

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2020-0001

Status: APPROVED
Date Approved: 12/07/2020
Last Modified: 11/03/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	GRS 5.7 - Administrative Management and Oversight Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>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 functions. It also includes some records related to the Federal Register.</p> <p>Exclusions and Conditions</p> <ol style="list-style-type: none">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.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 3

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-GRS-2020-0001

Item #	Title	Disposition
0001	Administrative Internal Controls : Administrative internal control management records.	Temporary
0002	Administrative Results Management and Reporting : Administrative management report requirements records.	Temporary
0003	Administrative Results Management and Reporting : Mandatory reports to external Federal entities regarding administrative matters.	Temporary

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Records Schedule Items

Group Title	Administrative Internal Controls
DAA-GRS-2020-0001-0001	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Administrative internal control management records.
Item Description	<p>Records related to 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:</p> <ul style="list-style-type: none"> *copies of internal and external directives outlining management control policy *management control plans and records of the planning process *comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements *reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions *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 *related correspondence <p>Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).</p> <p>Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p>Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.7, item 010

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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Item	Superseded Items Item Superseded in Part? Explanation
DAA-GRS-2017-0008-0001	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Administrative Results Management and Reporting
DAA-GRS-2020-0001-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Administrative management report requirements records.
Item Description	Processing and submission files on mandatory management 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. This item applies only to management reports related to administrative activities. Exclusion: Final reports created using these requirements. Use GRS 5.7, item 050, for mandatory reports related to administrative matters.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.7, item 040
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
DAA-GRS-2017-0008-0004	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2020-0001-0003 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Mandatory reports to external Federal entities regarding administrative matters.
Item Description	<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, 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 *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

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- *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

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 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).

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).

Is this item media neutral?	Yes
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Is this item a Big Bucket?	
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MANUAL CITATION

Agency Code	GRS 5.7, item 050
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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities?	Yes
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Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
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DAA-GRS-2017-0008-0005	No
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Is this item a deviation from the GRS?	No
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DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: 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	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	12/07/2020