

Request for Records Disposition Authority

Records Schedule Number: DAA-GRS-2017-0008
Schedule Status: Approved
Agency or Establishment: General Records Schedules (National Archives and Records Administration)
Record Group / Scheduling Group: General Records Schedules
Records Schedule applies to: Government-wide
Schedule Subject: General Records Schedule 5.7: Agency Accountability Records
Internal agency concurrences will be provided: No

Background Information: This schedule covers records agencies create in three areas of accountability:

- internal controls implementing various Office of Management and Budget (OMB) management directives, assessing risks, assuring compliance, and correcting issues,
- mandatory reporting on administrative functions to external entities, and
- interaction with the U.S. Office of Special Counsel concerning allegations and claims that fall under its jurisdiction.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	0	6	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2017-0008

Sequence Number	
1	Internal administrative accountability and operational management control records. Disposition Authority Number: DAA-GRS-2017-0008-0001
2	Internal control review, response, and mitigation management records. Disposition Authority Number: DAA-GRS-2017-0008-0002
3	Administrative directives and notices. Disposition Authority Number: DAA-GRS-2017-0008-0003
4	Records about authorizing and managing report requirements and parameters. Disposition Authority Number: DAA-GRS-2017-0008-0004
5	Mandatory reports to external Federal entities regarding administrative matters. Disposition Authority Number: DAA-GRS-2017-0008-0005
6	Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction. Disposition Authority Number: DAA-GRS-2017-0008-0006

Records Schedule Items

Sequence Number

1 Internal administrative accountability and operational management control records.

Disposition Authority Number DAA-GRS-2017-0008-0001

Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes: • copies of internal and external directives outlining management control policy • management control plans and records of the planning process • records of management reviews • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • risk analyses and risk profiles • internal controls over reports • feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) • records tracking assignments, tasks, and responsibilities • administrative correspondence
 Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).
 Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).
 Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).

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

Manual Citation	Manual Title
GRS 5.7, item 010	

GRS or Superseded Authority Citation
 N1-GRS-91-005 / 1/A
 N1-GRS-91-005 / 1/B
 N1-GRS-91-005 / 1/C
 N1-GRS-91-005 / 1/D
 N1-GRS-98-002 / 23

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Disposition Instruction

Retention Period Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Internal control review, response, and mitigation management records.

Disposition Authority Number DAA-GRS-2017-0008-0002

Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions. Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).

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

Manual Citation	Manual Title
GRS 5.7, item 020	

GRS or Superseded Authority Citation N1-GRS-91-005 / 1/F/1

Disposition Instruction

Retention Period Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Administrative directives and notices.

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Disposition Authority Number **DAA-GRS-2017-0008-0003**

Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development. Exclusion: Documents related to mission activities (agencies schedule these separately).

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**

Manual Citation	Manual Title
GRS 5.7, item 030	

GRS or Superseded Authority Citation **NC1-GRS-81-005 / 3/C
NC1-GRS-81-005 / 3/D**

Disposition Instruction

Retention Period **Destroy when superseded, obsolete, or no longer needed for business, whichever is later.**

Additional Information

GAO Approval **Not Required**

Records about authorizing and managing report requirements and parameters.

Disposition Authority Number **DAA-GRS-2017-0008-0004**

Processing and submission files on reports an agency creates or proposes. Includes copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements.

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**

Manual Citation	Manual Title

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GRS 5.7, item 040

GRS or Superseded Authority Citation NC1-GRS-80-007 / 1

Disposition Instruction

Retention Period Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Mandatory reports to external Federal entities regarding administrative matters.

Disposition Authority Number DAA-GRS-2017-0008-0005

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 and the FAIR Act. Examples include: • Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent • Annual Performance Plan, Annual Performance Report, or equivalent • Statement of Assurance (per FMFIA), or equivalent • Information Collection Budget • 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) • service organization auditor report, or equivalent • annual strategic review • identified material weaknesses and corrective actions report • improper payments report • premium class travel report • report on property provided to nonfederal 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 • E-Government status and compliance report (per PRA) Includes ancillary records such as: • background and research records • submission packets and compilations • related files Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive. Exclusion 2: 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).

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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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**

Manual Citation	Manual Title
GRS 5.7, item 050	

GRS or Superseded Authority Citation
N1-GRS-87-016 / 1
N1-GRS-05-002 / 18/A
N1-GRS-05-002 / 18/B
GRS 13, dated 1952, item 6a
GRS 13, dated 1952, item 6b

Disposition Instruction

Retention Period **Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.

Disposition Authority Number **DAA-GRS-2017-0008-0006**

Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof. Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately). Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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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**

Manual Citation	Manual Title
GRS 5.7, item 060	

Disposition Instruction

Retention Period **Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.**

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
05/30/2017	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/10/2017	Submit for Concurrence	Galen Wilson	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/21/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist