

GRS 5.7 Administrative Management & Oversight Records

This file contains two 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.

THE SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
January 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>Agency-level reports that external federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA), require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements, federal information policy (44 U.S. Code Chapter 35), and the FAIR Act. Examples include:</p> <ul style="list-style-type: none"> ● Agency Financial Report (AFR) ● Statement of Assurance (per FMFIA), or equivalent ● information collection clearances 	<p>Temporary.</p> <p>Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if</p>	<p>DAA-GRS-2022-000X-000X</p>

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<ul style="list-style-type: none"> ● 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 <p>Includes ancillary records such as:</p> <ul style="list-style-type: none"> ● background and research records ● feeder reports from other offices within the agency ● submission packets and compilations ● related files <p>Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.</p> <p>Exclusion 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 schedule these separately).</p> <p>Exclusion 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).; mandatory external reports on information access and protection (GRS 4.2, item 080, covers these).</p> <p>Supersedes: DAA-GRS-2020-0001-0003 (previous version) - 6 years after submission</p>	<p>required for business use.</p>	
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	<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>		
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: November 22, 2021
Appraiser: Andrea Riley, ACRS
Agency: General Records Schedule (GRS)
Subject: DAA-GRS-2022-000X

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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 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 simply the GRS and standardize retention of these types of reports.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Records relate to administrative housekeeping 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 finance, 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

ANDREA M. RILEY
Appraiser

Supervisor Concurrence: *AMR 1/3/2022*