

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0064-2016-0006

Status: APPROVED
Date Approved: 02/14/2017

General Information

Agency or Establishment	National Archives and Records Administration
Record/Scheduling Group	0064 - Records of the National Archives and Records Administration
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Office of the Inspector General (OIG)
Minor Subdivision	Office of Investigations
Schedule Subject	Records of the Office of Investigations
Additional Schedule Information	Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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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: 1

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Outline of Records Schedule Items for DAA-0064-2016-0006

Item #	Title	Disposition
0001	Investigation Case Files : Historically Significant Investigative Case Files	Permanent
0002	Investigation Case Files : All other closed numbered Investigative Case Files (-I)	Temporary
0003	Investigation Case Files : Closed complaint, referral, preliminary and other numbered files.	Temporary
0004	Investigation Case Files : Investigation training records, Policy and Business Records or memorandums : Investigation Training records	Temporary
0005	Investigation Case Files : Investigation training records, Policy and Business Records or memorandums : Policies, Office Memorandums, Directives and Business records	Temporary

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Records Schedule Items

Group Title	Investigation Case Files
Group Description	NARA OIG information is developed during reported fraud and abuse, and irregularities and violations of laws and regulations. Numbered Investigative Case files (-I) are derived upon a determination of that information and will be related to programs and operations administered or financed by the agency, and to agency personnel, contractors, and other persons having a relationship with the agency. Investigative files may consist of memorandums of interview or other activity, reports of investigation, and related documents, such as correspondence, notes, attachments and working papers. This schedule covers all investigative files, complaint, referral, preliminary and other numbered files in any formats. This includes information from The Archives Investigative Management System (AIMS) and Case Management and Tracking System (CMTS). AIMS covers all current and present information, and numbered investigations as well as important legacy data from the CMTS.
DAA-0064-2016-0006-0001	1.1
STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Historically Significant Investigative Case Files

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Item Description	All Significant numbered Investigative Case Files (-I) (i.e. memorandums of interview or other activity, reports of investigation, and related documents, correspondence, notes, attachments and working papers. Significant numbered Investigative Case Files (1) having a serious finding or resulting in criminal prosecution against senior NARA officials (GS-15 or higher), (2) attracting national media or Congressional attention, or (3) resulting in substantive changes in NARA policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria. Historically significant case files include: cases attracting news media attention or Congressional inquiries, precedent-setting, or had a direct impact on agency policies.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Other: Cutoff closed case files at end of the fiscal year in which the case is closed.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 5 year blocks 15 year(s) after cutoff.
ADDITIONAL INFORMATION	
Date span of the initial transfer	From: --/--/2011 To: --/--/2016
Frequency of transfer	5
Are any of the records covered by this item subject to a FOIA exemption?	
DAA-0064-2016-0006-0002 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	All other closed numbered Investigative Case Files (-I)
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-064-07-001 / 2/a	No
N1-064-07-001 / 2/b	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff closed case files at end of the fiscal year in which the 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?	
GAO Approval Required	No
DAA-0064-2016-0006-0003 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Closed complaint, referral, preliminary and other numbered files.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-064-07-001 / 1	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff closed case files at end of the fiscal year in which the case is closed.
Retention Period	Destroy 10 year(s) after cutoff.
ADDITIONAL INFORMATION	

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Investigation Case Files : Investigation training records, Policy and Business Records or memorandums	
DAA-0064-2016-0006-0004	STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION		
Item Title	Investigation Training records	
Item Description	Records maintained as a result of firearms training, periodic certifications or other law enforcement training.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0064-2024-0003-0004 on 11/18/2025.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff files at the end of the fiscal year.	
Retention Period	Destroy 5 year(s) after date of training or when no longer needed for operational purposes whichever is later.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-0064-2016-0006-0005	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Policies, Office Memorandums, Directives and Business records	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff files at the end of the fiscal year.
Retention Period	Other: Destroy when superseded, cancelled or discontinued.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	02/14/2017