

## Request for Records Disposition Authority

Records Schedule Number           DAA-0064-2016-0001  
 Schedule Status                    Approved  
  
 Agency or Establishment           National Archives and Records Administration  
 Record Group / Scheduling Group   Records of the National Archives and Records Administration  
 Records Schedule applies to       Major Subdivision  
 Major Subdivision                 Agency Services  
 Minor Subdivision                 Office of Government Information Services (OGIS)  
 Schedule Subject                 Program Records Schedule  
 Internal agency concurrences will be provided   No

Background Information           OGIS serves its customers as an independent, impartial, and confidential resource to help requesters and Federal agencies resolve process issues arising from the administration of FOIA requests. The FOIA mandates that OGIS review and provide input on policies and procedures of agency FOIA programs, review whether the agencies are in compliance with FOIA, and recommend policy changes to Congress and the President to improve administration of FOIA. OGIS is required to offer mediation services to resolve disputes between persons making FOIA requests and administrative agencies as a non-exclusive alternative to litigation. OGIS may also issue advisory opinions if mediation has not resolved an issue. However it has not issued any opinions as of the submission of this schedule and has no plans to begin doing so in the near future. If the program begins to issue Advisory Opinions, this function will be assessed and the resulting records will scheduled at that time.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	2	2	0

GAO Approval

## Outline of Records Schedule Items for DAA-0064-2016-0001

Sequence Number	
1	<b>Program Records Schedule</b>
1.1	Records created/maintained in the performance of OGIS' mission maintained as case files EXCLUDING Compliance Assessment final reports and Advisory Opinions. Disposition Authority Number: DAA-0064-2016-0001-0001
1.2	Compliance assessment final reports Disposition Authority Number: DAA-0064-2016-0001-0002
1.3	All other mission-related records WITH THE EXCEPTION OF the OGIS Annual Report to Congress, FOIA Advisory Committee records and social media records Disposition Authority Number: DAA-0064-2016-0001-0003
1.4	OGIS Annual Report to Congress. Disposition Authority Number: DAA-0064-2016-0001-0004

Records Schedule Items

Sequence Number	
1	<p><b>Program Records Schedule</b> Schedule covering program records created and or maintained by OGIS.</p>
1.1	<p>Records created/maintained in the performance of OGIS' mission maintained as case files EXCLUDING Compliance Assessment final reports and Advisory Opinions.</p> <p>Disposition Authority Number      <b>DAA-0064-2016-0001-0001</b></p> <p>Includes mediation files, Compliance Assessment function supporting documents, and annual recommendation files. EXCLUDES Compliance Assessment final reports and Advisory Opinions.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Close file when final action is taken. Break closed case files annually.</b></p> <p>Retention Period                         <b>Destroy 7 year(s) after file break.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
1.2	<p><b>Compliance assessment final reports</b></p> <p>Disposition Authority Number      <b>DAA-0064-2016-0001-0002</b></p> <p>Final Disposition                        <b>Permanent</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>No</b></p> <p>Explanation of limitation               <b>Reports are produced electronically in PDF and PDF-page turn formats</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p>

	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off every five years.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 15 year(s) after file break.
	<b>Additional Information</b>	
	First year of records accumulation	2015
	What will be the date span of the initial transfer of records to the National Archives?	From 2015 To 2019
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
1.3	<b>All other mission-related records WITH THE EXCEPTION OF the OGIS Annual Report to Congress, FOIA Advisory Committee records and social media records</b>	
	Disposition Authority Number	DAA-0064-2016-0001-0003
	<b>All other mission-related records, which include but are not limited to other program management files / reports, statistical studies / reports, working papers, and non-executive level correspondence, subject files, training materials, presentations, etc. for the following functions: Agency FOIA Regulation Review, Agency Self-Assessment Reports, Dispute Resolution Training Sessions. EXCLUDES the OGIS Annual Report to Congress, FOIA Advisory Committee (covered by the GRS), and social media records (to be schedule separately).</b>	
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close files when final actions are taken. Break closed files annually.
	Retention Period	Destroy 7 year(s) after file break.
	<b>Additional Information</b>	
	GAO Approval	Not Required

1.4

**OGIS Annual Report to Congress.**

Disposition Authority Number      **DAA-0064-2016-0001-0004**

Final Disposition                      **Permanent**

Item Status                              **Active**

Is this item media neutral?          **No**

Explanation of limitation              **Report is produced electronically in PDF and PDF-page turn formats.**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **No**

**Disposition Instruction**

Cutoff Instruction                      **Cut off every five years.**

Transfer to the National Archives for Accessioning      **Transfer to the National Archives in 5 year blocks 15 year(s) after cut off.**

**Additional Information**

First year of records accumulation      **2010**

What will be the date span of the initial transfer of records to the National Archives?      **From 2010 To 2014**

How frequently will your agency transfer these records to the National Archives?      **Every 5 Years**

## 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
02/11/2016	Certify	Richard Marcus	Records Officer	Office of Information Services - Records management Staff
06/02/2016	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
06/08/2016	Submit For Certification	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
06/08/2016	Certify	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
09/08/2016	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
09/08/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/08/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/09/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist