Development
Record/Scheduling Group	0286 - Records of the Agency for International Development
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Office of Inspector General
Schedule Subject	United States Agency for International Development, Office of Inspector General (OIG) Records
Additional Schedule Information	<p>The U.S. Agency for International Development Office of Inspector General was established by law in 1980, through an amendment to the Foreign Service Act of 1961, to safeguard and strengthen U.S. foreign assistance through timely, relevant, and impactful oversight. We conduct independent and objective audits and investigations of the agencies under our jurisdiction to detect and prevent fraud, waste, and abuse and report our findings to those agencies, Congress, and the public.</p> <p>We rely on both civil service and Foreign Service auditors, analysts, investigators, and other specialists in Washington, DC, and around the world to provide reliable and trustworthy oversight of U.S. foreign assistance.</p> <p>This schedule covers two major series of audit, investigative, and related records created or maintained, in any format, by the Office of Inspector General Washington headquarters and its field offices.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No- The records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 5

Number of Temporary disposition items: 4

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0286-2022-0006

Item #	Title	Disposition
0001	Audit Reports Files	Temporary
0002	Audit Recommendation Files	Temporary
0003	Inspectors Working Files	Temporary
0005	Investigation Case Files – Significant Investigative Case Files	Permanent
0006	Investigation Case Files – Non-Significant Investigative Case Files	Temporary

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Records Schedule Items

DAA-0286-2022-0006-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Audit Reports Files	
Item Description	The series consists of individual audit case files, which are filed by unique audit sequence numbers. The case files consist of the audit report, correspondence, memoranda, audit recommendations, and responses thereof.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-286-99-003 / 19120	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Close file after compliance with recommendations or after final adjudication by the courts.	
Retention Period	Other: After close of file, hold in office 1 year, destroy 8 years after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0286-2022-0006-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Audit Recommendation Files	
Item Description	This series is a follow up system on outstanding replies to audit reports and is used to assure appropriate implementation of recommendations. The series contains both open and closed recommendation files.	

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Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
N1-286-99-003 / 19130	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Close file upon compliance with recommendations or after final adjudication by courts.
Retention Period	Other: Destroy 8 years after close of file.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0286-2022-0006-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Inspectors Working Files
Item Description	These records include reference material used by the Inspectors in conducting investigation and inspections. The official case files are maintained by the IG.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
N1-286-86-001 / 19140	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	

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Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at calendar year in which case is closed or compliance with audit recommendations is completed.
Retention Period	Other: Destroy 5 years after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0286-2022-0006-0005		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Investigation Case Files – Significant Investigative Case Files		
Item Description	The investigative case files contain information on administrative, civil, and criminal matters for which USAID/OIG initiated an investigation. The files contain investigative reports and materials gathered or created with regard to investigations, which includes but is not limited to complaints, requests to investigate, statements from subjects, targets, and/or witnesses, affidavits, transcripts, police reports, medical records, evidence logs, correspondence, subpoenas and evidence obtained in response to subpoenas, and reports of laboratory examinations. Significant investigative case files include any cases resulting in arrest or conviction. The item also includes cases that are initiated due to Congressional inquiries and cases in which a GS-14/15 or Foreign Service Equivalent, Senior Executive Service/Foreign Service Equivalent or political appointee results in either administrative or criminal action taken, and any case identified as significant by the Assistant Inspector General for Investigations (AIG/I) or OIG Front Office.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?	No		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-286-09-003 / 2/a	No		
Is this item a deviation from the GRS?	No		

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DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off in calendar year in which case is closed.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 20 year(s) after cutoff
ADDITIONAL INFORMATION	
Current Records Format	Paper-based textual records:5 cf ; Textual data:400 MB
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2007 To: --/--/2007
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	Yes
FOIA Exemption(s)	FOIA (b)(7) Law Enforcement, FOIA (b)(6) Personal Information

DAA-0286-2022-0006-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Investigation Case Files – Non-Significant Investigative Case Files
Item Description	The investigative case files contain information on administrative, civil, and criminal matters for which USAID/OIG initiated an investigation. The files contain investigative reports and materials gathered or created with regard to investigations, which includes but is not limited to complaints, requests to investigate, statements from subjects, targets, and/or witnesses, affidavits, transcripts, police reports, medical records, evidence logs, correspondence, subpoenas and evidence obtained in response to subpoenas, and reports of laboratory examinations. All other case files that do not meet the criteria for significant investigative case files.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?

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N1-286-09-003 / 2/b	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off in calendar year in which case is closed.
Retention Period	Destroy 10 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	08/17/2023