REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See instructions on page 2)

To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. From (Agency or establishment)
U.S. Government Accountability Office

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
Carol Brock	202/512-3435

LEAVE BLANK (NARA use only)

JOB NUMBER N1-411-06-2

DATE RECEIVED 9/6/2006

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE	ARCHIVIST OF THE UNITED STATES
1/22/07	[signature]

6. 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 on the attached 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required; ☑ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
~~8/12/04~~ 7/20/06	[signature]	Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached schedule for Mission.		

115-109

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

GAO Records Retention Schedules - 2014 Revision

Schedule 2: Mission Schedule (N1-411-06-2)

The mission of the GAO is to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. GAO performs a wide-range of audits in the agency's work and the majority of these engagements are conducted in response to congressional mandates or requests. The engagements include evaluations of federal programs and performance, financial and management audits, and policy analyses. GAO policies and procedures define the records that make up the Mission Schedule. They include audit documentation, data collected from the agencies, research tools, and systems to track and inventory the engagement process and product as well as communications with Congress.

As these records are created and maintained in different media and formats, this records schedule is written to authorize the disposition of the records in any media (media neutral). GAO would maintain these records throughout their life cycle. Those engagements that are historically significant will be transferred to NARA when 20 years old. If the Archives accepts the transfer as an accession, the information would be transferred to NARA electronically.

Item 2.1: Audit Documentation and Engagement Management

Records that include all relevant material (excluding the final report) obtained or developed in connection with managing and conducting an audit assignment, including the evidence (evidentiary files) and documentation to support findings, actions taken, steps and analyses performed, conditions encountered, conclusions reached, recommendations made, and follow-up activities. The records are comprised of two pieces – evidentiary files and the Engagement Management Product Files (EMPF). Engagement documentation may consist of electronic and paper documents, data, databases, data models, artifacts, audio or video materials, photographs, maps, and other evidentiary items.

In addition, GAO follows up on federal agency actions in response to GAO recommendations, and creates case files supporting the accomplishment reports.

Disposition: **TEMPORARY.** Destroy or delete 5 years after engagement is closed.

NOTE: Records for audits that include an investigative component are retained for 10 years (see Item 2.4).

Exception:
Engagement Confidential Respondent Identification Files, consisting of the identity of individuals or organizations providing very sensitive personal or commercial information to GAO in audits where respondents have been given an assurance of confidentiality and any findings, conclusions, and reports will be made at an aggregated level so that no information is attributable to any individual.

Disposition: **TEMPORARY**. Upon verification of non-identifiable information relevant to the audit, the identifying information will be destroyed. (N1-411-03-1, approved 9/23/03)

Item 2.2: Congressional Relations

2.2.a: Records documenting interaction with Congress, such as engagement request and acceptance letters, other correspondence with members and committees, staff details to Congress, schedules of hearings and testimony, and the systems that track significant contact and activities.

Disposition: **TEMPORARY**. Destroy or delete after 7 years.

2.2.b: Records documenting scheduled GAO appearances at Congressional Hearings.

Disposition: **TEMPORARY**. Destroy or delete after 10 years.

Item 2.3: Historically significant engagements, based on the following criteria –

- Established a primary source of information on an issue of far-reaching national or international importance;
- Collected information on matters that are less far-reaching but significant to America's heritage or culture;
- Had a significant impact on GAO, pioneered GAO's entry into an issue of national importance, or laid the groundwork for applying new and/or advanced evaluation methodologies;
- Resulted in extensive national media attention; or
- Resulted in the approval of new legislation by Congress, or substantive changes to existing legislation.
- Special investigations files selected based on significant Comptroller General, public, and/or Congressional scrutiny.

Disposition: **PERMANENT.** Retain for 20 years, then transfer to the National Archives in 5 year blocks when the most recent record in the block is 20 years old, in accordance with regulations and procedures in place at the time of transfer.

ITEM MOVED FROM ADMINISTRATIVE TO MISSION SCHEDULE – old 1.2

Item 2.4: Special Investigations

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.

Disposition: **TEMPORARY.** Destroy or delete 10 years after case is closed.

Disposition authority number DAA-0411-2015-0001-0001

KF 3/20/15

ITEM MOVED FROM POLICY TO MISSION SCHEDULE – Old 3.2 and part of 3.3

Item 2.5: FraudNet

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

Disposition: **TEMPORARY**. Destroy or delete after 5 years.

Disposition authority number DAA-0411-2015-0001-0002

NEW ITEM:

Item 2.6: Mission-related Data Sets

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.

Disposition: **TEMPORARY.** Destroy or delete data 5 years after termination of data use.

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).

Disposition authority number DAA-0411-2015-0001-0003

NEW ITEM:

Item 2.7: Engagement Management Systems

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

Disposition: **TEMPORARY.** Destroy or delete 10 years after engagement is closed, or when associated engagement documentation has been dispositioned, whichever is later.

Disposition authority number DAA-0411-2015-0001-0004

2014 MISSION SCHEDULE CROSSWALK (N1-411-06-2)

Current Schedule Item	Current Description	Disposition	Change/Revision	Description	Disposition
Item 2.1	Audit documentation and engagement management	**TEMPORARY.** Destroy or Delete after 5 years.	*Add clarification of audit documentation formats, from GAO Policy Manual.*	After the sentence "The records are comprised of two pieces – evidentiary files and the Engagement Management and Product File (EMPF)," add: Audit documentation may consist of electronic and paper documents, data, databases, data models, artifacts, audio or video materials, photographs, maps, and other evidentiary items.	No change
Item 2.1	Audit documentation and engagement management-Engagement confidential respondent identification files		*Identify as an exception to 5-year retention. As written, the retention exception is not clear.*	Exception: **Engagement confidential respondent identification files**, consisting of the identity of individuals or organizations providing very sensitive personal or commercial information to GAO in audits where respondents have been given an assurance of confidentiality and that any findings, conclusions, and reports will be at an aggregated level so that no information is attributable to any individual or organization.	**TEMPORARY.** Upon verification of non-identifiable information relevant to the audit, the identifying information will be destroyed. (N1-411-03-1, approved 9/23/2003)

2014 MISSION SCHEDULE CROSSWALK (N1-411-06-2)

Current Schedule Item	Current Description	Disposition	Change/Revision	Description	Disposition
Item 1.2 (Administrative schedule)	Special Investigations	**TEMPORARY.** Destroy or Delete after 10 years.	*Move from Administrative to Mission schedule to reflect restructure of FAIS as a mission team, effective March 1, 2011.* *Also include engagements with an investigative component.*	Item 2.4: **Special Investigations** Investigative case files relating to special investigations of fraud, waste, and abuse; evaluations of security vulnerabilities; and other investigation services. **Also included are audit documentation records for engagements that include an investigative component.**	No change
Item 2.3	Historically significant engagements	**PERMANENT.** Transfer to the National Archives in 5 year blocks when the most recent record in the block is 5 years old, in accordance with regulations and procedures in place at the time of transfer.	*Move historically significant **Special Investigations** from Administrative schedule, Item 1.8, to Mission schedule, Item 2.3.* *Update transfer instructions to 20 years*	Add: • **Special investigations** - files selected based on significant Comptroller General, Public, and/or Congressional scrutiny.	**PERMANENT.** Retain for **20 years**, and then transfer to the National Archives in 5 year blocks when the most recent record in the block is 20 years old, in accordance with regulations and procedures in place at the time of transfer.
Item 3.2 (Policy schedule)	Fraud	**TEMPORARY.** Destroy or Delete after 7 years.	*Move from Policy to Mission schedule and add series description* *Per the business owner, FraudNet records (referrals, summary reports, etc.) are organized and managed in DM by engagement code, with a new code every year. The records are managed as mission workpapers with the standard retention requirement of 5 years.*	Item 2.5: FraudNet 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 information, reports, correspondence, and other records that support the management and operation of FraudNet.	**TEMPORARY.** Destroy or delete after 5 years.

2014 MISSION SCHEDULE CROSSWALK (N1-411-06-2)

Current Schedule Item	Current Description	Disposition	Change/Revision	Description	Disposition
NEW			*Add new item*	Item 2.6: Mission-related Data Sets 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).	**TEMPORARY.** Destroy or delete data 5 years after termination of data use.
NEW			*Add new item*	Item 2.7: Engagement Management Systems Management information systems that support the lifecycle of GAO's engagement process, from Congressional request and acceptance, through product issuance and engagement closeout.	**TEMPORARY.** Destroy or delete 10 years after engagement is closed, or when associated engagement documentation has been dispositioned, whichever is later.

Crosswalk: CRS to Mission Bucket
NARA Job Disposition #: N1-411-97-1

Previous CRS Number	Record Name	Bucket Name	Sub Bucket Name	Retention Was	Proposed Retention	New SF115 Item Number
17	Central Assignment and Payables System (CAPS)	Mission	Audit Documentation	Destroy when no longer needed		Replaced by the Mission Assignment Tracking Schedule (MATS) CRS #27.
18	Congressional Request Tracking System (CRTS)	Mission	Audit Documentation	Destroy when no longer needed		Replaced by the Mission Assignment Tracking Schedule (MATS) CRS #27.
25	Job Information System (JIS)	Mission	Audit Documentation	Destroy when no longer needed	5 Years	2.1
27	Mission Assignment Tracking System (MATS)	Mission	Audit Documentation	Destroy when no longer needed	5 Years	Replaced by the Job Information System (JIS) CRS #25
45	Assignment Authorization Files	Mission	Audit Documentation	3 Years		Included in JIS, CRS #25.

46a	Issue Area Operational Plans, and Job Planning and Scheduling Records (replaced by Team Operational Plans, and Job Planning and Scheduling Records)	Mission	Audit Documentation	Destroy when no longer needed	5 Years	Included in JIS, CRS #25.
46b	Issue Area Operational Plans, and Job Planning and Scheduling Records (replaced by Team Operational Plans, and Job Planning and Scheduling Records)	Mission	Audit Documentation	3 Years	5 Years	2.1
47a(1)	Job Management and Product Files (replaced by Engagement Management and Product Files (EMPF))	Mission	Audit Documentation - Historically Significant - Special	Permanent	Permanent	2.3
47a(2)	Job Management and Product Files	Mission	Audit Documentation - Historically Significant	Permanent	Permanent	Replaced by Engagement Management and Product Files (EMPF)

47b	Job Management and Product Files (replaced by Engagement Management and Product Files (EMPF))	Mission	Audit Documentation	5 Years	5 Years	2.1
48a(1)	Evidentiary Files	Mission	Audit Documentation - Historically Significant	Permanent	Permanent	2.3
48a(2)(a)	Evidentiary Files	Mission	Audit Documentation - Historically Significant	Permanent	Permanent	2.3
48a(2)(b)	Evidentiary Files	Mission	Audit Documentation - Historically Significant	Permanent	Permanent	2.3
48b(1)	Evidentiary Files	Mission	Audit Documentation	5 Years	5 Years	2.1
48b(2)	Evidentiary Files	Mission	Audit Documentation	5 Years	5 Years	2.1
49a(1)	Master Job Files	Mission	Audit Documentation - Historically Significant	Permanent	Permanent	2.3

49a(2)	Master Job Files	Mission	Audit Documentation - Historically Significant	Permanent	Permanent	2.3
49b	Master Job Files	Mission	Audit Documentation	5 Years	5 Years	2.1
50a	Master Product Folders	Mission	Audit Documentation - Historically Significant - Special	Permanent	Permanent	2.3
50b	Master Product Folders	Mission	Audit Documentation	5 Years	5 Years	2.1
51a(1)	Audit Workpapers	Mission	Audit Documentation - Historically Significant - Special	Permanent	Permanent	2.3
51a(2)(a)	Audit Workpapers	Mission	Audit Documentation - Historically Significant - Special	Permanent	Permanent	2.3
51a(2)(b)	Audit Workpapers	Mission	Audit Documentation - Historically Significant - Special	Permanent	Permanent	2.3

51b(1)	Audit Workpapers	Mission	Audit Documentation	5 Years	5 Years	2.1
51b(2)	Audit Workpapers	Mission	Audit Documentation	5 Years	5 Years	2.1
89	Peer Review/Inspection Files (Post-Assignment Review Program Files also includes Peer Review and Inspection Files)	Mission	Audit Documentation	3 Years	5 Years	2.1
152	Congressional Correspondence: Member	Mission	Congressional Relations - Special	6 Years	7 Years	2.2.a
153	Congressional Correspondence: Committee Files	Mission	Congressional Relations - Special	6 Years	7 Years	2.2a
154	Hearing Files (replaced by Congressional Hearing System (CHS))	Mission	Congressional Relations - Special	25 Years	10 Years	2.2b
156	Congressional Detail Files	Mission	Congressional Relations - Special	10 Years	7 Years	2.2a
158	MATS Tracking System	Mission	Audit Documentation	Destroy when no longer needed		Replaced by JIS, CRS # 25.

159	Restriction Release Files	Mission	Congressional Relations	6 Months		Now part of Congressional Relations 2.2.a
288	Job Starts File	Mission	Audit Documentation	2 years		Function now documented in the Audit Documentation Files
290	Program Planning Committee Files	Mission	Audit Documentation	3 Years		Replaced by Engagement Review Meeting (ERM) , 2.1
New Item	Accomplishment Reporting System (ARS)	Mission	Audit Documentation	Unscheduled	5 Years	2.1
New Item	Active Assignment System (AAS)	Mission	Audit Documentation	Unscheduled	5 Years	2.1
New Item	Engagement Reporting System (ERS)	Mission	Audit Documentation	Unscheduled	5 Years	2.1
New Item	Recommendation Follow-up System (Form 66)	Mission	Audit Documentation	Unscheduled	5 Years	2.1
New Item	Congressional Hearing System (CHS)	Mission	Congressional Relations - Special	Unscheduled	10 Years	2.2b

New Item	Congressional Contact System (CCS)	Mission	Congressional Relations - Special	Unscheduled	7 Years	2.2a