

GRS 5.7 Administrative Management & Oversight Records

This file contains three documents. The Draft Schedule contains the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. We have also included a draft Frequently Asked Questions (FAQs) to show how we are moving information from the schedule into the FAQs.

THE SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
April 2022

GENERAL RECORDS SCHEDULE 5.7: Administrative Management and Oversight Records

This schedule covers records about administrative management activities in Federal agencies. It includes activities such as internal controls oversight and reporting, policies and procedures, and results management and reporting, but only when they relate to administrative housekeeping functions. It also includes some records related to the Federal Register.

Exclusions and Conditions

1. Excluded from this schedule are records about management and oversight of non-administrative activities, including agency mission-related performance management records, strategic plans, risk management records, audit records, organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories.
2. Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Administrative Internal Controls			
010-020	NO CHANGES		
Administrative Policy, Standards, and Guidelines			
030	NO CHANGES		
Administrative Results Management and Reporting			
040	NO CHANGES		
050	<p>Mandatory reports to external federal entities regarding administrative activities.</p> <p>Department or agency-level copies of reports sent to external federal oversight entities about non-mission related administrative functions that are not otherwise scheduled (see exclusion 3). Includes related feeder reports and background materials.</p> <p>For more information see the GRS 5.7 Frequently Asked Questions.</p> <p>Exclusions:</p> <ol style="list-style-type: none"> 1. Copies of these reports received by the federal oversight entity. These records must be scheduled by the agency. 	<p>Temporary.</p> <p>Destroy 6 years after submission or acceptance, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2022-000X-000X

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	<p>2. Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records. Agencies must schedule these records.</p> <p>3. Mandatory external reports on finance matters (GRS 1.1, items 020 and 040, cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these).</p> <p>Supersedes: <i>DAA-GRS-2020-0001-0003 (previous version) - 6 years after submission</i> <i>DAA-GRS-2013-0007-0006 (GRS 4.2, item 070) - 2 years after date of report</i> <i>DAA-GRS-2013-0007-0022 (GRS 4.2, item 080) - 5 years after submission</i> <i>DAA-GRS-2013-0007-0023 (GRS 4.2, item 081) - 2 years after submission</i></p>		
060	NO CHANGES		
Records Related to the <i>Federal Register</i>			
070 - 080	NO CHANGES		



Office of the Chief
Records Officer for the
U.S. Government

Date: April 14, 2022
Appraiser: Andrea Riley, ACRS
Agency: General Records Schedule (GRS) DRAFT
Subject: DAA-GRS-2022-000X

INTRODUCTION

Schedule Subject

Revision to GRS 5.7 for Mandatory Reports (GRS 5.7, item 050)

Overall Recommendation

Approval of the attached schedule is recommended based on NARA Directive 1441 Appraisal Policy of the National Archives and Records Administration.

APPRAISAL

Item 0001 (GRS 5.7, item 050): Mandatory reports to external federal entities regarding administrative activities.

This item has been revised to simplify the item description to make it more clear what records are covered by this GRS. The previous iteration of the item contained examples of oversight agencies, applicable laws, and various types of reports that might fall under this authority. This additional information distracted from the core criteria defining the records covered by this authority: agency copies of mandatory reports to external federal oversight entities related to administrative activities. We are not changing what records the item is intended to cover, only removing the more specific examples. We are proposing to move the examples to the GRS 5.7 Frequently Asked Questions (FAQ), so that the information will continue to be available for reference.

This item has also been revised to remove the exclusion of GRS 4.2, item 080, Legal and regulatory compliance reporting records - Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy, and to incorporate two other items from GRS 4.2 for reports to external federal oversight entities related to the information access and protection function, which is an administrative activity. Three items from GRS 4.2 are being superseded to simplify the GRS and standardize retention of these types of reports.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Records relate to administrative activities. The item covers agency copies of the reports they send to federal oversight agencies such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA) related to administrative functions of the federal government. Administrative functions are those that are covered by General Records Schedules, including human resources, technology, information management, and general operations support.

*Previously approved as temporary:

DAA-GRS-2020-0001-0003, Mandatory reports to external Federal entities.

DAA-GRS-2013-0007-0006, Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.

DAA-GRS-2013-0007-0022, Legal and regulatory compliance reporting records. -

Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.

DAA-GRS-2013-0007-0023, Legal and regulatory compliance reporting records. - All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention for GRS 5.7, item 050, is not changing. It was previously approved with a retention of 6 years after submission. The superseded items had disposition instructions ranging from 2 years after the date of the report or submission to 5 years after submission. The 6 year retention has been the standard retention for these administrative reports since issuance of GRS 5.7 in 2017 and seems reasonable.

Media Neutrality: Approved

ANDREA M. RILEY

Appraiser

Supervisor Concurrence:

DRAFT - FOR REFERENCE

FAQs for GRS 5.7, Agency Accountability Records

QUESTION RELATED TO ITEM 010

1. Why do you exclude reports related to agency mission activities and consolidated final agency reports submitted to OMB or Congress?

We exclude these records from the GRS because, depending on the agency's mission, they may be of permanent value for historical research. That is why agencies must schedule them individually.

QUESTION RELATED TO ITEM 040

2. Does this item cover records created in the course of processing and submitting reports?

No. This item covers only the records administering a report's framework: why it exists, why it must be prepared and submitted, what subject matter it must include, how it is formatted, and similar parameters. In other words, these are records about the report's existence and structure. This item does not cover the final product (a prepared and submitted report) or the process whereby a particular report is assembled. Agencies must schedule those records based on the report's subject matter and the value of its information to both the agency's business processes and the Federal Government's historical record.

QUESTIONS RELATED TO ITEM 050

3. How do I know if a record falls under this authority?

To determine if a record falls under this authority, ask the following questions:

- Is it a copy of a report or records related to developing a report that is submitted to a federal oversight entity?
- Is the topic related to an administrative (non-mission related) activity?

If the answer is "no" to either of these questions, you cannot use this GRS and the records will need to be scheduled on an agency specific schedule.

If you can answer yes to both of the above questions, ask the final question:

- Do the records fall under any of the exclusions to this item?

If the answer is no, then this authority should apply to the records. If it is yes, then follow the instructions in the exclusion that applies.

4. What are examples of federal oversight entities referred to in this item?

Examples of federal oversight entities include the White House, Congress, Office of Management and Budget (OMB), the Office of Personnel Management (OPM), and General Services Administration (GSA), and any other federal department, agency, or body that provides oversight for the federal government.

DRAFT - FOR REFERENCE

5. What are examples of the types of records covered by this item?

The records covered by this item include departmental or agency reports required under various laws such as, but not limited to:

- OMB Circular A-123
- Federal Managers Financial Integrity Act (FMFIA)
- Chief Financial Officers Act (CFOA)
- Paperwork Reduction Act (PRA)
- Joint Committee on Printing requirements
- Federal information policy (44 U.S. Code Chapter 35)
- The FAIR Act

Specific record series include, but are not limited to:

- Agency Financial Report (AFR)
- Statement of Assurance (per FMFIA), or equivalent
- information collection clearances
- report on financial management systems' compliance with requirements (per FMFIA), or equivalent
- report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- EEOC reports
- Analysis and Action Plans and other reports required by EEOC's MD 715
- No FEAR Act reports
- service organization auditor report, or equivalent
- improper payments report
- premium class travel report
- report on property provided to non-federal recipients, schools, and nonprofit educational institutions
- feeder reports to the Status of Telework in the Federal Government Report to Congress
- feeder reports to GSA fleet reports
- reports to oversight agencies on Freedom of Information Act, Mandatory Declassification Review, Privacy Act, and similar access and disclosure programs
- records documenting agency compliance with federal information resource management and information security laws and regulations

The item also includes ancillary records such as:

- background and research records
- feeder reports from other offices within the agency
- submission packets and compilations
- related files

QUESTIONS RELATED TO ITEM 060

3. Why do you exclude records created and held by the Merit Systems Protection Board and the Office of Special Counsel from this item?

Handling cases described by this item is the mission of the Merit Systems Protection Board and the Office of Special Counsel. Agencies must schedule mission records independently. GRS 5.7, item 060, covers only case files created at other agencies, where they are administrative records.

DRAFT - FOR REFERENCE

4. Why do you exclude from this item records of whistleblowing cases handled internally within an agency?

The administrative and historical value of allegations of illegality, waste, corruption, or other misconduct reported to authorities within an agency varies from one agency to another, so cannot be defined by a single universal retention period. For example, honesty and good behavior of staff is expected in all agencies, but is mission-critical in law-enforcement and investigative agencies. Agencies must therefore individually schedule records documenting internal handling of misconduct allegations.

QUESTION RELATED TO ITEM 080

5. Why do you exclude records received by General Services Administration, Office of Management and Budget, and the Office of the Federal Register from this item?

The records concern the mission of those three agencies. As with all mission records, they must be appraised and scheduled for their business and historical value by the agencies themselves.