

Request for Records Disposition Authority

Records Schedule Number DAA-0372-2018-0001

Schedule Status Approved

Agency or Establishment Defense Contract Audit Agency

Record Group / Scheduling Group Records of the Defense Contract Audit Agency

Records Schedule applies to Agency-wide

Schedule Subject Caseware Audit Management System

Internal agency concurrences will be provided No

Background Information Caseware will be used to manage contract audit assignments from beginning to end

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0372-2018-0001

Sequence Number	
1	Caseware audit data, reports, and working files
1 1	B Masterfile Disposition Authority Number DAA-0372-2018-0001-0001
1 2	C Final Reports Disposition Authority Number DAA-0372-2018-0001-0002
1 3	D Audit working papers Disposition Authority Number DAA-0372-2018-0001-0003

Records Schedule Items

Sequence Number	
1	<p>Caseware audit data reports, and working files Caseware is an off the shelf audit management software used to facilitate efficient and effective planning analyzing, organizing, collaboration communicating, and reporting GAGAS compliant audit results in the most effective and efficient manner</p>
1 1	<p>B Masterfile Disposition Authority Number DAA-0372-2018-0001-0001 Caseware Masterfile, including the following fields Assignment Number Unique Assignment Record ID Title of Audit Assignment Auditor's E-Mail Address Audit Conducted From Date Auditor's Name Auditor's Phone Number Audit Conducted To Date Data Certified as of Date Certificate of Current Cost or Pricing Data, Dated Amount of Claim Claim Dated Claim or Proposal Claim under the Contract Disputes Act of 1978 Date Cost Claimed Through Contractor Acronym Contractor Address 1st Line Contractor Address 2nd Line City of Contractor Country of Contractor Contractor Email Address Contractor Name 1st Line Contractor Name 2nd Line Contractor Name 3rd Line Contract Number Contract Price/Amount State of Contractor Contract Type Zip Code of Contractor Termination for Convenience or Default Amount of Cost elements to be reviewed FLA Address 1st Line FLA Address 2nd Line FLA Attention line City of FLA Buying Command line 1 Buying Command line 2 Country of FLA E-Mail of FLA Fax Number of FLA FLA Name Phone Number of FLA State of FLA Zip Code of FLA Date Due to Supervisor Disclosure Statement Dated Office Address 1st Line Office Address 2nd Line City of Office Country of Office E-Mail of Office Fax Number of Office Office Name Main Phone Number of Office State of Office Zip Code of Office FAO Manager's E-Mail Address FAO Manager's Name FAO Manager's Phone Number Date of Financial Status Year (4 digit) Fiscal Year End Fiscal Year End Fiscal Year End Fiscal Years to be Audit (First Year) Fiscal Years to be Audit (Last Year) Fiscal Year to be Audited Fiscal Year to be Audited Fiscal Year to be Audited Non-Major with ICQ or ICR Major or Non-Major Office Organizational Code Partial or Complete Termination Period of Performance - Completion Date Period of Performance - Start Date Prime Contract Number Progress Payment Date Progress Payment Number Proposal Amount Date of Proposal Period of Performance - Completion Date Period of Performance - Start Date Proposal Type (Fixed Cost etc) Provides For (Product or Service) Reason for Claim (Explanation) Reference Number (Enabled if Demand) Request Date (Enabled if Demand) Requested Due Date (Enabled if Demand) Date Request Received in Office (Enabled if Demand) Requested Review Areas (Enabled if Demand) Solicitation Number Date of Submission Date of Submission Date of Submission Subcontract Number Supervisor's E-Mail Address Supervisor's Name Supervisor's Phone Number Team Code Effective Date of Termination Amount of Termination Proposal Date of Termination Proposal Version Number Version Date Final Voucher Number DUNS</p>

1 2	Code 5-character Office code for Report APPS Voucher Number APPS Product or Service Auditor and Supervisor Names in LiveLink format Activity Five File Code CAC Code CAGE Code ACO Code ACO Name	
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff at end of fiscal year
	Retention Period	Delete when the agency determines they are no longer needed for administrative legal audit or other operational purposes
	Additional Information	
	GAO Approval	Not Required
	C Final Reports	
	Disposition Authority Number	DAA-0372-2018-0001-0002
	Completed audit reports	
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of fiscal year in which the final report is completed
	Retention Period	Destroy 10 year(s) after cutoff

13	Additional Information	
	GAO Approval	Not Required
	D Audit working papers	
	Disposition Authority Number	DAA-0372-2018-0001-0003
	Record of audit procedures performed, relevant audit evidence obtained, and conclusions the auditor reached	
	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 email and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the fiscal year
	Retention Period	Destroy 10 year(s) after cutoff, unless there are legal audit, or other hold actions pending
	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
06/11/2018	Certify	Greg Sullivan	Records Administrator	CM - CMR
06/19/2018	Return for Revision	Richard Noble	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/19/2018	Submit For Certification	Greg Sullivan	Records Administrator	CM - CMR
06/20/2018	Certify	Greg Sullivan	Records Administrator	CM - CMR
09/25/2018	Return for Revision	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/24/2019	Submit For Certification	Greg Sullivan	Records Administrator	CM - CMR
01/24/2019	Certify	Greg Sullivan	Records Administrator	CM - CMR
01/30/2019	Return for Revision	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/31/2019	Submit For Certification	Greg Sullivan	Records Administrator	CM - CMR
01/31/2019	Certify	Greg Sullivan	Records Administrator	CM - CMR
02/04/2019	Return for Revision	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/05/2019	Submit For Certification	Greg Sullivan	Records Administrator	CM - CMR

02/05/2019	Certify	Greg Sullivan	Records Administrator	CM - CMR
12/13/2019	Submit for Concurrence	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/02/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/08/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist