

Request for Records Disposition Authority

Records Schedule Number DAA-0600-2017-0001
Schedule Status Approved
Agency or Establishment National Indian Gaming Commission
Record Group / Scheduling Group Records of the National Indian Gaming Commission
Records Schedule applies to Major Subdivision
Major Subdivision Office of Commission
Schedule Subject Documents maintained by the Chair, Commissioners, Chief of Staff
Internal agency concurrences will be provided No

Background Information

The National Indian Gaming Commission (NIGC) was created in 1988 with the passage of the Indian Gaming Regulatory Act (IGRA), which was enacted to support and promote tribal economic development, self-sufficiency, and strong tribal governments through the operation of gaming on Indian lands. The Act provides a statutory basis for the federal regulation of Indian gaming. IGRA establishes the Commission to regulate and support tribal gaming as a means of generating revenue for tribal communities. See 25 U.S.C. § 2704.

The NIGC is committed to fulfilling its responsibilities by:

- regulating and monitoring certain aspects of Indian gaming;
- coordinating its regulatory responsibilities with tribal regulatory agencies
- providing training and technical assistance to tribal regulatory agencies;
- reviewing and approving tribal gaming ordinances and management agreements;
- reviewing the backgrounds of individuals and entities to ensure the suitability of those seeking to manage or invest in Indian gaming;
- overseeing and reviewing the conduct and regulation of Indian gaming operations;
- enforcing violations against the IGRA and its regulations; and
- referring law enforcement matters to appropriate tribal, Federal, and state entities.

The NIGC is comprised of a Chair, appointed by the President and confirmed by the Senate, and two additional commissioners appointed by the Secretary of the Interior. The NIGC's organizational structure is composed of two main branches, the Office of General

Counsel which handles legal affairs, and the Office of the Chief of Staff, which manages day-to-day activities and includes the Division of Compliance, Division of Finance, Division of Public Affairs, and the Division of Technology.

NIGC conducts tribal training that focuses on compliance with IGRA, NIGC regulations and gaming industry best practices. In addition, the Training Program monitors the training of NIGC employees.

This schedule largely inherits from earlier schedule N1-0220-1997-6 items 1 - 8 ("Office of the Chair").

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
17	7	10	0

GAO Approval

Outline of Records Schedule Items for DAA-0600-2017-0001

Sequence Number	
1	Correspondence
1.1	Official Correspondence Disposition Authority Number: DAA-0600-2017-0001-0001
1.2	Routine Correspondence Disposition Authority Number: DAA-0600-2017-0001-0002
2	Commission Meeting / Decision Files Disposition Authority Number: DAA-0600-2017-0001-0003
3	Organizational Structure and Strategic Planning Files
3.1	Organizational Structure and Strategic Planning Reports, Memoranda, and Implementation Plans Disposition Authority Number: DAA-0600-2017-0001-0004
3.2	Organizational Structure and Strategic Planning Reports, Memoranda, and Implementation Plans Working Files Disposition Authority Number: DAA-0600-2017-0001-0005
4	Internal Policies and Procedures Files
4.1	Final Internal Policies, Procedures Disposition Authority Number: DAA-0600-2017-0001-0006
4.2	Internal Policies and Procedures Working Files Disposition Authority Number: DAA-0600-2017-0001-0007
5	Internal Audits
5.1	Final Audit Reports and Follow ups Disposition Authority Number: DAA-0600-2017-0001-0008
5.2	Internal Audit Working Files Disposition Authority Number: DAA-0600-2017-0001-0009
6	NIGC Determinations for Self Regulation
6.1	Tribal Self Regulation Final Decision of Approval Disposition Authority Number: DAA-0600-2017-0001-0010
6.2	Tribal Self Regulation Application and NIGC Review Working Files Disposition Authority Number: DAA-0600-2017-0001-0011
6.3	Self Regulation Annual Submissions Disposition Authority Number: DAA-0600-2017-0001-0012
7	Daily Schedule of Activities of Chair/Commission/ Chief of Staff Disposition Authority Number: DAA-0600-2017-0001-0013
8	NIGC Advisory Committees
8.1	Advisory Committees Final Report

8.2

Disposition Authority Number: DAA-0600-2017-0001-0014

Advisory Committees Working Files

Disposition Authority Number: DAA-0600-2017-0001-0015

9

Agency Agreements

Disposition Authority Number: DAA-0600-2017-0001-0016

10

Consultation Files

Disposition Authority Number: DAA-0600-2017-0001-0017

Records Schedule Items

Sequence Number	
1	<p>Correspondence Outgoing correspondence sent under the signature of the Chairperson, Commissioners, or Chief of Staff. Files include any accompanying incoming correspondence, background information, notes, research, sign-offs, and other materials used in the preparation of the outgoing correspondence. Excludes any correspondence otherwise captured under any other active NIGC records schedule, such as DAA-0600-2017-0003-0009.</p>
1.1	<p>Official Correspondence Disposition Authority Number DAA-0600-2017-0001-0001</p> <p>Correspondence received by the Chairperson, Commissioners, and Chief of Staff, responses signed by these officials, and corresponding enclosures or attachments pertaining to the NIGC promulgation of policy and procedures. Also includes external invitations, and responses from the Chairperson and Commissioners, for speaking events.</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>GRS or Superseded Authority Citation N1-220-97-6/ 1a N1-220-97-6/ 8b</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of calendar year.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 1993</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2002</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	100 MB
Paper	24 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

1.2

Routine Correspondence

Disposition Authority Number **DAA-0600-2017-0001-0002**

Correspondence that does not document the promulgation of policies and decisions of the NIGC but documents administrative or operational matters and includes records that document the preparation of official and routine correspondence such as drafts, notes, and background information. Also includes declined invitations, from the Chairperson and Commissioners, to speaking events.

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**

GRS or Superseded Authority Citation **N1-220-97-6 /1b
N1-220-97-6/ 1c
N1-220-97-6/ 8a**

Disposition Instruction

Cutoff Instruction **Cut off at end of calendar year.**

Retention Period **Destroy 7 year(s) after cut off**

Additional Information

GAO Approval **Not Required**

Commission Meeting / Decision Files

Disposition Authority Number **DAA-0600-2017-0001-0003**

2

Any memoranda, notes, transcripts, agendas, notation documents relating to Commissioners meetings in which policies, procedures, or decisions are discussed among Commissioners.

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
 GRS or Superseded Authority Citation N1-220-97-6 / 6b

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year.
 Transfer to the National Archives for Accessioning Transfer to the National Archives 7 year(s) after cutoff

Additional Information

First year of records accumulation 1993
 What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2010
 How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	500 MB	100 MB
Paper	5 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

3

Organizational Structure and Strategic Planning Files
 Documents relating to changes in NIGC's organizational structure, functions, or assignments. Materials to include any relevant reports, memoranda,

3.1

policy statements, organizational charts, personnel assignments, directives, implementation procedures and talking points.

Organizational Structure and Strategic Planning Reports, Memoranda, and Implementation Plans

Disposition Authority Number DAA-0600-2017-0001-0004

Final versions of reports, memoranda, and organizational charts that articulate and support changes to the agency organizational structure and any implementation plans for implementing these changes.

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

GRS or Superseded Authority Citation N1-220-97-6/ 20a

Disposition Instruction

Cutoff Instruction Cutoff files at end of calendar year of issuance.

Transfer to the National Archives for Accessioning Transfer to the National Archives 7 year(s) after cut off

Additional Information

First year of records accumulation 1993

What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2010

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	300 MB	50 MB
Paper	5 Cubic feet	.5 Cubic feet
Microform		

Hardcopy or Analog Special Media		
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3.2

Organizational Structure and Strategic Planning Reports, Memoranda, and Implementation Plans Working Files

Disposition Authority Number DAA-0600-2017-0001-0005

Working Files generated and received in the process of formulating and implementing changes in NIGC's organizational structure, functions, or assignments.

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

GRS or Superseded Authority Citation N1-220-97-6/ 20b

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year of issuance.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

4

Internal Policies and Procedures Files

Documents, typically issued by the Chair, Commissioners, or Chief of Staff that codify internal NIGC policies, procedures, or organizational rules and guidelines including such documents as directives, manuals, and handbooks.

4.1

Final Internal Policies, Procedures

Disposition Authority Number DAA-0600-2017-0001-0006

To include any manuals, guidelines, directives which articulate internal 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?

GRS or Superseded Authority Citation N1-220-97-6 / 21a

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year of issuance.

Transfer to the National Archives for Accessioning Transfer to the National Archives 7 year(s) after cutoff

Additional Information

First year of records accumulation 1993

What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2010

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	300 MB	20 MB
Paper	5 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

4.2

Internal Policies and Procedures Working Files

Disposition Authority Number DAA-0600-2017-0001-0007

Files accumulated in the process of formulating agency policies and procedures to include drafts, notes, interim and progress reports, and related 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? No

	GRS or Superseded Authority Citation	N1-220-97-6/ 21b
	Disposition Instruction	
	Cutoff Instruction	Cutoff at end of calendar year of issuance.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
5	Internal Audits	
	Documents relating to internal audits that are conducted to assess the performance of the agency or one of its organizational units.	
5.1	Final Audit Reports and Follow ups	
	Disposition Authority Number	DAA-0600-2017-0001-0008
	Final Report that Auditor issues at the end of assigned review which details findings of the audit and highlights areas needing improvement. Follow-ups take place within one year of Final Report and examines whether, and to what extent, audited entity has taken corrective steps in response to the Final Report.	
	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
	GRS or Superseded Authority Citation	N1-0220-97-6 / 3
	Disposition Instruction	
	Cutoff Instruction	Cutoff files at end of calendar year in which report and/or follow up report was issued.
	Retention Period	Destroy no sooner than 7 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
5.2	Internal Audit Working Files	
	Disposition Authority Number	DAA-0600-2017-0001-0009

Working files created in the course of performing internal audits to include drafts, notes and related 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? No

GRS or Superseded Authority Citation N1-0220-97-6 / 3

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year in which report and/or follow-up report was issued.

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

6 NIGC Determinations for Self Regulation
Documents relating to NIGC review of Tribal applications for self regulation and annual submissions required for approved self-regulating Tribes.

6.1 Tribal Self Regulation Final Decision of Approval

Disposition Authority Number DAA-0600-2017-0001-0010

Documents that reflects NIGC approval of a Tribal application for self regulation.

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 end of calendar year in which decision is made.

Transfer to the National Archives for Accessioning Transfer to the National Archives 7 year(s) after cutoff

Additional Information

First year of records accumulation **1993**
 What will be the date span of the initial transfer of records to the National Archives? **From 1993 To 2010**
 How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

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

6.2

Tribal Self Regulation Application and NIGC Review Working Files

Disposition Authority Number **DAA-0600-2017-0001-0011**

Tribal applications for self-regulation made under NIGC regulations §518.4, related correspondence with the tribe and documents generated by the NIGC's review of the application.

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 end of calendar year.**

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

Additional Information

GAO Approval **Not Required**

6.3

Self Regulation Annual Submissions

Disposition Authority Number **DAA-0600-2017-0001-0012**

Documents that self-regulating tribes are required to submit annually in order to maintain their self-regulatory status. These documents are detailed under §518.10

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 end of calendar year.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

Daily Schedule of Activities of Chair/Commission/ Chief of Staff

Disposition Authority Number DAA-0600-2017-0001-0013

Calendars, diaries, appointment books, briefings, and other logs documenting daily activities

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 end of calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives 7 year(s) after cut off

Additional Information

First year of records accumulation 1993

What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2010

7

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	200 MB	50 MB
Paper	5 Cubic feet	.5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

8 **NIGC Advisory Committees**
Documents generated by special (ad hoc) advisory committees that are created from time to time by the NIGC Chairperson or Commission. Generally, these committees are tasked with reviewing issues or proposed policy changes and formulating recommendations to be presented to the Chairperson.

8.1 **Advisory Committees Final Report**
Disposition Authority Number **DAA-0600-2017-0001-0014**
Final report issued by the advisory committees that contains a recommendations and/or conclusions to be considered by the Chairperson in NIGC formulating policy.

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 end of calendar year of issuance of final report.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 7 year(s) after cut off**

Additional Information

First year of records accumulation 1993
 What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2010
 How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	200 MB	10
Paper	10 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

8.2

Advisory Committees Working Files

Disposition Authority Number DAA-0600-2017-0001-0015

Documents generated by advisory committees to include member nominations, scheduling, agendas, notes, and draft 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 Cut off at end of calendar year of issuance of final report.

Retention Period Destroy 7 year(s) after cut off

Additional Information

GAO Approval Not Required

Agency Agreements

Disposition Authority Number DAA-0600-2017-0001-0016

9

Inter-agency agreements or Memorandums of Understanding between the National Indian Gaming Commission and other entities in which, generally, said entities are to provide services of an administrative nature to the NIGC.

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 calendar year in which agreement is terminated or superseded.

Retention Period Destroy 7 year(s) after cut off

Additional Information

GAO Approval Not Required

Consultation Files

Disposition Authority Number DAA-0600-2017-0001-0017

Files related to NIGC organized events for the purpose of consulting with Tribes in general or about NIGC proposed policy/procedural changes and/or upcoming decisions. Includes such documents as invitation letters, schedules, agendas, sign-in sheets, presentations, transcripts, and public comments.

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 end of calendar year.

Retention Period Destroy 7 year(s) after cut off

Additional Information

GAO Approval Not Required

10

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
03/28/2017	Certify	Tim Osumi	Records Manager	Technology Division - Records Management Program
07/26/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/09/2017	Submit For Certification	Tim Osumi	Records Manager	Technology Division - Records Management Program
08/18/2017	Certify	Tim Osumi	Records Manager	Technology Division - Records Management Program
10/04/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
10/04/2017	Submit For Certification	Tim Osumi	Records Manager	Technology Division - Records Management Program
10/04/2017	Certify	Tim Osumi	Records Manager	Technology Division - Records Management Program
06/26/2018	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
06/26/2018	Concur	Kate Flaherty	Appraiser	National Archives and Records Administration - ACRA
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program

				- ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist