

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0275-2016-0001

Status: INACTIVE  
Date Approved: 05/31/2017

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## General Information

Agency or Establishment	Export-Import Bank of the United States
Record/Scheduling Group	0275 - Records of the Export-Import Bank of the United States
Records Schedule Applies To	Agency-wide
Schedule Subject	Records of the Office of the Inspector General
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: 8

Number of Temporary disposition items: 3

Number of Permanent disposition items: 5

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 8

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Outline of Records Schedule Items for DAA-0275-2016-0001

Item #	Title	Disposition
0001	Office of Investigation (OI) files - Investigative Case Files of Significant Value	Permanent
0002	Routine Files of All Components of Inspector General Offices	Temporary
0003	Audit, and Inspection and Evaluations Files	Permanent
0004	Office of Inspector General (OIG) Approved Policy and Procedure Files	Permanent
0005	Offices of Audit (OA) and Inspections and Evaluations (OI&E) Approved Procedures and Strategic Files	Temporary
0006	Office of Investigations (OI) Approved Policy and Procedure Files	Permanent
0007	Semiannual Reports to Congress and Substantive Correspondence with Congress	Permanent
0008	Working Files of All Components of Inspector General Offices	Temporary

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Records Schedule Items

DAA-0275-2016-0001-0001		<b>STATUS: INACTIVE - NOT FOR USE</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Office of Investigation (OI) files - Investigative Case Files of Significant Value	
Item Description	An investigative case file is opened when the factual basis of a complaint or allegation is deemed sufficient to warrant a formal investigation. The Investigative Case File contains investigative reports and such related materials as investigative plans, memoranda, correspondence in any medium, interview recordings and transcripts, subpoenas and subsequent production, referrals to Audit, or the Bank Management's or appropriate U.S. Attorneys' offices and associated legal documents related to criminal, civil, or administrative outcomes. The investigations of significant value are those, that: 1) Attract substantial national media attention; 2) Result in Congressional investigation; 3) Result in substantive changes in the Bank's policies and procedures; or 4) Result in criminal conviction, civil remedies, or administrative action.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0275-2024-0001-0001 on 06/12/2025.</b>		
Final Disposition	Permanent	
Cutoff Instructions	Other: At close of investigation	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Current Records Format	Base Migration: Base Migration	
Approximate first year of records covered by this authority	2007	

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End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2007 To: --/--/2012
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0275-2016-0001-0002		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Routine Files of All Components of Inspector General Offices	
Item Description	Preliminary Files, Proactive Review Files, and Hotline Files containing information or allegations that do not result in the creation of a formal investigative case file, including anonymous or vague allegations that are deemed insufficient to warrant a formal investigation, matters referred to constituents or other agencies for handling, special projects, and reviews of fraud indicators and statistical trends in investigations. Peer review files documenting the conduct of peer reviews either of investigations units in other IG offices by Ex-Im OIG OI or the Ex-Im OIG OI by another OIG. Working Drafts and copies supporting the development of Policies and Procedures; reports evaluations, audit resolution files, and other documents without significant historic value.	
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-0275-2024-0001-0005 on 06/12/2025.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at close of investigation, completion of peer review, or submission and receipt of final report for peer review.	
Retention Period	Destroy 7 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

DAA-0275-2016-0001-0003		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Audit, and Inspection and Evaluations Files	
Item Description	Files within the Office of Audit (OA) or within the Office of Inspections and Evaluations (OIE), including files produced during audits, inspections, evaluations and other reviews that assist management in identifying, analyzing and resolving program and organizational issues, such as final reports, evaluations, audits resolution files, work papers, and other documents, with significant value, including documents that: 1) Attract substantial national media attention; 2) Result in a congressional investigation; or 3) Result in substantive changes in Ex-Im’s policies and procedures.	
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-0275-2024-0001-0002 on 06/12/2025.		
Final Disposition	Permanent	
Cutoff Instructions	Other: At close of audit, inspection, evaluation, and other reviews after the issuance of the final report. Close out audit resolution files upon final action.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff or when no longer sensitive, whichever is later	
ADDITIONAL INFORMATION		
Current Records Format	Base Migration: Base Migration	

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Approximate first year of records covered by this authority	2007
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2007 To: --/--/2012
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0275-2016-0001-0004		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Office of Inspector General (OIG) Approved Policy and Procedure Files	
Item Description	The approved OIG policies, procedures and strategic plans that define or document the policies and procedures established for planning, direction, controlling, performing, and assessing OIG functions, including strategic plans, operations manuals, OIG policy bulletins, and standard operating procedures.	
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-0275-2024-0001-0006 on 06/12/2025.		
Final Disposition	Permanent	
Cutoff Instructions	Other: When superseded or obsolete	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff	
ADDITIONAL INFORMATION		
Current Records Format	Base Migration: Base Migration	
Approximate first year of records covered by this authority	2007	

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End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2007 To: --/--/2012
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0275-2016-0001-0005		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Offices of Audit (OA) and Inspections and Evaluations (OI&E) Approved Procedures and Strategic Files	
Item Description	The approved OA and OI&E policies, procedures, and strategic plans that define or document the policies and procedures established for planning, direction, controlling, performing, and assessing OA and OI&E functions, including strategic plans, operations manuals, OA & and OI&E policy bulletins, and standard operating procedures.	
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-0275-2024-0001-0006 on 06/12/2025.		
Final Disposition	Temporary	
Cutoff Instructions	Other: When superseded or obsolete	
Retention Period	Destroy 7 year(s) after cutoff	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0275-2016-0001-0006	STATUS: INACTIVE - NOT FOR USE
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Date Approved: 05/31/2017

<b>ITEM GENERAL INFORMATION</b>	
Item Title	Office of Investigations (OI) Approved Policy and Procedure Files
Item Description	The approved OI policies, procedures, and strategic plans that define or document the policies and procedures established for planning, direction, controlling, performing, and assessing OI functions, including strategic plans, operations manuals, OI policy bulletins, and standard operating procedures.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0275-2024-0001-0006 on 06/12/2025.</b>	
Final Disposition	Permanent
Cutoff Instructions	Other: When superseded or obsolete
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 30 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Current Records Format	Base Migration: Base Migration
Approximate first year of records covered by this authority	2007
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2007 To: --/--/2012
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

<b>DAA-0275-2016-0001-0007</b>	<b>STATUS: INACTIVE - NOT FOR USE</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Semiannual Reports to Congress and Substantive Correspondence with Congress

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Item Description	Semiannual reports to Congress by the Ex-Im Office of the Inspector General and substantive correspondence with Congress
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0275-2024-0001-0004 on 06/12/2025.</b>	
Final Disposition	Permanent
Cutoff Instructions	Other: At the end of each calendar year (December 31)
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Current Records Format	Base Migration: Base Migration
Approximate first year of records covered by this authority	2007
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2007 To: --/--/2012
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

<b>DAA-0275-2016-0001-0008</b>	<b>STATUS: INACTIVE - NOT FOR USE</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Working Files of All Components of Inspector General Offices
Item Description	Management challenges reports, strategic plans, organizational performance plans, performance reports, administrative documents, correspondence, letters, memos, meeting minutes without significant historical value.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0275-2024-0001-0009 on 06/12/2025.</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: At the end of each calendar year in which document is completed, approved, or superseded.
Retention Period	Destroy 3 year(s) after cutoff
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	05/31/2017