Request for Records Disposition Authority

Records Schedule Number	DAA-0478-2018-0002
Schedule Status	Approved
Agency or Establishment	Office of Personnel Management
Record Group / Scheduling Group	Records of the Office of Personnel Management
Records Schedule applies to	Agency-wide
Schedule Subject	OPM Internal Oversight and Compliance Records Schedule
Internal agency concurrences will be provided	No
Background Information	OPM's office of Internal Oversight and Compliance (IOC) is responsible for overseeing, facilitating and managing a broad spectrum of OPM's audit-type engagements (referred to as audit engagements in this Schedule) including evaluations, inspections, studies and reviews in addition to formal audits. These audit engagements may be focused on OPM's internal operations; OPM's government-wide role in establishing human capital policy, guidance and management; or the compliance of other Federal agencies with human capital laws, regulations and guidelines. The engagements are conducted by several Federal entities including OPM's Office of the Inspector General (OIG), the OIGs of other agencies, the Government Accountability Office (GAO), the Merit System Protection Board (MSPB), and the Internal Revenue Service (IRS). In carrying out this responsibility, IOC collaborates with program office managers and executives to respond to data requests, guides the review and response to reports, tracks the status of open engagements and recommendations, and supports the corrective action planning process that will lead to the closure of open recommendations. IOC's other duties include conducting program reviews of OPM internal operations, supporting the Capital Investment Committee (CIC) process, and coordinating OPM's response to the OIG's Semiannual Reports to Congress.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0478-2018-0002

Sequence Number	
1	Program Files Disposition Authority Number: DAA-0478-2018-0002-0001
2	Audit Engagement Working Files Disposition Authority Number: DAA-0478-2018-0002-0002
3	Audit Engagement Report and Response Files Disposition Authority Number: DAA-0478-2018-0002-0003
4	Program Review Files Disposition Authority Number: DAA-0478-2018-0002-0004
5	Tracking Records and Related Reports Disposition Authority Number: DAA-0478-2018-0002-0005
6	Training and Outreach Files Disposition Authority Number: DAA-0478-2018-0002-0006

Records Schedule Items

Sequence Number	
1	**Program Files**
	Disposition Authority Number: DAA-0478-2018-0002-0001
	These files contain the records relating to the activities of Internal Oversight and Compliance in directing and carrying out the policies, program functions, and responsibilities of the office. These records include, but are not limited to, project and strategic plans; policies, guidance, and procedures; customer satisfaction surveys and supporting documentation; and other related materials.
	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 when superseded or obsolete.
	Retention Period: Destroy 10 years after cutoff or when no longer needed for business, whichever is later.
	Additional Information
	GAO Approval: Not Required
2	**Audit Engagement Working Files**
	Disposition Authority Number: DAA-0478-2018-0002-0002
	The Audit Engagement Working Files pertain to the various types of audit engagements that OPM supports through the work of IOC. These engagements are conducted by a wide range of Federal entities including, but not limited to, OPM's Office of the Inspector General (OIG), OIGs of other agencies, the Government Accountability Office (GAO), the Merit System Protection Board (MSPB), and the Internal Revenue Service (IRS). The records comprising these files include, but are not limited to, notifications received from auditing entities; documentation pertaining to coordination and response preparation, such as

	meeting and research notes, legal review materials, and draft responses to auditing entities; and related documentation.
	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 upon completion of all audit-related activities.
	Retention Period: Destroy 6 years after cutoff or when no longer needed for business, whichever is later.
	Additional Information
	GAO Approval: Not Required
3	Audit Engagement Report and Response Files
	Disposition Authority Number: DAA-0478-2018-0002-0003
	A wide range of Federal entities including, but not limited to, OPM's Office of the Inspector General (OIG), OIGs of other agencies, the Government Accountability Office (GAO), the Merit System Protection Board (MSPB), and the Internal Revenue Service (IRS) conduct audit engagements of OPM's functions and activities. These files document the final steps of the auditing and review process. These records include, but are not limited to, final reports issued by auditing entities; OPM's responses to these reports, such as OPM's responses to GAO audits, to MSPB reports, and to the OPM OIG's Semiannual Reports to Congress; and related documentation.
	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 upon completion of all audit-related activities.
Retention Period	Destroy 15 years after cutoff.

Additional Information

GAO Approval	Not Required

4 **Program Review Files**

Disposition Authority Number	DAA-0478-2018-0002-0004

These files document the activities of IOC personnel in conducting limited-scope reviews of OPM programs. These records include, but are not limited to, notifications to program offices undergoing reviews; meeting and research notes; draft and final reports; and related documentation.

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 upon completion of all review activities.
Retention Period	Destroy 2 years after cutoff or when no longer needed for business; whichever is later.

Additional Information

GAO Approval	Not Required

5 **Tracking Records and Related Reports**

Disposition Authority Number	DAA-0478-2018-0002-0005

IOC tracking records are used to provide the status of OPM's overall audit activity to identify backlogs, priorities and trends. These reports are used in management decision making. These records include, but are not limited to, logs of audit report and program review activities; periodic analyses, such as of trends in the frequency and volume of audits conducted by particular entities, in the frequency with which specific offices or programs are audited or reviewed, and In topics covered by audits and program reviews; reports indicating the status of

recommendation closure, corrective action plans and schedules, and evidence in review to support closure determinations; and related documentation. These records do not include ad hoc reports, which are managed under GRS 4.3, item 030 (DAA-GRS-2013-0001-0005).

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 the end of the fiscal year.
Retention Period	Destroy 20 years after cutoff or when no longer needed for business, whichever is later.

Additional Information

GAO Approval	Not Required

6

Training and Outreach Files

Disposition Authority Number	DAA-0478-2018-0002-0006

These files contain records relating to the training and outreach activities of IOC. These records include, but are not limited to, materials for training new IOC employees; promotional or explanatory materials, such as marketing brochures and Intranet pages; and other related materials.

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 when superseded or obsolete.

Retention Period	Destroy one year after cutoff or when no longer needed for business, whichever is later.
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
02/27/2018	Certify	Bethany Letalien	Management Analyst	Office of the Chief Information Officer - Information Management Division
05/29/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivisit	National Archives and Records Administration - Records Management Services
06/04/2018	Concur	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
06/14/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/15/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist