

Request for Records Disposition Authority

Records Schedule Number DAA-0600-2017-0003
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 Division of Compliance
Minor Subdivision Regional Compliance
Schedule Subject Records maintained by HQ and Regional Compliance offices.
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.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0600-2017-0003

Sequence Number	
1	Tribal Gaming Complaints Disposition Authority Number: DAA-0600-2017-0003-0001
2	Tribal Facility Notifications Disposition Authority Number: DAA-0600-2017-0003-0002
3	Tribal Gaming Compliance Investigations Disposition Authority Number: DAA-0600-2017-0003-0003
4	Monthly NIGC Regional Compliance Reports Disposition Authority Number: DAA-0600-2017-0003-0004
5	Tribal Notices of Results (NORs) Disposition Authority Number: DAA-0600-2017-0003-0005
6	Tribal Notices of Issuance of a License (IOL) Disposition Authority Number: DAA-0600-2017-0003-0006
7	NIGC Letters of Concern (LOCs) Disposition Authority Number: DAA-0600-2017-0003-0007
8	NIGC Site Visit Letters Disposition Authority Number: DAA-0600-2017-0003-0008
9	NIGC Regional Office Official Correspondence Disposition Authority Number: DAA-0600-2017-0003-0009
10	Updates of Regional Issues Memoranda Disposition Authority Number: DAA-0600-2017-0003-0010

Records Schedule Items

Sequence Number	
1	<p>Tribal Gaming Complaints</p> <p>Disposition Authority Number DAA-0600-2017-0003-0001</p> <p>Complaints relating to Tribal gaming that are transmitted to NIGC. To include any follow-up response.</p> <p>Final Disposition Temporary</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 / 36</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at end of calendar year</p> <p>Retention Period Destroy 3 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Tribal Facility Notifications</p> <p>Disposition Authority Number DAA-0600-2017-0003-0002</p> <p>NIGC receives facility notifications from tribal gaming authorities. These notifications include openings and closing alerts and "Environmental, Public Health, and Safety" (EPHS) certifications/attestations.</p> <p>Final Disposition Temporary</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 when superseded by newer version</p>

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Retention Period Destroy no sooner than 1 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

Tribal Gaming Compliance Investigations

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

Investigations undertaken by Compliance division relating to possible violations of IGRA and/or NIGC regulations at tribal gaming operations.

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/ 38
N1-220-97-6/ 48a
N1-220-97-6/ 48b
N1-220-97-6/ 48c

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year in which investigation closed by Compliance Division Director.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Monthly NIGC Regional Compliance Reports

Disposition Authority Number DAA-0600-2017-0003-0004

Status reports from regional compliance directors to the Director of Compliance at HQ.

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

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GRS or Superseded Authority Citation N1-220-97-6 / 41

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Tribal Notices of Results (NORs)

Disposition Authority Number DAA-0600-2017-0003-0005

As required by §556.6, notices received by NIGC from tribal operations informing the NIGC of the results of their background investigations of tribal gaming employment applicants.

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 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Tribal Notices of Issuance of a License (IOL)

Disposition Authority Number DAA-0600-2017-0003-0006

As required by 558.3, notices received by NIGC from tribal operations informing the NIGC of licenses that are issued to employment applicants. To include related responses indicating objection, no objection, or additional information being requested.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in

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

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year.
Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

NIGC Letters of Concern (LOCs)

Disposition Authority Number DAA-0600-2017-0003-0007

Letters from Director of Compliance, or delegated representative, to a tribe expressing concern about information that indicates potential violation of IGRA. To include any work files and responses.

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

NIGC Site Visit Letters

Disposition Authority Number DAA-0600-2017-0003-0008

Letters addressed to Tribes following a site visit to facility. The letter summarizes the site visit findings.

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

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Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year.
Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

NIGC Regional Office Official Correspondence

Disposition Authority Number DAA-0600-2017-0003-0009

Incoming and outgoing correspondence between regions and Tribes/general public that relate to IGRA and/or administrative matters. To exclude any correspondence already covered by DAA-0600-2017-0001, items 0001 and 0002.

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

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Updates of Regional Issues Memoranda

Disposition Authority Number DAA-0600-2017-0003-0010

Memos concerning issues identified by a Region Director or senior leadership that warrant continuous monitoring and regular updates that are directed to Director of Compliance and passed along to senior leadership.

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 3 year(s) after cut off

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
03/28/2017	Certify	Tim Osumi	Records Manager	Technology Division - Records Management Program
06/21/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/22/2017	Submit For Certification	Tim Osumi	Records Manager	Technology Division - Records Management Program
08/22/2017	Certify	Tim Osumi	Records Manager	Technology Division - Records Management Program
12/12/2017	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
12/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/21/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist