

**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  
Carol Brock

5. TELEPHONE  
202/512-3435

LEAVE BLANK (NARA use only)

JOB NUMBER  
21-411-06-3

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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  
6/12/07

ARCHIVIST OF THE UNITED STATES  
Allen Weaver

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 7/20/06  
8/12/04

SIGNATURE OF AGENCY REPRESENTATIVE  
*Carol Brock*

TITLE  
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 GRS OR SUPERSEDED JOB CITATION | 10.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 Policy, Publications and Special Collections. |                                   |                                  |

*SA 6/20/07 copies sent to Agency, NWM, NWM, NWC, NWC*

## GAO Records Retention Schedules - 2014 Revision

### Schedule 3: Policy and Special Collections Schedule (N1-411-06-3)

Policy records document agency policies and policy development, agency origin and organization (including delegations of authority), and decisions and activities of senior executives. By their very nature, they have historical or other value to warrant their continued preservation by the federal government. The Policy Schedule covers GAO directives/orders, GAO decisions (e.g., bid protests and legal opinions, decisions for Congress and decisions on availability and use of appropriated funds), legislative histories, publications, final products and special collections, strategic planning, and agency-wide management initiatives. Publications include GAO reports, testimonies, manuals, Management News, and published legal decisions.

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. The permanent records will be transferred to NARA when 20 years old in accordance with regulations and procedures in place at the time of transfer. Certain categories of permanent records, such as publications, may be transferred sooner than 20 years.

Item 3.1: Legal Decisions and Opinions – *Consolidated with item 3.5*

Item 3.2: Fraud – *Moved to Mission Schedule; see item 2.5*

Item 3.3: Fraud, Regulatory and Oversight Records

*Remove item. Fraud moved to Mission Schedule; Regulatory and Oversight functions obsolete*

Item 3.4: Comptroller General Memberships and Meetings

*Remove item. Maintained with other CG records – all are Permanent; see item 3.6*

Item 3.5a: Legal Decisions and Opinions, Bid Protests, Federal Rules Tracking, General Counsel Docket Tracking, and Policy Support Files

Legal case files (B-files) supporting GAO's legal decisions, opinions, and reports on bid protests, Contract Appeals Board cases, Congressional Review Act Federal Rules Tracking, and other matters of federal law issued by GAO's Office of General Counsel (OGC). Also included are case files for OGC's legal services, legal assistance to engagement work, and General Counsel Docket Tracking.

Policy support files are records related to the development of engagement-related policies and guidance, GAO's quality assurance system, performance measurement, and other special projects related to the engagement management process. These records include draft policy and guidance documents; analysis, discussion, and summary documents that inform policy and guidance enhancements or development; and proposed updates to the Quality Assurance Framework and EAGLE.

Disposition: **TEMPORARY.** Destroy or Delete after 80 years

Item 3.5b: Legal Decisions and Opinions and records supporting Appropriations Law, the Anti-Deficiency Act, the Impoundment Control Act, and Federal Vacancies Reform Act; and Legislative Histories.

Appropriations Law and Anti-Deficiency Act - Case files (B-files) supporting GAO's legal decisions, opinions, and reports relating to matters of federal appropriations law; and records relating to federal agency violations of the Anti-Deficiency Act and GAO's summary reports.

Federal Vacancies Reform Act – Records that support GAO's responsibilities under the Federal Vacancies Reform Act to track and report on vacancies in executive department and agencies positions that require Presidential appointment with Senate confirmation.

Impoundment Control Act – Records relating to GAO's responsibilities and activities monitoring executive branch compliance with the Impoundment Control Act of 1974.

Legislative Histories – a special collection of approximately 20,000 legislative histories for public laws enacted primarily between 1921 and 1995 and selected public laws enacted beginning in 1996. In addition to public laws, committee reports, excerpts from the Congressional Record, bills, and hearings, the legislative histories in this collection may also include internal GAO materials such as comments on bills, internal memoranda, and letters.

Disposition: **TEMPORARY.** Destroy or Delete when no longer needed for GAO business.

Notes: 1) GAO serves as the sole official government repository of records relating to Appropriations decisions and opinions, the Anti-Deficiency Act, the Impoundment Control Act, and Federal Vacancies Reform Act. For this reason, these records are retained indefinitely at GAO. 2) Legislative histories are retained at GAO indefinitely for reference and public access.

Item 3.6: Claims; Comptroller General and Senior Executive Committee Business; GAO History; GAO Products; Orders, Directives, and Manuals; and GAO Management News.

Claims – ~~Case files and other records supporting GAO's settlement of claims filed under the Davis-Bacon Act, Contract Work Hours and Safety Standards Act, and related responsibilities. This item also includes Indian Tribal claims files that are on legal hold.~~

Comptroller General and Executive Committee Business – Records that document the activities of the Comptroller General (CG) and members of the GAO Executive Committee (EC), and that reflect policy decisions affecting agency planning, programs, and operations. The EC is comprised of the CG, Chief Operating Officer, Chief Administrative/Chief Financial Officer, and General Counsel. Also included are calendars and daily activity schedules of the Executive Committee.

This item also includes records relating to GAO's sponsorship and participation in national and international auditing organizations (e.g., INTOSAI), as well as Congressional, intergovernmental, and other special task forces, advisory committees, and forums relating to the mission of GAO.

*These records have been transferred to the Dept. of Labor per Public Law 113-50 March, 2014*

GAO History – Publications, papers, research project files, and other archival materials maintained in the History Program Archives collections.

GAO Products and Publications – GAO reports, testimonies, guidance documents, federal agency major rules reports, published Comptroller General Decisions, opinions, letters, speeches, and other publications and products issued by the GAO.

Orders, Directives, and Policy Manuals – Case files supporting the development, review, and approval of GAO's orders, operational directives, and policy manuals and communications (i.e., EAGLE, policy memos, Quality Assurance Framework).

GAO Management News - An agency publication for the communication of official news to GAO staff.

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.

***NEW ITEM:***

Item 3.7: Policy Boards, Committees, GAO-wide Special Projects

Records that document the activities and decisions of internal policy advisory boards and committees, such as the Professional Practices Advisory Board and the Information Technology Investment Committee. Also included are records related to GAO-wide special projects and management initiatives that affect significant aspects of GAO policies and practices. Records include, but are not limited to, project charters, correspondence, reports, studies, and meeting minutes.

Disposition: **TEMPORARY.** Destroy or Delete after 20 years.

***NEW ITEM: (Expanded from old Item 1.4 Budget component)***

Item 3.8: Planning, Budgeting, and Performance Accountability

Records that document GAO's strategic planning, budgeting, and performance and accountability processes. These activities include long-range planning; annual performance, budget, and resource planning and allocations; performance measurements and accomplishments, and financial information supporting results.

Disposition: **TEMPORARY.** Destroy or Delete after 20 years.

**2014 POLICY SCHEDULE CROSSWALK (N1-411-06-3)**

| <b>Current Schedule Item</b> | <b>Current Description</b>   | <b>Disposition</b>                                     | <b>Change/ Revision</b>  | <b>New Description</b>   | <b>Disposition</b> |
|------------------------------|--|--|--|--|--------------------|
| Item 3.1                     | Legal Decisions and Opinions   | <b>TEMPORARY.</b><br>Destroy or Delete after 6 years.  | Delete item.<br>Consolidated with item 3.5   | See item 3.5   |                    |
| Item 3.2                     | Fraud  | <b>TEMPORARY.</b><br>Destroy or Delete after 7 years.  | Delete item.<br>FraudNet records moved to Mission schedule item 2.5  |  |                    |
| Item 3.3                     | Fraud, Regulatory and Oversight Records<br>No description  | <b>TEMPORARY.</b><br>Destroy or Delete after 10 years. | Delete item.<br>Fraud case files moved to Mission schedule item 2.4;<br>Regulatory and Oversight functions obsolete; related work has been absorbed by mission/ engagement work. (per OGC) |  |                    |
| Item 3.4                     | Comptroller General Memberships and Meetings   | <b>TEMPORARY.</b><br>Destroy or Delete after 20 years. | Delete item.<br>These files are not maintained separately from other CG records  |  |                    |
| Item 3.5a                    | Legal Decisions and Opinions, Bid Protests, Federal Rules Tracking, Policy Backup Files, and General Counsel Docket Tracking | <b>TEMPORARY.</b><br>Destroy or Delete after 80 years. | Add clarifying descriptions for series components; rename Policy Backup to Policy Support  | <b>Legal case files</b> (B-files) supporting GAO's legal decisions, opinions, and reports on bid protests, Contract Appeals Board cases, Congressional Review Act Federal Rules Tracking, and other matters of federal law issued by GAO's Office of General Counsel (OGC). Also included are case files for OGC's legal services, legal assistance to engagement work, and General Counsel Docket Tracking. | No change          |

**2014 POLICY SCHEDULE CROSSWALK (N1-411-06-3)**

| Current Schedule Item | Current Description  | Disposition   | Change/ Revision  | New Description   | Disposition   |
|-----------------------|--|---|---|---|---|
|                       |  |   |   | <p><b>Policy Support Files</b> are records related to the development of engagement-related policies and guidance, GAO's quality assurance system, performance measurement, and other special projects related to the engagement management process. These records include draft policy and guidance documents; analysis, discussion, and summary documents that inform policy and guidance enhancements or development; and proposed updates to the Quality Assurance Framework and EAGLE.</p> |   |
| Item 3.5b             | Legal Decisions and Opinions, Bid Protests, Federal Rules Tracking, Policy Backup Files, and General Counsel Docket Tracking | <b>TEMPORARY.</b> Destroy or Delete after 80 years. | <p><i>Separated out certain legally-mandated records for indefinite Temporary retention</i></p> <p><i>Add clarifying descriptions for series components</i></p> | Legal Decisions and Opinions and records supporting Appropriations Law, the Anti-Deficiency Act, the Impoundment Control Act, and Federal Vacancies Reform Act; and Legislative Histories.  | <b>TEMPORARY.</b> Destroy or Delete when no longer needed for GAO business.   |
|                       |  |   |   | <p><u>Appropriations Law and Anti-Deficiency Act</u> - Case files (B-files) supporting GAO's legal decisions, opinions, and reports relating to federal appropriations law, and records relating to federal agency violations of the Anti-Deficiency Act and GAO's summary reports.</p>   | <p>Note: GAO serves as the sole official repository of records relating to Appropriations decisions and opinions, the Anti-Deficiency Act, the Impoundment Control Act, and Federal Vacancies Reform Act. For this reason, these records are retained at GAO permanently.</p> |

**2014 POLICY SCHEDULE CROSSWALK (N1-411-06-3)**

| Current Schedule Item | Current Description | Disposition | Change/ Revision | New Description  | Disposition   |
|-----------------------|---------------------|-------------|------------------|--|---|
| Item 3.5b (cont.)     |                     |             |                  | <u>Federal Vacancies Reform Act</u> – Records that support GAO’s responsibilities under the Federal Vacancies Reform Act to track and report on vacancies in executive department and agencies positions that require Presidential appointment with Senate confirmation.   |   |
| Item 3.5b (cont.)     |                     |             |                  | <u>Impoundment Control Act</u> – Records relating to GAO’s responsibilities and activities monitoring executive branch compliance with the Impoundment Control Act of 1974.  |   |
| Item 3.5b (cont.)     |                     |             |                  | <u>Legislative Histories</u> – a special collection of approximately 20,000 legislative histories for public laws enacted primarily between 1921 and 1995 and selected public laws enacted beginning in 1996. In addition to public laws, committee reports, excerpts from the Congressional Record, bills, and hearings, the legislative histories in this collection may also include internal GAO materials such as comments on bills, internal memoranda, and letters. | Note: Legislative histories are retained at GAO indefinitely for reference and public access. |

**2014 POLICY SCHEDULE CROSSWALK (N1-411-06-3)**

| <b>Current Schedule Item</b> | <b>Current Description</b>  | <b>Disposition</b>  | <b>Change/ Revision</b>   | <b>New Description</b>  | <b>Disposition</b>   |
|------------------------------|---|---|---|---|--|
| Item 3.6                     | Claims; Comptroller General and Senior Executive Business; GAO History; GAO Products; Impoundment Control Act; Legislative Histories; Orders, Directives, and Manuals; and GAO Management News<br><br>No descriptions | <b>PERMANENT.</b><br>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 | <i>Add clarifying descriptions for series components</i><br><br><i>Removed Impoundment Control Act and Legislative Histories (moved to 3.5b)</i><br><br><i>Update transfer instructions to 20 years</i> | Claims; Comptroller General and Senior Executive Committee Business; GAO History; GAO Products; Orders, Directives and Manuals; and GAO Management News. A description of each of these categories follows.   | <b>PERMANENT.</b> Retain for <b>20 years</b> , 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 3.6 (cont.)             |   |   |   | <u>Claims:</u> Case files and other records supporting GAO's settlement of claims filed under the Davis-Bacon Act, Contract Work Hours and Safety Standards Act, and related responsibilities. This item also includes Indian Tribal claims files that are on legal hold. | No change  |



**2014 POLICY SCHEDULE CROSSWALK (N1-411-06-3)**

| Current Schedule Item | Current Description | Disposition | Change/ Revision | New Description  | Disposition |
|-----------------------|---------------------|-------------|------------------|--|-------------|
| Item 3.6<br>(cont.)   |                     |             |                  | <p><u>Comptroller General and Executive Committee Business</u> – Records that document the activities of the Comptroller General (CG) and members of the GAO Executive Committee (EC), and that reflect policy decisions affecting agency planning, programs, and operations. The EC is comprised of the CG, Chief Operating Officer, Chief Administrative/Chief Financial Officer, and General Counsel. Also included are calendars and daily activity schedules of the Executive Committee.</p> <p>This item also includes records relating to GAO’s sponsorship and participation in national and international auditing organizations, as well as Congressional, intergovernmental, and other special task forces, advisory committees, and forums relating to the mission of GAO.</p> | No change   |
| Item 3.6<br>(cont.)   |                     |             |                  | <p><u>GAO History</u> – Publications, papers, research project files, and other archival materials maintained in the History Program Archives collections.</p>   | No change   |
| Item 3.6<br>(cont.)   |                     |             |                  | <p><u>GAO Products and Publications</u> – GAO reports, testimonies, guidance documents, federal agency major rules reports, published Comptroller General Decisions, opinions, letters, speeches, and other publications and products issued by the GAO.</p>   | No change   |
| Item 3.6<br>(cont.)   |                     |             |                  | <p><u>Orders, Directives, and Policy Manuals</u> – Case files supporting the development, review, and approval of</p>  | No change   |

**2014 POLICY SCHEDULE CROSSWALK (N1-411-06-3)**

| <b>Current Schedule Item</b> | <b>Current Description</b> | <b>Disposition</b> | <b>Change/ Revision</b> | <b>New Description</b>  | <b>Disposition</b>                                  |
|------------------------------|----------------------------|--------------------|-------------------------|---|---|
|                              |                            |                    |                         | GAO's orders, operational directives, and policy manuals and communications (i.e., EAGLE, policy memos, Quality Assurance Framework).   |   |
| Item 3.6 (cont.)             |                            |                    |                         | GAO Management News - an agency publication for the communication of official news to GAO staff.  | No change   |
| NEW                          |                            |                    | <i>Add new item</i>     | Item 3.7: Policy Boards, Committees, GAO-wide Special Projects<br><br>Records that document the activities and decisions of internal policy advisory boards and committees, such as the Professional Practices Advisory Board and the Information Technology Investment Committee. Also included are records related to GAO-wide special projects and management initiatives that affect significant aspects of GAO policies and practices. Records include, but are not limited to, project charters, correspondence, reports, studies, and meeting minutes. | <b>TEMPORARY.</b> Destroy or Delete after 20 years. |
| NEW                          |                            |                    | <i>Add new item</i>     | Item 3.8: Planning, Budgeting, and Performance Accountability<br><br>Records that document GAO's strategic planning, budgeting, and performance and accountability processes. These activities include long-range planning; annual performance, budget, and resource planning and allocations; performance measurements and accomplishments, and financial information supporting results.  | <b>TEMPORARY.</b> Destroy or Delete after 20 years. |