

## Request for Records Disposition Authority

Records Schedule Number      DAA-0269-2016-0003  
Schedule Status                Approved  
  
Agency or Establishment      General Services Administration  
Record Group / Scheduling Group    General Records of the General Services Administration  
Records Schedule applies to      Agency-wide  
Schedule Subject                Audit Resolution Program Records (269.14)  
Internal agency concurrences will be provided      No

Background Information                The group of records is accumulated while controlling and monitoring the resolution and implementation of General Accounting Office (GAO) and other external agency audit reports, Office of the Inspector General (OIG) internal audit and contract audit reports, and related records. The GSA Audit, Evaluation, and Inspection Program Policy is covered in GSA HB, Audit Resolution and Follow-up System (ADM P 2030.2D). This group of records does not apply to documents accumulated in examining or auditing internal and contractor operations or by offices whose programs were audited.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0269-2016-0003

Sequence Number	
1	<b>Audit Resolution Program Records (269.14)</b>
1.1	<b>269.14/010 – Semiannual Management Reports to the Congress and External Agencies</b> Disposition Authority Number: DAA-0269-2016-0003-0001
1.2	<b>269.14/011 – Semiannual Management Report to the Congress Records Transfer Reports</b> Disposition Authority Number: DAA-0269-2016-0003-0002
1.3	<b>269.14/021 – Audit Resolution Case Files</b> Disposition Authority Number: DAA-0269-2016-0003-0003
1.4	<b>269.14/022 – Audit Resolution Case File Destruction Report</b> Disposition Authority Number: DAA-0269-2016-0003-0004
1.5	<b>269.14/031 – Audit Resolution Program Records</b> Disposition Authority Number: DAA-0269-2016-0003-0005

## Records Schedule Items

Sequence Number										
1	<b>Audit Resolution Program Records (269.14)</b>									
1.1	<p><b>269.14/010 – Semiannual Management Reports to the Congress and External Agencies</b></p> <p>Disposition Authority Number      <b>DAA-0269-2016-0003-0001</b></p> <p>This series is comprised of regular reports made to Congress and external agencies. This report describes, for that specific reporting period, (1) the implementation of the recommendations by GSA Management contained in audit reports issued by the Office of the Inspector General (OIG), and (2) a report of cases where final action has not been taken on an audit one year after the date of the management decision.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of the fiscal year after the report is issued.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 1949 To 2000</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 1 Years</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>1 MB</td> <td></td> </tr> <tr> <td>Paper</td> <td></td> <td></td> </tr> </tbody> </table>		Estimated Current Volume	Annual Accumulation	Electronic/Digital	1 MB		Paper		
	Estimated Current Volume	Annual Accumulation								
Electronic/Digital	1 MB									
Paper										

Microform		
Hardcopy or Analog Special Media		

1.2

**269.14/011 – Semiannual Management Report to the Congress Records Transfer Reports**

Disposition Authority Number      DAA-0269-2016-0003-0002

This record describes the transfer of specific reports described in 269.14/010 to NARA. This report identifies by fiscal year, which report has been certified as "accessioned to NARA as permanent records" for business reference and recordkeeping purposes.

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

**Disposition Instruction**

Cutoff Instruction                      Cut off at the end of the fiscal year after the report has been issued and replaced by succeeding annual reports.

Retention Period                        Destroy 15 year(s) after cutoff.

**Additional Information**

GAO Approval                            Not Required

1.3

**269.14/021 – Audit Resolution Case Files**

Disposition Authority Number      DAA-0269-2016-0003-0003

This series contains records accumulated for reference and referral to GAO audits and OIG Contract and Internal audits, clearances, responses to queries, and all related audit information. Included are copies of Engagement Letter requests, Audit Memorandums, Draft and Final Audit Reports, implementation resolution documentation, statuses, and all related records and correspondence included in the notification, development, working, implementation, and resolution of the audit lifecycle.

Final Disposition                        Temporary

1.4	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
	GRS or Superseded Authority Citation	NC1-269-87-003 / 29A5/a NC1-269-87-003 / 29A5/b
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of the fiscal year of the case file closing.
	Retention Period	Destroy 10 years after cutoff.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	269.14/022 – Audit Resolution Case File Destruction Report	
	Disposition Authority Number	DAA-0269-2016-0003-0004
	This series is comprised of reports of the destruction of the audit resolution case files to provide a summary reference of archived case files that have been destroyed.	
	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	
<b>Disposition Instruction</b>		
Cutoff Instruction	Cut off at the end of the fiscal year.	
Retention Period	Destroy 10 years after the latest case file destruction in that report.	
<b>Additional Information</b>		
GAO Approval	Not Required	
269.14/031 - Audit Resolution Program Records		
Disposition Authority Number	DAA-0269-2016-0003-0005	

This series is comprised of records associated with the planning, budgeting, and management of the audit resolution program. Included are audit guidance documents, audit summaries for internal use, area audit inspections, administrative topics related to the audit administration program, and related records.

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

GRS or Superseded Authority Citation  
NC1-269-77-001 / 16E15  
NC1-269-82-002 / 16C55  
NC1-269-83-003 / 16F21/a

**Disposition Instruction**

Cutoff Instruction Cut off at the end of the fiscal year when issued, superseded, or canceled.

Retention Period Destroy 3 years after cutoff, or when no longer needed for business reference purposes, whichever is sooner.

**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
04/13/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
10/25/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/01/2016	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
11/02/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
05/11/2017	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/13/2017	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
06/16/2017	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
09/26/2017	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
09/27/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

09/27/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/29/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist