

Request for Records Disposition Authority

Records Schedule Number **DAA-0411-2015-0001**

Schedule Status **Approved**

Agency or Establishment **Government Accountability Office**

Record Group / Scheduling Group **Records of the Government Accountability Office**

Records Schedule applies to **Agency-wide**

Schedule Subject **Mission Schedule**

Internal agency concurrences will be provided **No**

Background Information **This schedule consists of items added to the GAO Mission schedule (N1-411-06-2).**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0411-2015-0001

Sequence Number	
1	Special Investigations Disposition Authority Number: DAA-0411-2015-0001-0001
2	FraudNet Disposition Authority Number: DAA-0411-2015-0001-0002
3	Mission-related Data Sets Disposition Authority Number: DAA-0411-2015-0001-0003
4	Engagement Management Systems Disposition Authority Number: DAA-0411-2015-0001-0004

Records Schedule Items

Sequence Number						
1	<p>Special Investigations</p> <p>Disposition Authority Number DAA-0411-2015-0001-0001</p> <p>Investigative case files relating to special investigations of fraud, waste, and abuse; evaluations of security vulnerabilities; and other investigative services. Also included are audit documentation records for engagements that include an investigative component. Records include, but are not limited to, requests from Congress, investigation plans, background checks, correspondence, memorandums, reports, background materials, case disposition or referral, and related records.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>N1-411-02-2, item 2.4</td> <td>GAO Records Retention Schedules</td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-411-06-1, item 1.2</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 10 year(s) after case is closed</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>		Manual Citation	Manual Title	N1-411-02-2, item 2.4	GAO Records Retention Schedules
Manual Citation	Manual Title					
N1-411-02-2, item 2.4	GAO Records Retention Schedules					
2	<p>FraudNet</p> <p>Disposition Authority Number DAA-0411-2015-0001-0002</p> <p>Records relating to the FraudNet hotline for reporting allegations of fraud, waste, and abuse, including mismanagement of federal funds. Records include information related to individual complaints or matters, as well as tracking</p>					

information, reports, correspondence, and other records that support the management and operation of FraudNet.

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
N1-411-06-2, item 2.5	GAO Records Retention Schedules

GRS or Superseded Authority Citation N1-411-06-3, item 3.2

Disposition Instruction

Retention Period Destroy or delete after 5 years.

Additional Information

GAO Approval Not Required

Mission-related Data Sets

Disposition Authority Number DAA-0411-2015-0001-0003

Mission-related data obtained from agencies or other entities that are maintained by GAO for data analysis that support multiple engagements, longitudinal studies, or other long-term engagement-related analytical studies. NOTES: (1) Original data sets obtained from agencies for use in a specific engagement and are no longer needed should be returned to the originating agency. (2) Survey-based data issued with GAO products as Technical Appendices or E-Supplements are Permanent records (see Schedule 3, item 3.6).

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

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Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
N1-411-06-2, item 2.6	GAO Records Retention Schedules

Disposition Instruction

Retention Period **Destroy 5 year(s) after termination of data use**

Additional Information

GAO Approval **Not Required**

Engagement Management Systems

Disposition Authority Number **DAA-0411-2015-0001-0004**

Management information systems that support the lifecycle of GAO's engagement process, from Congressional request and acceptance, through product issuance and engagement closeout.

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
N1-411-06-02, item 2.7	GAO Records Retention Schedules

Disposition Instruction

Retention Period **Destroy 10 year(s) after engagement is closed or when associated engagement documentation disposition occurs, whichever is later**

Additional Information

GAO Approval **Not Required**

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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
02/12/2015	Certify	Courtney Hanson	Management Analyst	Infrastructure Operations - Records and Privacy
02/18/2015	Submit for Concurrence	Kate Flaherty	Appraiser	National Archives and Records Administration - Records Management Services
02/19/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
02/23/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/26/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist



NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION
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www.archives.gov

MEMORANDUM

Date: March 20, 2015
To: Memo to the file
From: Kate Flaherty, Supervisor, Appraisal Team 3
Subject: Updates to the N1-411-06-2 Flexible Schedule

In January of 2014, GAO contacted NARA to make several updates to their big bucket records schedule that was approved in 2007. Some of these updates required a new records schedule as they were being moved from one bucket schedule to another or were entirely new electronic systems that could not be fit into existing bucket descriptions.

These series include Special Investigations, originally contained in the Administrative bucket (N1-411-06-1, item 1.2) and the FraudNet system, originally contained in the Policy bucket (N1-411-06-3, item 3.2) that have now being shifted to the Mission bucket with the approval of this schedule. Also included in this schedule are two new electronic series, Mission-related Data Sets and Engagement Management Systems.

All four of these Mission Bucket series have now been approved under DAA-0411-2015-0001.