

## Request for Records Disposition Authority

Records Schedule Number           **DAA-0597-2019-0002**

Schedule Status                       **Approved**

  

Agency or Establishment           **Council of the Inspectors General on Integrity and Efficiency**

Record Group / Scheduling Group   **Records of the Council of the Inspectors General on Integrity and Efficiency**

Records Schedule applies to       **Major Subdivision**

Major Subdivision                   **Integrity Committee**

Schedule Subject                   **Integrity Committee Records**

Internal agency concurrences will be provided   **No**

**Background Information**           **The Council of Inspectors General on Integrity and Efficiency (CIGIE) was statutorily established, as an independent entity, within the United States executive branch by the Inspector General Reform Act of 2008 to address integrity, economy, and effectiveness issues that transcend individual Government agencies; and increase the professionalism and effectiveness of personnel by developing policies, technical standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the offices of the Inspectors General.**

**While CIGIE was created by the IG Act of 1978, as amended in 2008, under section 11, (Integrity Committee is section 11(d)) the records extend back to the original formation of the committee by executive order 12805, dated May 11, 1992. These records, although not created under CIGIE, are functionally the same as the current records being created, therefore it is our position that they should be considered together under a single CIGIE Integrity Committee Records Schedule.**

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>13</b>	<b>7</b>	<b>6</b>	<b>0</b>

**GAO Approval**

## Outline of Records Schedule Items for DAA-0597-2019-0002

Sequence Number	
1	<b>Committee Meeting Files</b>
1.1	Documents Associated With Case Files Of Significant Value. Disposition Authority Number: DAA-0597-2019-0002-0001
1.2	Documents Not Associated With Case Files Of Significant Value. Disposition Authority Number: DAA-0597-2019-0002-0002
2	<b>Committee Policy and Guidance Documents</b>
2.1	Significant Guidance Disposition Authority Number: DAA-0597-2019-0002-0003
2.2	Other Guidance. Disposition Authority Number: DAA-0597-2019-0002-0004
3	<b>Case Files and Related Records</b>
3.1	Investigative Case Files - Significant Value Disposition Authority Number: DAA-0597-2019-0002-0005
3.2	Investigative Case Files - Routine Disposition Authority Number: DAA-0597-2019-0002-0006
3.3	Investigative Case Files - Final Reports Disposition Authority Number: DAA-0597-2019-0002-0007
3.4	Committee Recommendations Disposition Authority Number: DAA-0597-2019-0002-0008
3.5	Case Files Not Related To A Specific Committee Investigation. Disposition Authority Number: DAA-0597-2019-0002-0009
3.6	Case File Tracking System Disposition Authority Number: DAA-0597-2019-0002-0010
4	<b>Non-Investigative Statutorily Required Reports</b>
4.1	Non-Investigative Statutorily Required Reports Disposition Authority Number: DAA-0597-2019-0002-0011
5	<b>Committee Correspondence</b>
5.1	Significant External Correspondence Disposition Authority Number: DAA-0597-2019-0002-0012
5.2	General Correspondence Disposition Authority Number: DAA-0597-2019-0002-0013

## Records Schedule Items

Sequence Number

1

### Committee Meeting Files

Consists of records including, but not limited to, minutes, transcripts, briefing materials, and other records documenting actions of the Committee.

1.1

### Documents Associated With Case Files Of Significant Value.

Disposition Authority Number **DAA-0597-2019-0002-0001**

Significant value records are those associated with cases that (1) attract national media attention (2) result in Congressional investigation (3) result in substantive change to Federal Government 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 **Cutoff at the end of each fiscal year in which the associated case file is closed.**

Transfer to Inactive Storage **Transfer to NARA 15 years after cutoff.**

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

### Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1992 To 2003**

How frequently will your agency transfer these records to the National Archives? **Every 15 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>1 GB</b>	<b>100 MB</b>
<b>Paper</b>	<b>1. Cubic feet</b>	

Microform		
Hardcopy or Analog Special Media		

1.2

**Documents Not Associated With Case Files Of Significant Value.**

Disposition Authority Number **DAA-0597-2019-0002-0002**

Consists of records including, but not limited to minutes, transcripts, briefing materials, and other records documenting substantive actions of the Committee. These records do not meet the threshold of significant value records defined in Item 1.

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 each fiscal year in which the record is created.**

Retention Period **Destroy 5 years after cut off or when no longer needed, whichever is later, but no longer than 10 years after cut off.**

**Additional Information**

GAO Approval **Not Required**

2

**Committee Policy and Guidance Documents**

Consists of published guidance documents that memorialize the Committee's policy decisions and program operational procedures providing the mandates for program direction and action. Records include official policy decisions, memoranda that set policy or issue guidance, operating guidance, procedures manuals, directives, mandates for actions, and other similar procedural materials.

2.1

**Significant Guidance**

Disposition Authority Number **DAA-0597-2019-0002-0003**

Consists of significant published guidance documents formally approved by the Committee membership and signed by the Committee Chairperson (e.g., the

additional policies and procedures described in section 11(d)(7)(B) of the Inspector General Act of 1978, as amended, 5 U.S.C. app.) and any directly related or corresponding significant published interim guidance. Records memorialize the Committee's significant policy decisions and program operational procedures providing the mandates for program direction and action. Records include significant official policy decisions, memoranda that set policy or issue guidance, operating guidance, procedures manuals, directives, mandates for actions, and other similar procedural materials.

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 **Cut off at the end of the fiscal year in which guidance document is signed.**

Transfer to Inactive Storage **Transfer to NARA 15 years after cutoff.**

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

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1992 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 15 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>50MB</b>	<b>5 MB</b>
<b>Paper</b>	<b>1 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

2.2

**Other Guidance.**

Disposition Authority Number      **DAA-0597-2019-0002-0004**

**Consists of published guidance documents that are other than significant, including detailed procedures developed and issued by individual units and staff members supporting the Committee to perform their delegated responsibilities and functions.**

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                      **Cut off at the end of the fiscal year in which guidance is superseded or rescinded.**

Retention Period                      **Destroy 5 year(s) after cutoff**

**Additional Information**

GAO Approval                          **Not Required**

3

**Case Files and Related Records**

**Consists of complaint and investigative records received and created by the Committee. The Committee is responsible for receiving, reviewing, and referring for investigation allegations of wrongdoing that are made against Inspectors General and senior staff members of the various Offices of Inspector General, as well as those made against the Special Counsel and Deputy Special Counsel of the Office of Special Counsel. Files may consist of complaints, investigative reports, Committee recommendations, and related documents, such as correspondence, notes, attachments, and working papers.**

3.1

**Investigative Case Files - Significant Value**

Disposition Authority Number      **DAA-0597-2019-0002-0005**

**Records of significant value prepared or received in connection with a specific matter referred for investigation by the Committee to the Committee Chairperson other than the final report and Committee recommendations. Significant value records are those associated with cases that (1) attract national media attention (2) result in a Congressional investigation or (3) result in substantive change to Federal Government 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

**Cut off at the end of the fiscal year in which the case file is closed.**

Transfer to the National Archives for Accessioning

**Transfer to the National Archives 15 year(s) after cut off**

**Additional Information**

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

**From 1992 To 2008**

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

**Every 15 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>10 GB</b>	<b>1 GB</b>
<b>Paper</b>	<b>40 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

3.2

**Investigative Case Files - Routine**

Disposition Authority Number

**DAA-0597-2019-0002-0006**

**Records that do not meet the threshold of significant value prepared or received in connection with a specific matter referred for investigation by the Committee to the Committee Chairperson other than the final report and Committee recommendations.**

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**

3.3

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

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the fiscal year in which the case file is closed.**

Retention Period **Destroy 10 year(s) after cut off**

**Additional Information**

GAO Approval **Not Required**

**Investigative Case Files - Final Reports**

Disposition Authority Number **DAA-0597-2019-0002-0007**

**Final reports prepared in connection with all matters referred for investigation by the Committee to the Committee Chairperson regardless of the significance of the associated case.**

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

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

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1992 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 15 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>100 MB</b>	<b>10 MB</b>
<b>Paper</b>	<b>1 Cubic feet</b>	

Microform		
Hardcopy or Analog Special Media		

3.4

**Committee Recommendations**

Disposition Authority Number **DAA-0597-2019-0002-0008**

**Recommendations made by the Committee to the Committee Chairperson prepared in connection with a matter referred for investigation.**

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 **Cut off files at the end of the fiscal year in which the case file is closed.**

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

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1992 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 15 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	100 MB	10 MB
Paper	1 Cubic feet	
Microform		

<b>Hardcopy or Analog Special Media</b>		
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3.5

**Case Files Not Related To A Specific Committee Investigation.**

Disposition Authority Number **DAA-0597-2019-0002-0009**

**Consists of complaints and other correspondence sent to the Committee regarding alleged wrongdoing, as well as responses and other related documents prepared by the Committee, but which do not relate to a specific matter referred to the Committee Chairperson for investigation by the Committee.**

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 each case file is closed.**

Retention Period **Destroy 5 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

3.6

**Case File Tracking System**

Disposition Authority Number **DAA-0597-2019-0002-0010**

**A database that is currently in Excel spreadsheet format that is used for internal tracking of case files and is updated daily.**

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 each fiscal year.**

4 Retention Period Destroy 5 years after cut off or when no longer needed, whichever is later, but no longer than 10 years after cut off.

Additional Information

GAO Approval Not Required

4 Non-Investigative Statutorily Required Reports  
Statutorily required reports other than those prepared in connection with a specific Committee investigation (e.g., the Annual Report submitted pursuant to section 11(d)(9) of the Inspector General Act of 1978, as amended, 5 U.S.C. app.).

4.1 Non-Investigative Statutorily Required Reports

Disposition Authority Number DAA-0597-2019-0002-0011

Statutorily required reports other than those prepared in connection with a specific Committee investigation (e.g. the Annual Report submitted pursuant to section 11(d)(9) of the Inspector General Act of 1978, as amended, 5 U.S.C. app.)

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 Cut off at the end of the fiscal year in which the report is finalized.

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

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1992 To 2008

How frequently will your agency transfer these records to the National Archives? Every 15 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	100 MB	10 MB
Paper	1 Cubic feet	

Microform		
Hardcopy or Analog Special Media		

5

**Committee Correspondence**

5.1

**Significant External Correspondence**

Disposition Authority Number **DAA-0597-2019-0002-0012**

**Controlled signed correspondence with parties external to the Committee that documents major program activities or was processed under special handling control procedures because of its importance or turnaround time requirements. Correspondence that meets such criteria includes incoming correspondence, signed responses, enclosures, and related indicies. Records do not include case file correspondence.**

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 **Cutoff at the end of each fiscal year in which the correspondence is finalized.**

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

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1992 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 15 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>10 GB</b>	<b>1 GB</b>

Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

5.2

**General Correspondence**

Disposition Authority Number **DAA-0597-2019-0002-0013**

Records include correspondence other than significant external committee correspondence, including but not limited to routine incoming and outgoing, internal and external, correspondence and memoranda with enclosures relating to activities of the Committee. Records do not include case file correspondence. Records consist of non-case file internal correspondence amongst Committee members.

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 each fiscal year in which the correspondence is finalized.**

Retention Period **Destroy 5 year(s) after cutoff or when no longer needed occurs, whichever is sooner**

**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
04/02/2019	Certify	Kyle Hanley	Program Director	Council of the Inspectors General on Integrity and Efficiency Integrity Committee
08/01/2019	Submit for Concurrency	Nathan Miller	Senior Records Analyst	National Archives and Records Administration - National Archives and Records Administration
09/23/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/23/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/25/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist