

## Request for Records Disposition Authority

Records Schedule Number DAA-0275-2014-0001  
Schedule Status Approved  
Agency or Establishment Export-Import Bank of the United States  
Record Group / Scheduling Group Records of the Export-Import Bank of the United States  
Records Schedule applies to Agency-wide  
Schedule Subject Comprehensive Records Schedule of the Export-Import Bank of the United States  
Internal agency concurrences will be provided No

Background Information  
Export-Import Bank of the United States (Ex-Im Bank) is an independent agency of the United States incorporated by Congress under the Export Import Bank Act of 1945 as amended (12 USC 635, et seq.)  
The Bank is the official export credit agency of the United States. Ex-Im Bank's mission is to assist in financing the export of U.S. goods and services to international markets. The Bank provides insurance, loans, and loan guarantees to U.S. exporters, buyers of U.S. exports, and lenders financing U.S. exports.  
This records schedule covers the records of the agency other than those covered by the General Records Schedules. This schedule covers the records regardless of media - electronic and paper.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	5	8	1

### GAO Approval

## Outline of Records Schedule Items for DAA-0275-2014-0001

Sequence Number	
1	<b>Governing Entities and Advisory Boards and Committees of the Bank</b>
1.1	<b>CHAIRMAN/PRESIDENT AND MEMBERS OF THE BANK BOARD - Communication</b> Disposition Authority Number: DAA-0275-2014-0001-0001
1.2	<b>CHAIRMAN/PRESIDENT AND MEMBERS OF THE BANK BOARD - Working papers</b> Disposition Authority Number: DAA-0275-2014-0001-0002
1.3	<b>BANK BOARDS AND COMMITTEES - Communication</b> Disposition Authority Number: DAA-0275-2014-0001-0003
1.4	<b>BANK BOARDS AND COMMITTEES - Working Papers.</b> Disposition Authority Number: DAA-0275-2014-0001-0004
1.5	<b>POLICY, PROCEDURES, LEGAL OPINIONS, FEDERAL GOVERNMENT COMMUNICATIONS</b> Disposition Authority Number: DAA-0275-2014-0001-0005
1.6	<b>INTERGOVERNMENTAL FILES</b> Disposition Authority Number: DAA-0275-2014-0001-0006
1.7	<b>INTERNATIONAL AND DOMESTIC FINANCIAL INSTITUTION FILES</b> Disposition Authority Number: DAA-0275-2014-0001-0007
1.8	<b>PUBLIC COMMUNICATION</b> Disposition Authority Number: DAA-0275-2014-0001-0008
1.9	<b>LITIGATION CASE FILES</b> Disposition Authority Number: DAA-0275-2014-0001-0009
2	<b>EX-IM BANK MISSION</b>
2.1	<b>TRANSACTIONS</b> Disposition Authority Number: DAA-0275-2014-0001-0010
2.2	<b>CLAIMS</b> Disposition Authority Number: DAA-0275-2014-0001-0011
2.3	<b>LETTER OF INTEREST (LI)</b> Disposition Authority Number: DAA-0275-2014-0001-0012
2.4	<b>MASTER AGREEMENTS AND AGREEMENTS WITH PRIVATE PARTIES</b> Disposition Authority Number: DAA-0275-2014-0001-0013
2.5	<b>REVIEWS AND INSPECTIONS /INVESTIGATIONS/DUE DILIGENCE</b> Disposition Authority Number: DAA-0275-2014-0001-0014

## Records Schedule Items

Sequence Number	
1	<p><b>Governing Entities and Advisory Boards and Committees of the Bank</b> This section covers original documents, created and/or received by the Chairman/President, Board Members, the Bank's Advisory Boards, Committees of the Board of Directors or Advisory Boards and Committees of the Bank. The term "Boards and/or Committees" shall include the Board of Directors of the Bank, any Advisory Board of the Bank, any Committee of the Board of the Directors or any Advisory Board, and any Committee of the Bank.</p>
1.1	<p><b>CHAIRMAN/PRESIDENT AND MEMBERS OF THE BANK BOARD - Communication</b></p> <p>Disposition Authority Number      DAA-0275-2014-0001-0001</p> <p>Documents created and/or received by the Chairman or President of the Bank and any member of the Bank's Boards, which document the Bank's policies, procedures, and/or activities. This includes documents received from or sent to Congress, the White House, Federal agencies, foreign governments, U.S. businesses, and State and Local Governments, as well as policies set by the Chairman.</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      N1-275-02-001, A.2.b.i; A.7.a</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off files at the end of FY</p> <p>Transfer to Inactive Storage          Transfer to Records Storage Facility as needed</p> <p>Transfer to the National Archives for Accessioning      Transfer to NARA fifteen (15) years after the end of official's tenure in office.</p> <p><b>Additional Information</b></p> <p>First year of records accumulation      1934</p> <p>What will be the date span of the initial transfer of records to the National Archives?      From 2000 To 2004</p>

How frequently will your agency transfer these records to the National Archives? **Unknown**  
Transfer to NARA at end of official's tenure in office, or four (4) years after cutoff, whichever is later.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	5 GB
Paper		4 Cubic feet
Microform		
Hardcopy or Analog Special Media		

1.2

**CHAIRMAN/PRESIDENT AND MEMBERS OF THE BANK BOARD - Working papers**

Disposition Authority Number **DAA-0275-2014-0001-0002**

Briefing books prepared by staff, drafts of reports for the Chairman or President of the Bank or Board members of the Bank, duplicates of documents, as well as routine correspondence, memoranda, and other records documenting day-to-day operations and routine administrative matters.

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 **N1-275-02-001, a.2.b.ii**

**Disposition Instruction**

Cutoff Instruction **Cut off files at the end of Fiscal Year (FY).**

Retention Period **Destroy three (3) years after end of term of service or when no longer required for business, whichever is longer.**

**Additional Information**

GAO Approval **Not Required**

1.3

**BANK BOARDS AND COMMITTEES - Communication**

Disposition Authority Number      DAA-0275-2014-0001-0003

Documents created and/or received by the Boards and/or Committees which document the Bank's policies, procedures, and/or activities. These documents include meeting agendas, meeting minutes, memoranda, correspondence, and/or policy decision documents.

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      N1-275-02-001, items A.2.a; -A.3; -A.4

**Disposition Instruction**

Cutoff Instruction                      Cut off files at the end of FY

Transfer to Inactive Storage          Transfer to Records Storage Facility as needed.

Transfer to the National Archives for Accessioning      Transfer to the National Archives in 4 year blocks 15 year(s) after cutoff for the most recent record

**Additional Information**

First year of records accumulation      1934

What will be the date span of the initial transfer of records to the National Archives?      From 2000 To 2004

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	5 GB
Paper		4 Cubic feet
Microform		

Hardcopy or Analog Special Media		
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1.4

**BANK BOARDS AND COMMITTEES - Working Papers.**

Disposition Authority Number DAA-0275-2014-0001-0004

Briefing books prepared by staff for the Board or Committee, drafts of reports for the Board or Committee, duplicates of documents created for the benefit of the Board or Committee, including background materials and routine administrative matters.

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 N1-275-02-001, A.2.b.ii

**Disposition Instruction**

Cutoff Instruction Cut off files at the end of the FY

Retention Period Destroy three (3) years after cutoff end of term of service or when no longer required for business, whichever is longer.

**Additional Information**

GAO Approval Not Required

1.5

**POLICY, PROCEDURES, LEGAL OPINIONS, FEDERAL GOVERNMENT COMMUNICATIONS**

Disposition Authority Number DAA-0275-2014-0001-0005

Documents created and/or received which document the Bank's policies, procedures, and/or activities, and legal opinions. This includes documents received from or sent to Congress, the White House, Federal agencies, U.S. businesses, and state and local governments

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 **N1-275-02-001, A.5.a; A.5.b; A.8.a; A.9**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the FY**

Transfer to Inactive Storage **Transfer to Records Storage Facility as needed.**

Transfer Electronic Records to the National Archives for Pre-Accessioning **Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 10 year(s) after cutoff**

**Additional Information**

First year of records accumulation **1933**

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2004**

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

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

1.6

**INTERGOVERNMENTAL FILES**

Disposition Authority Number **DAA-0275-2014-0001-0006**

Documents and/or correspondence between Ex-Im Bank and any foreign government, this includes files, correspondence, memoranda, letters, and/or memoranda of understanding.

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 **N1-275-02-001, A.6.a**

**Disposition Instruction**

Cutoff instruction **Cut off files at the end of FY**

Transfer to Inactive Storage **Transfer to Records Storage as needed.**

Transfer Electronic Records to the National Archives for Pre-Accessioning **Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 10 year(s) after cutoff**

**Additional Information**

First year of records accumulation **1933**

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2004**

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

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

1.7

**INTERNATIONAL AND DOMESTIC FINANCIAL INSTITUTION FILES**

Disposition Authority Number **DAA-0275-2014-0001-0007**

Documents and/or correspondence relating to the Bank's participation in international financial institutions, such as Organization for Economic Co-operation and Development (OECD), the Paris Club and the Berne Union (International Union of Credit and Investments Insurers), and documents and/or correspondence between Ex-Im Bank and export credits agencies of other countries, multilateral agencies and multilateral development banks, and other United States and non-United States banks and financial institutions, other than those that relate to specific transactions or Master Guarantee Agreements or other agreements that include an expiration date or termination provision. This includes files, correspondence, memoranda, letters, and/or memoranda of understanding.

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 N1-275-02-001, A.6.b

**Disposition Instruction**

Cutoff Instruction Cut off at the end of FY

Transfer to Inactive Storage Transfer to Records Storage Facility as needed.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after Cutoff

Transfer to the National Archives for Accessioning Transfer to the National Archives 10 year(s) after cutoff

**Additional Information**

First year of records accumulation 1933

What will be the date span of the initial transfer of records to the National Archives? From 2000 To 2004

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	5 GB
Paper		1 Cubic feet

Microform		
Hardcopy or Analog Special Media		

1.8

**PUBLIC COMMUNICATION**

Disposition Authority Number DAA-0275-2014-0001-0008

Communications by officers and employees of the Bank, including speeches, correspondence, public informational documents, press releases, marketing documents, and/or documents used in the Bank's public seminars.

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 N1-275-02-001, A.7.b

**Disposition Instruction**

Cutoff Instruction Cutoff files at the end of FY

Retention Period Destroy five (5) years after cutoff or when no longer required for business, whichever is later.

**Additional Information**

GAO Approval Not Required

1.9

**LITIGATION CASE FILES**

Disposition Authority Number DAA-0275-2014-0001-0009

Documents and/or correspondence pertaining to any case in which the Bank or any officer, Director, or employee of the Bank is a party. This includes summons, complaint, evidentiary documents, administrative record, motions, interlocutory orders, appeals, final court decisions, other pleadings, and correspondence

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	N1-275-02-001, A.2.b.i
	Disposition Instruction	
	Cutoff Instruction	Cutoff a Case File when the final judgment has been issued and all appeals have been exhausted.
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
2	<b>EX-IM BANK MISSION</b>	
	This section covers records created and/or received in reference to direct loans, credit guarantees, export credit insurance, working capital agreements, term financing, supply chain financing, finance leasing guarantees, rescheduled loans, and other financing products offered in support of the Bank's mission.	
2.1	<b>TRANSACTIONS</b>	
	Disposition Authority Number	DAA-0275-2014-0001-0010
	Documents: including but not limited to application, supporting documentation, financial statements, analysis of financial risks, environmental issues, engineering documents, correspondence files, credit reviews, compliance documents, agreements, promissory notes, guarantees, insurance policies and endorsements, federal register notices and comments received, economic risk analysis, internal analysis, internal memorandum, legal documents, certificates, invoices, and other materials required to support the financing.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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	N1-275-02-001, A.1.(a,b,c); A.8.b
	Withdrawn Status Explanation	Records schedule does not reflect current business process. Item withdrawn to be resubmitted on a future schedule.
	Disposition Instruction	

2.2

Cutoff Instruction Cutoff at transaction closure.  
Retention Period Destroy 7 year(s) after cutoff

**Additional Information**

GAO Approval Not Required

**CLAIMS**

Disposition Authority Number DAA-0275-2014-0001-0011

Documents: including but not limited to claim application, supporting documentation, investigation reports, analysis of loss, certifications, and other material required to support the claim

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 N1-275-02-001, A.8.b

**Disposition Instruction**

Cutoff Instruction Cutoff at claim closure.  
Retention Period Destroy 7 year(s) after cutoff

**Additional Information**

GAO Approval Not Required

2.3

**LETTER OF INTEREST (LI)**

Disposition Authority Number DAA-0275-2014-0001-0012

Documents: including Letter of Interest (LI) application, supporting documents, analysis, acceptance notice, withdrawn/cancelled notice, denied notice, and any other material used to support a decision.

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

2.4

GRS or Superseded Authority Citation N1-275-02-001, A.8.b

Disposition Instruction

Cutoff Instruction Cutoff when LI is withdrawn, cancelled, accepted, or expired.

Retention Period Destroy 3 year(s) after CUTOFF

Additional Information

GAO Approval Not Required

**MASTER AGREEMENTS AND AGREEMENTS WITH PRIVATE PARTIES**

Disposition Authority Number DAA-0275-2014-0001-0013

Documents: including but not limited to Master Guarantee Agreements, Master Reimbursement Agreements, and/or Master Referral Agreements supplements, and/or correspondence required to support the Master Agreements, and the agreements between the Bank and private parties, that include an expiration date or other termination provision. Such agreements may include but are not limited to agreements relating to marketing arrangements, co-sponsorship, and commissioned broker arrangements.

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 N1-275-02-001, A.8.b

Disposition Instruction

Cutoff Instruction Cutoff when agreement is terminated or expires.

Retention Period Destroy 10 year(s) after CUTOFF

Additional Information

GAO Approval Not Required

2.5

**REVIEWS AND INSPECTIONS /INVESTIGATIONS/DUE DILIGENCE**

Disposition Authority Number DAA-0275-2014-0001-0014

Documents: created in the performance of or responding to: program reviews such as Individual Delegated Authority, program compliance, program review; Office of the Inspector General inspections and audits; outside audits; law enforcement

investigations and investigations by other agencies; and due diligence; and/or documents provided to Third Party Litigants (Touhy). Reviews performed in reference to specific transactions numbers and/or claim numbers will be covered under section B1, Transactions/Claims, of this schedule.

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	N1-275-02-001, A.8.b
Disposition Instruction	
Cutoff Instruction	Cutoff at close of investigation
Retention Period	Destroy 5 year(s) after CUTOFF
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
01/14/2014	Return to Submitter	Andy Chang	Records Manager	OCIO - Information and Records Management
01/15/2014	Certify	Andy Chang	Records Manager	OCIO - Information and Records Management
05/01/2014	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/06/2014	Submit For Certification	Andy Chang	Records Manager	OCIO - Information and Records Management
05/06/2014	Return to Submitter	Andy Chang	Records Manager	OCIO - Information and Records Management
05/06/2014	Submit For Certification	Alla Lake	IT Consultant	OCIO - OMT
05/06/2014	Return to Submitter	Andy Chang	Records Manager	OCIO - Information and Records Management
05/06/2014	Submit For Certification	Andy Chang	Records Manager	OCIO - Information and Records Management
05/06/2014	Certify	Andy Chang	Records Manager	OCIO - Information and Records Management
07/15/2014	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/24/2014	Submit For Certification	Alla Lake	IT Consultant	OCIO - OMT
09/24/2014	Certify	Andy Chang	Records Manager	OCIO - Information and Records Management
10/14/2014	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services

10/16/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
10/17/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/22/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist