

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-411-97-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/14/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 60C, B-Files (Includes A-Files): Index Cards to A/B Case Files, 1924-1978

Item 68, Waiver Register Files

Item 69, Congressional Correspondence Relating to Claims

Item 127, the GRS item on which this was based is rescinded

Item 245, Catalog Files (Shelflist)

Item 248B, Legislative History Files (Bills enacted into Law), Microfiche copies

Item 248C, Legislative History Files (Bills enacted into Law), Other records

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-411-06-001 supersedes items on 97-001 except those specifically mentioned below.

N1-411-06-002 supersedes 45, 46, 47B, 48, 50 (A1, B1, B2), 51(A1, B1, B2), 89, 151-156, 158, 159, 288, and 290.

N1-411-06-003 supersedes 7, 36-43, 47A1, 52-54, 58, 60A, 61, 75, 76, 78, 80-85, 155, 163, 164, 177, 186-189, 221, 222, 248A, 261A and B, 262, 282-285, and 289. N1-411-06-004 supersedes 60B.

Item 66 is presumed destroyed on September 30, 2001.

DAA-GRS-2016-0016-0001 supersedes item 9.

DAA-GRS-2013-0002-0016 supersedes item 11.

DAA-GRS-2017-0002-0002 supersedes item 12.

DAA-GRS-2013-0007- 0020 supersedes item 136.

DAA-GRS-2017-0007- 0004 supersedes item 198.

DAA-GRS-2013-0006-0005 and /or -0006 supersede item 230.

Obsolete items: 57, 59, 63, 77, 106, 110, 180, 181, 182, 183, 247, and 250. See crosswalks with N1-411-06-001 and N1-411-06-003.

Items not approved on N1-411-97-001: 8, 10, 19, 20, 47A2, 49A2, 50A2, 62, 64, 65,67, 223, 231, 249, 261C.

Non record items: 16, 100, 179, 190, 259, and 266. See crosswalks with N1-411-06-001 and N1-411-06-003.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-411-97-1	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 10-9-97	
1. FROM (Agency or establishment) U.S. General Accounting Office		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.	
2. MAJOR SUBDIVISION Office of Information Mgmt. and Communication			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Carol Hillier, records officer	5. TELEPHONE (202) 512-4525	DATE 5-11-98	ARCHIVIST OF THE UNITED STATES <i>J. W. Carl</i>
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 <u>126</u> 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10/9/97	SIGNATURE OF AGENCY REPRESENTATIVE <i>Carol M. Hillier</i>		TITLE <i>Records Officer</i>
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Comprehensive agency record schedule See attached sheets		

MAY 18 1998 *MNV**Copy to: Agency, NWC, NMV
NWC, NWC, NWC*

**UNITED STATES GENERAL ACCOUNTING OFFICE
Comprehensive Records Schedule**

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Introduction

The United States General Accounting Office

The United States General Accounting Office (GAO), headed by the Comptroller General of the United States, is the investigative arm of Congress and the nation's auditor. GAO seeks to achieve honest, effective management and full accountability throughout the federal government. It serves the public interest by providing members of Congress and others who make policy with accurate information, unbiased analysis, and objective recommendations on the use of public resources in support of the security and well-being of the American people. GAO has identified five areas to which it has assigned the highest priority: promoting a more efficient and cost-effective government; exposing waste, fraud, abuse, and mismanagement; targeting spending reduction to reduce the deficit; improving accountability through financial and information management; and identifying trends with fiscal, budgetary, or oversight consequences for the government.

GAO was established in 1921 with the passage of the Budget and Accounting Act of 1921. The Comptroller General is appointed by the President with the approval of Congress to a 15-year nonrenewable term of office.

Records Management in the General Accounting Office

This Comprehensive Records Schedule identifies ongoing series of records maintained throughout GAO by all operating units and divisions, and provides authorized disposition instructions for all the records created and maintained at GAO. The schedule should be used by all GAO units for records management and disposition activities. The use of this schedule is mandatory in determining when records should be transferred to the National Archives, to the Federal Records Center when it is appropriate, and for authorizing the destruction of temporary records. The records referred to herein are the official record materials, not duplicate copies maintained for convenience or reference purposes.

Records management in the federal government is a statutory responsibility of the Archivist of the United States and the heads of federal agencies, as defined in 44 U.S.C. Chapters 29 and 33. The Federal Records Act, 44 U.S.C. Chapter 33, defines federal records as "all books, papers, maps, photographs, machine readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successors . . ." There are other laws and regulations that govern recordkeeping in the federal government contained in the *Code of Federal Regulations*, the Privacy Act, the Freedom of Information Act, and other statutes. While GAO is not subject to the Freedom of Information Act provisions of 5 USC 552, it follows parallel records access regulations found at 4 CFR Part 81.

Complete and accurate records are needed to: (1) protect the legal, financial, and other rights of the Government and the people; (2) ensure continuity and consistency in administration; (3) assist agency officials and their successors in making informed decisions; and (4) provide the information required by the Congress and others for overseeing agency activities. By creating and maintaining records, officials can (1) reconstruct the development of their own and their predecessors' policies and decisions; (2) furnish their successors with information needed to understand past and current actions; and (3) leave an enduring record of their public service. Federal records must be scheduled, and may not be destroyed without authorization from the Archivist of the United States in the form of an approved disposition instruction. The dispositions approved in this schedule apply to all agency information regardless of the media, physical characteristics, or physical format of the records unless disposition authorization for a specific record media or format is listed separately.

For assistance concerning the disposition of records not listed in this schedule, or for questions concerning the definition of federal records, records management at GAO, the procedures to retire records from active office space to other storage facilities, records destruction procedures, or other records matters contact the GAO Records Officer in the Office of Information Management and Communications (OIMC) Information Services Center.

UNITED STATES GENERAL ACCOUNTING OFFICE
Comprehensive Record Schedule

Chapter I:
Common Records Found Throughout GAO Offices

This chapter of the Comprehensive Records Schedule describes common records that may be located throughout GAO. The dispositions in this chapter apply wherever records performing the function or functions described below are found regardless of the organizational unit, division, or the physical location of the records in GAO. In some instances, specific offices are identified as the office of record or the official custodial office, and disposition instructions for records in those specific offices are provided.

1. Time and Attendance Records

Copies of GAO Form 484, or the equivalent, maintained in GAO offices and used to record daily time and attendance for submission to the National Finance Center (NFC). The NFC maintains the GAO time and attendance/payroll system, and the original copy of individual employee time sheets is filed in each timekeeper's unit. [See also "Personal Computer Time/Attendance Remote Entry (PC-TARE)" system records in Chapter II.]

AUTHORIZED DISPOSITION:

- a. Official record set (white copy): Destroy when 6 years old, or after audit, whichever is sooner. {GRS 2, Item 7}
- b. All other copies: Destroy when 2 years old or when no longer needed for current agency business, whichever is sooner. {N1-411-95-1, Item 011-72b}

2. Government Credit Card Files

Records relating to credit cards used by agency personnel for publications, telecommunications services, or similar uses. Files include billing statements, invoices, late payment notices, and similar records related to the use of government credit cards issued by contractors. Files are supporting documentation to approved invoices forwarded to Financial Management for payment.

AUTHORIZED DISPOSITION: Destroy 6 years and 3 months after the period covered by the account. {GRS 6, Item 1a}

3. “Chron” or Reading Files

Duplicate copies of official correspondence such as outgoing letters, memorandums, reports, or other records that are arranged chronologically and maintained solely for reference purposes.

AUTHORIZED DISPOSITION: Destroy when 3 years old or when no longer needed for current agency business, whichever is sooner. {Nonrecord}

4. Transitory Files

Records that require no official action such as transmittal letters and routine requests for information and replies that do not involve administrative or policy decisions, and no compilations of information or research.

AUTHORIZED DISPOSITION: Destroy when 90 days old or when no longer needed for current business, whichever is sooner. {GRS 23, Item 7}

5. General Administrative Subject Files

Records in individual offices related to the internal administration or housekeeping activities of the office. The records relate to day-to-day office administration such as office organization, staffing, procedures and communications; division level budget expenditures and budget submissions; space management records; office supplies; contractor office equipment service records; building and equipment service records; personal property management records; copies of office equipment maintenance agreements; work progress reports; employee suggestions; employee training and travel policies and procedures; division-level procurement records, and the like. Usually arranged alphabetically by subject.

NOTE: These records do not serve as unique documentation of GAO program offices. Refer to specific functional chapters of this manual for the disposition of unique program records.

AUTHORIZED DISPOSITION: Close inactive files annually and destroy when 2 years old. {GRS 23, Item 1}

6. Calendars, Daily Activity Schedules, and Appointment Books

Electronic and hardcopy calendars, appointment books, meeting schedules, dairies, and similar records of daily activities, telephone calls, meetings, trips, office visits, or other activities of GAO employees that document official agency business.

AUTHORIZED DISPOSITION: Destroy hardcopy or electronic records when 2 years old. {GRS 23, Item 5}

NOTE: This disposition does not include calendars, appointment books, and daily activity schedules of the Comptroller General, Assistant Comptrollers General, Special Assistants, General Counsel, Director of the Office of Special Investigations, and Counselor to the Comptroller General. Refer to Chapter III, Office of the Comptroller General, for the disposition of calendars, daily schedules, and appointment books of these senior agency officials.

7. GAO Directives and Administrative Issuances

GAO Operations Manual, GAO-wide Orders and Notices, Bulletins, Administrative Issuances, official organization charts, administrative procedures manuals, and other GAO-wide directives. The official record set of the GAO Operations Manual and all GAO Directives and Administrative Issuances is maintained in the Office of the Assistant Comptroller General for Operations.

AUTHORIZED DISPOSITION:

- a. **Official record set:** PERMANENT. Close files when superseded and retire to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {N1-411-95-2, Item 1}
- b. **All other copies:** Destroy when superseded, obsolete, or when no longer needed for current agency business. {GRS 16, Item 1a}
- c. **Case files (record set).** PERMANENT. Close files when superseded and retire to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {N1-411-95-2, Item 1}

8. Reserved.

9. Routine Electronic Spreadsheets

Electronic spreadsheets generated to support housekeeping and administrative functions or which are generated by an individual as background materials or feeder reports which are not created or maintained as part of GAO evaluations and audits.

AUTHORIZED DISPOSITION: Delete noncurrent records when 2 years old or when no longer needed, whichever is sooner. {GRS 23, Item 1}

NOTE: Refer to Chapter IV, Division and Special Studies Records, and other chapters or this schedule for the disposition of individual record series that may include both electronic and hardcopy spreadsheets such as Job Management and Product Files, Audit Workpapers, and Evidentiary Files.

10. Reserved.

11. Routine Control and Tracking Databases or Logs

Logs, registers, databases, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction in this schedule, the General Record Schedules, or other NARA-approved SF 115.

AUTHORIZED DISPOSITION: Destroy or delete when no longer needed. {GRS 23, Item 8}

NOTE: This disposition does not apply to control and tracking systems, indexes, or electronic databases that are permanently valuable, or that might be used as an index or finding aid for other permanently valuable records listed elsewhere in this schedule.

12. Routine Mailing Lists

Lists of names and addresses of individuals, government agencies, companies, and similar organizations that regularly conduct business with GAO, or that subscribe to GAO subscription or distribution services. Records may be maintained in both hardcopy or electronic form.

AUTHORIZED DISPOSITION: Destroy, revise, update, or delete as needed for current agency business. {GRS 13, Item 4}

13. GAO Employee Travel Files

Copies of correspondence, memorandums, travel vouchers, requests for travel, travel authorizations, trip reports, travel reimbursement records, and similar records maintained outside of the GAO Travel Office (or designated Field Offices) relating to employee travel for official agency business.

AUTHORIZED DISPOSITION: Destroy when 2 years old or when no longer needed for current agency business, whichever is sooner. {GRS 23, Item 1}

14. GAO Employee Training Files

Correspondence, memorandums, reports, training forms, and other records that are maintained outside a supervisor's personnel file (see below) and which document employee participation or attendance in GAO, other government agency, or non-governmental training programs.

AUTHORIZED DISPOSITION: Destroy when 5 years old, or when superseded or obsolete, whichever is sooner. {GRS 1, Item 29b}

15. Supervisor's Personnel Files

Copies of personnel records including job applications, position descriptions, personnel actions, training records, performance plans and evaluations, records of illness or injuries, and similar records that are maintained by an employee's supervisor. These records do not substitute for the Official Personnel File which is maintained in the Personnel Office.

AUTHORIZED DISPOSITION: Review annually and destroy superseded or obsolete documents, or destroy files 1 year after employee separation or transfer. {GRS 1, Item 18a}

16. Reference Materials, Library Materials, and Stocks of Blank Forms

Nonrecord and duplicate copies of books, catalogs, manuals, reports, newsletters, professional journals, reprints, trade catalogs, and other similar materials that are maintained solely for the convenience of reference.

AUTHORIZED DISPOSITION: Destroy when superseded, obsolete, or no longer needed for current agency business. {Nonrecord}

Chapter II: GAO Agency-Wide Information Systems

This chapter of the schedule covers both electronic and hardcopy records created using GAO mainframe, stand-alone, and network computer systems. The Office of Information Management and Communications (OIMC) maintains these computer systems with the GAO organizational unit responsible for the specific function of the system. The dispositions for computer reports and hardcopy outputs may be applied throughout GAO organizational units unless the reports or hardcopy outputs are specifically listed in other chapters of the schedule, or serve another purpose or function than that described below.

17. Central Assignment and Payables System (CAPS)

The Central Assignment and Payables System (CAPS) was the agency's assignment management system from 1979-1990, and was replaced by the Mission and Assignment Tracking System (MATS) in 1991. Archival ASCII files from CAPS are maintained on tape at the House Information Resources for historical analysis and administrative purposes. The information contained on these tapes reflects personnel assignments, budget allocations, and resource allocations during the operational life of CAPS.

AUTHORIZED DISPOSITION: Delete after the expiration of the retention period authorized by the GRS, or when no longer needed for administrative, legal, audit, or other operational purpose, whichever is later. {New item}

18. Congressional Request Tracking System (CRTS)

This system was used to track the status of jobs requested by Congress. The system was replaced in FY 1991 by MATS. CRTS tapes contain information dating from 1979 to 1990 stored in ASCII files.

AUTHORIZED DISPOSITION: Update as needed for current agency business, or delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

19. Data Collection and Analysis (DCA) - PCDocs System

The Data Collection and Analysis (DCA)-PCDocs System is an integrated document management and network storage system that provides GAO evaluation units with a uniform method of creating, filing, accessing, sharing, and revising GAO electronic documents, workpapers, and evaluation reports. DCA-PCDocs provides access to job files and the ability to search and retrieve information from GAO evaluations for analysis and/or to develop new products. DCA allows users to electronically prepare and transmit workpapers and products for review and comment, and to track the progress of the job assignment. DCA also provides evaluators with the capability to record interview results and to index and reference workpapers, and provides access to GAO and Unit guidance, procedures, policies, checklists, and electronic forms.

DCA-PCDocs is also used by GAO administrative and support units to create and store both unique program and routine administrative records using the office automation applications. Usually, these electronic records are printed out and placed in organized office files, and the electronic records are not maintained by GAO for recordkeeping purposes.

~~AUTHORIZED DISPOSITION:~~

- ~~a. If the electronic records are printed out and maintained in organized office files that are listed elsewhere in this schedule or other NARA-approved SF-115:~~

~~Update as needed for current agency business, or delete electronic when no longer needed for reference or other operational purposes. {New item}~~

- ~~b. If the electronic records are the only official records and are not printed out or maintained in organized office filing systems:~~

~~Follow the disposition instructions for individual record series listed elsewhere in this schedule, or as authorized for disposal by the General Record Schedules or other NARA-approved SF-115.~~

~~NOTE: Electronic records must be stored and maintained in accordance with the guidelines and functional requirements of electronic recordkeeping systems established by the National Archives and Records Administration, and other requirements published in 36 CFR 1228.~~

20. Electronic records which comprise GAO's online "Knowledge Base"

Selected electronic records created using the DCA-PCDocs system or other office automation applications consisting of completed GAO audit reports, audit workpapers, referenced workpapers, reviews and concurrences, special GAO studies, and similar records. These records may be retained for official GAO recordkeeping purposes, replacing organized hardcopy records such as the Master Product Folders, Audit Workpapers, Referenced Workpapers, reviews and concurrences, or Master Job Files.

AUTHORIZED DISPOSITION:

- ~~a. When used for reference purposes or to produce hard copy records that are officially maintained in organized files that are scheduled in other chapters of this manual.~~

~~Delete when no longer needed to produce hard copy or for reference purposes, or when 20 years old, whichever is sooner. {New item}~~

- ~~b. When maintained only in electronic form for official recordkeeping purposes, and are stored in an approved electronic recordkeeping system.~~

~~Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF-115 or when 20 years old, whichever is sooner. If the electronic records replace hard copy with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired. {New item}~~

21. Financial Management System (FMS)

This Federal Financial System (FFS) is a commercial software application package that supports all the basic accounting and financial management requirements of a Federal agency. GAO uses a customized version of the FFS software and refers to it as the FMS. FMS has eight major functions: Budget Execution, Accounts Payable, Automated Disbursements, Accounts Receivable and Collections, General Ledger, Document Tracking, External Recording, Purchasing, and Travel. FMS has been operational since October 1986.

AUTHORIZED DISPOSITION:

- a. Electronic records that replace hardcopy records already scheduled for disposal by the General Record Schedules, this schedule, or other NARA-approved SF-115.

Delete after the expiration of the retention period authorized for the hardcopy file.
{New item}

NOTE: Accountable officer's account records are required by GRS 6, Item 1a to be retained for 6 years and 3 months after the period covered by the account.

- b. When hardcopy records are retained to meet GAO recordkeeping requirements.

Update as needed, and delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

22. Human Resources Information System (HRIS)

HRIS is a unit-based system for acquiring, storing and disseminating human resources information throughout GAO. HRIS supports Personnel, Staffing, Performance Appraisal, Training and Awards operations. HRIS interfaces with other agency applications such as the National Finance Center Payroll/Personnel System (NFC-P/P), Mission Assignment Tracking System (MATS), Registrar (the GAO training registration system), and generates standard GAO forms.

AUTHORIZED DISPOSITION:

- a. Electronic records that replace hardcopy records already authorized for disposal by the General Record Schedules or this schedule.

Delete after the expiration of the retention period authorized for the hardcopy file, or when no longer needed, whichever is later. {New item}

- b. When hardcopy records are retained to meet GAO recordkeeping requirements.

Delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

23. Information Handling and Support Facility (IHSF) System

The IHSF is an integrated information handling facility which supports GAO's programmatic needs. Functions are performed by the following components:

Document Handling and Information Services (DHIS). The DHIS component abstracts and indexes GAO documents, including reports, letters, testimonies, and speeches, and maintains this information in an online database for search, retrieval, and report

preparation. Requests for copies of GAO documents and reference research on the GAO Documents Bibliographic Database are fulfilled at this facility. User files, inventory control of document stocks, automated report production, and the GAO Thesaurus are maintained here.

Records Management Support. This program provides automated assistance in classification, storage, and retrieval of information about forms and directives, and records disposal.

Planned Distribution of GAO Publications. This function provides for the initial and subsequent distribution of GAO Publications and for special publications. Many of these publications are later processed as documents in the DHIS database and supplied in response to requests from DHIS.

Locator System. The IHSF-Locator produces GAO mailing lists and the GAO telephone directory. IHSF receives a file extracted from the NFC-P/P host that contains employee data for these purposes.

AUTHORIZED DISPOSITION: Update as needed for current agency business, or delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

24. Integrated Reports Distribution System (IRDS)

A stand alone PC based scheduling system which manages reports issuing from various GAO systems such as MATS and FMS. IRDS stores information on what reports are produced, how often each report gets produced, and who receives copies of each report.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business. {New item}

25. Job Information System (JIS)

JIS is a network-based mission-related application that assists the GAO Evaluators-In-Charge (EIC) in collecting job-related information and producing reports required by GAO's Job Starts Group, and producing the MATS Job Initiation Report. JIS also provides an interface with the Research Notification System to report to the Congress on the nature and status of GAO's audit assignments.

AUTHORIZED DISPOSITION: Update as needed for current agency business, or delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

26. Microcomputer Annual Assessment System (MAAS)

The Microcomputer Annual Assessment System is a system developed to assist GAO units in making promotion determinations for Band II and III positions. It automates some steps in annual Merit selection.

AUTHORIZED DISPOSITION: Update as needed for current agency business, or delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

27. Mission Assignment Tracking System (MATS)

MATS consists of many subsystems which maintain and process GAO administrative tracking information for use by GAO Offices, Divisions, and Regions in managing their assignments and staff resources. MATS provides GAO administrative tracking information relating to staff resources, and the system extracts information from the NFC host computer to project staff levels for budgeting by Senior Division and Field Management. MATS also collects data related to GAO's audit assignments (jobs), and provides GAO organizations with management statistics and reports for analysis and planning. The system also tracks actions relating to congressional correspondence. Systems that use or supply data to MATS are Job Information System, the Director Management Information System, the Data Distribution System, and the NFC Payroll/Personnel System.

AUTHORIZED DISPOSITION: Update as needed for current agency business, or delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {GRS 23, Item 8}

28. NFC Payroll/Personnel System (NFC-P/P)

The system performs GAO's basic personnel and payroll services and functions. The National Finance Center, New Orleans, LA operates and maintains the system. GAO units provide input data to NFC using PC-TARE, PFPCS, and other administrative payroll and personnel systems.

AUTHORIZED DISPOSITION:

- a. Electronic records that replace hardcopy records already authorized for disposal by the General Record Schedules or this schedule.

Delete after the expiration of the retention period authorized for the hardcopy file, or when no longer needed, whichever is later. {New item}

- b. When hardcopy records are retained to meet GAO recordkeeping requirements.

Delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

29. Procurement and Contract Management System (PCM)

PCM is used by OIMC to track requests for purchases related to ADP services and equipment.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business. {New item}

30. Personal Computer Time/Attendance Remote Entry (PC-TARE)

PC-TARE is used to transmit ^{data from paper} all GAO T&A records to the NFC host. PC-TARE is also used to process late and corrected T&A records which did not get posted through the regularly scheduled process.

AUTHORIZED DISPOSITION:

- a. Electronic records that replace hardcopy records already authorized for disposal by the General Record Schedules or this schedule.

Delete after the expiration of the retention period authorized for the hardcopy file, or when no longer needed, whichever is later. {New item}

NOTE: Time and Attendance source and input records are required by GRS 2, Items 7 and 8 to be retained for 6 years after the period covered by the account.

- b. When hardcopy records are retained to meet GAO recordkeeping requirements.

Delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

31. Pay for Performance Compensation System (PFPCS)

PFPCS provides bonus and permanent pay increase transactions to the NFC-P/P application on the NFC host.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business.
{New item}

32. Property Management Information System (PMIS)

PMIS tracks and controls the current status of GAO accountable property such as furniture, office equipment, computers, supplies, vehicles, and other government owned or leased property that is not real estate.

AUTHORIZED DISPOSITION:

- a. Electronic records that replace hardcopy records already authorized for disposal by the General Record Schedule or this schedule.

Delete after the expiration of the retention period authorized for the hardcopy file, or when no longer needed, whichever is later. {New item}

NOTE: Accountable Officer's records are required by GRS 6, Item 1a to be retained for 6 years and 3 months after the period covered by the account.

- b. When hardcopy records are retained to meet GAO recordkeeping requirements.

Delete electronic records when no longer needed for administrative, fiscal, legal, audit, or other operational purposes. {New item}

33. Payroll/Personnel Management Reporting System (PPMRS)

PPMRS prepares reports from personnel information downloaded biweekly from the NFC-P/P application. It also creates a tape of current GAO employee information.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business.
{New item}

34. Time and Attendance System (TANDA)

The TANDA application collects, consolidates, and reports on the T&A records entered via the PC-TARE application before loading to the NFC-P/P system for processing.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business after TANDA records submitted to NFC-P/P system have been verified and authenticated. {New item}

NOTE: Time and Attendance source and input records are required by GRS 2, Items 7 and 8 to be retained for 6 years after the period covered by the account.

35. Registrar

Registrar, the GAO training registration system, is used to monitor the availability of internal training courses and provide online registration. Registrar maintains records of participants, training courses, class schedules, registration, attendance, and course evaluations. Registrar receives input of current GAO employee information. The current year and one prior year are kept online, and then transferred to a tape file.

AUTHORIZED DISPOSITION:

- a. Tape files:** Close files at the end of each FY and delete or scratch tapes 5 years after closure. {New item}
- b. Printouts and reports:** Close files at the end of each FY and destroy when 3 years old. {New item}

**Chapter III:
Office of the Comptroller General**

36. Comptroller General's Correspondence Subject Files

Correspondence, memorandums, and related materials which document activities of the Comptroller General, and reflect policy decisions affecting agency planning and programs.

AUTHORIZED DISPOSITION: PERMANENT. Close files annually at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

37. Comptroller General's Subject Files

Subject files maintained by the agency head that contain information concerning policies, procedures, and operations of the Office of the Comptroller General; briefing and agenda materials; and general subject files dealing with GAO work and governmental matters such as financial management in the government, defense issues, and the like.

AUTHORIZED DISPOSITION: PERMANENT. Close files annually at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

38. Comptroller General's Membership Subject Files

General subject files pertaining to professional organizations, committees, or advisory councils on which the Comptroller General served as a member. The records contain premeeting and preconference distribution materials, agendas, brochures or other information pertaining to unattended meetings, and newsletters and routine correspondence which does not pertain to official GAO policies, actions, and programs.

AUTHORIZED DISPOSITION: Close inactive files at the end of each CY and transfer to the FRC 3 years after closure. Destroy 15 years after closure. {New item}

39. Meeting/Trip Files

Meeting/Trip files consist of professional organization conference or meeting handouts, materials circulated, distributed, or prepared for the meetings such as issue papers,

briefing books and reports, meeting and conference agendas, speeches and addresses, handwritten notes, and correspondence related to non-GAO sponsored meetings attended by the Comptroller General.

AUTHORIZED DISPOSITION: Close files at the end of each CY and transfer to the FRC. Destroy 20 years after closure. {New item}

40. Testimony of the Comptroller General

One copy of each official testimony of the Comptroller General and Assistant Comptroller Generals before Congressional committees or other public hearings.

NOTE: One copy of each testimony is sent to OIMC for entry into the GAO Document Database, and are microfilmed as a part of the permanently valuable microfiche set of "GAO Documents--Publications Files."

AUTHORIZED DISPOSITION: Destroy when no longer needed. {New item}

41. Calendars, Daily Activity Schedules, and Appointment Books of the Comptroller General and Senior Staff

Calendars, appointment books, meeting schedules, dairies, and similar records of daily activities, meetings, trips, office visits, or other activities of the Comptroller General, Assistant Comptrollers General, Special Assistants, General Counsel, Director of Office of Special Investigations, and Counselor to the Comptroller General.

AUTHORIZED DISPOSITION:

a. Electronic calendars and schedules

Print out the daily or weekly schedule and place in organized hardcopy filing system. Delete electronic files when no longer needed for current business. {New item}

b. Printouts of electronic calendars or other hardcopy records

PERMANENT. Close files at the end of the CY and transfer to the FRC in five-year blocks. Transfer to the National Archives when 20 years old. {N1-411-90-6, Item 1}

42. Professional Organization and Special Consultant Panel Records

Records relating to GAO's sponsorship and participation in national and international auditing organizations such as the International Organization of Supreme Audit Institutions (INTOSAI), the related International Congress of Supreme Audit Institutions (INCOSAI), special consultant panels such as the Comptroller General's Consultant Panel, the Research and Education Advisory Panel, and the Advisory Council on Government Auditing Standards (the "Yellow Book") that may be called by the Comptroller General.

NOTE: The disposition of records of specific national and international organizations that are maintained by GAO are covered in Chapter XV.

AUTHORIZED DISPOSITION:

- a. Minutes of meetings, histories, agendas, and conference proceedings or other publications that document substantive GAO participation and involvement:

PERMANENT. Close files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {NC1-217-82-1, Item 015-14a}

- b. All other records including nonrecord reference materials and publications that do not reflect substantive GAO involvement such as newsletters, drafts and manuscripts, and editing records:

Destroy when 5 years old or when no longer needed for current agency business, whichever is sooner. {New item}

43. GAO Annual Report Files

Workpapers created in the preparation of the Annual Report of the Comptroller General. Includes feeder reports made by other offices as input.

AUTHORIZED DISPOSITION: Close files at the end of the FY covered by the report and destroy 2 years later. {New item}

NOTE: The official copy of the Comptroller General's Annual Report is included as part of the permanently valuable microfiche set of "GAO Documents--Publications Files."

Chapter IV: Division and Special Studies Records

The dispositions listed in this chapter cover records that are created and maintained primarily in GAO operating divisions and field offices. The records listed in this chapter may be created, received, and maintained in various formats and media: hardcopy, electronic, photographic, etc. At the conclusion of an audit or special study, it is important for GAO divisions and offices to determine which format is the most appropriate for GAO recordkeeping requirements, particularly for records with long-term (more than 5 years) or permanent value.

44. Division Correspondence and Program Subject Files

Correspondence, memorandums, reports, studies, and similar records that pertain to the overall administration and management of GAO divisions. Records may include multi-year planning files, financial management and budgeting records, travel records, FMS and Security reports, staff training files, internal and external correspondence, division-wide or GAO-wide policy and procedures, supervisor's personnel folders, employee performance evaluations and assessments, and the like. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

45. Assignment Authorization Files

GAO Form 300 (MATS Job Initiation Report), or its equivalent, and other documents providing authority to start new assignments, including all documents revising the original job start authority.

AUTHORIZED DISPOSITION: Close files when the final report is completed and destroy 3 years after closure. {NC1-217-82-1, Item 090-04}

46. Issue Area Operational Plans, and Job Planning and Scheduling Records

Operational plans prepared by each division/office for review and approval by the Program Planning Committee, resource projections, long-term and short-term planning records, and related studies, reports, and records.

AUTHORIZED DISPOSITION:

a. Program plans:

Destroy when superseded, obsolete, or no longer needed for current agency business. {NC1-217-82-1, Item 090-02a and b, and 090-06}

b. Background records and workpapers supporting the final operational plans

Close files at the end of each FY and destroy 3 years after closure. {NC1-217-82-1, Item 090-02a and b, and 090-06}

47. Job Management and Product Files (Jobs completed after January 1, 1997)

Job Management and Product Files document key events and decisions affecting the assignment and the preparation of the final product. This record series replaces the Master Product Folder and Master Job Files for all jobs completed after January 1, 1997.

The Job Management and Product File is created at the outset of an assignment and may be maintained in either hard copy or electronically in DCA in accordance with Chapter 11 of the *General Policies/Procedures Manual* (rev. December 1996). The file is divided into six sections: (1) job initiation, (2) job planning and commitment, (3) product development and review, (4) job administration, (5) evidentiary information indexing system, and (6) bulk files index. Records that must be retained in hard copy as part of the official record are: request letter(s), the original of significant correspondence received in connection with the assignment, the draft sent to the agency and the comments received, the action routing slip (GAO Form 319) for the final product, the final product, and the overall index for the Evidentiary Files.

AUTHORIZED DISPOSITION:

a. Historically significant Job Management and Product Files such as those which:

- 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;

- resulted in the approval of new legislation by Congress, or substantive changes to existing legislation.

NOTE: The final determination of the value of these records rests with NARA. Files found not to have research value will be returned to the agency or destroyed, depending on GAO's instructions as per Job No. N1-411-90-8, approved 8/12/91.

(1) Hardcopy records:

PERMANENT. Close files after completion of the assignment and transfer to the FRC 1 year after closure. Transfer to the National Archives 20 years after closure. {N1-411-90-08, Item 090-10c(1)}

- (2) Electronic records retained for official GAO recordkeeping purposes that replace hardcopy records usually included in Job Management and Product Files. These records must be maintained in a format that is accessible on GAO computers and should be reformatted periodically in order to maintain retrievability and readability.

~~PERMANENT. Transfer to the National Archives in accordance with regulations located in 36 CFR 1234 with the selected hardcopy Job Management and Product Files listed above. {New item}~~

b. All other Job Management and Product Files (hardcopy or electronic)

Close files after completion of the assignment and transfer to the FRC 1 year after closure. Destroy 5 years after closure. {N1-411-93-1, Item 090-10b}

48. Evidentiary Files (Jobs completed after January 1, 1997)

Evidentiary Files consist of workpapers, such as memoranda of interviews, schedules, agency databases, as well as agency documents, which are gathered throughout the course of an assignment and are maintained with the Job Management and Product Files listed above. These files may be maintained in hard copy or electronically in DCA in accordance with Chapter 11 of the *General Policies/Procedures Manual* (rev. December 1996). The workpaper set for each job includes documents that describe decisions and events relevant to the administration and performance of the assignment and development of the assignment product, regardless of product type. This record series replaces Audit Workpapers for all jobs completed after January 1, 1997.

AUTHORIZED DISPOSITION:

a. Historically Significant Evidentiary Files:

Selected records retained by GAO under a program established by the GAO Historian. GAO is responsible for selecting all Evidentiary Files and workpapers in both agency space and in the FRC in accordance with letter 2/13/92 from NARA to GAO and included in Job No. N1-411-93-1, approved 1/15/93.

(1) Hardcopy records:

Close files after completion of the assignment and transfer to the FRC 1 year after closure. Offer to the National Archives 20 years after closure.

NARA will make a final determination of archival value. If the records are not accepted by the National Archives, the records will returned to GAO or destroyed depending on GAO instructions. {N1-411-93-1, Item 090-16c(1)}

(2) Electronic records used to create hardcopy records

- (a) Spreadsheets and word processing records such as letters, messages, reports, handbooks, directives, manuals, and project management and control systems that are printed out and placed in hardcopy files described under (1) above.**

Delete when no longer needed to create a hard copy. {New item}

- (b) Audit Databases containing information (usually used to produce various data sets) about the programmatic activity being audited.**

Maintain information in a format that is accessible on GAO computers, and reformat periodically in order to maintain retrievability and readability. Offer to the National Archives 20 years after completion of the project. {N1-411-91-4, Item 90-16c(1)}

NOTE: NARA will make a final determination of archival value. If not accepted by NARA, GAO may destroy the records when no longer needed for current agency business.

b. All other Evidentiary Files:

- (1) Hardcopy records: Close files after completion of the assignment and transfer to the FRC. Destroy 5 years after closure. {N1-411-93-1, Item 090-16a}
- (2) Electronic records such as spreadsheets and word processing documents maintained in an approved electronic recordkeeping system.

Delete or destroy 5 years after completion of the project. {New item}

49. Master Job Files (Jobs completed on or before December 31, 1996)

The primary file for each GAO assignment describing the decisions and events that affected the assignment and the final product. The case file includes confirmation letters, tracking forms, assignment plans, summaries of job-related meetings, work progress reports, trip reports, correspondence, workpaper summaries, and similar records that are not maintained in the Master Product Folder listed below. This series covers only those jobs completed on or before December 31, 1996.

AUTHORIZED DISPOSITION:

- a. Historically significant assignments selected by GAO staff, such as those resulting in extensive national media attention; approval of new legislation by Congress; or substantive changes to existing legislation.

NOTE: the final determination of the value of these records rests with NARA. Files found not to have research value will be returned to the agency or destroyed, depending on GAO's instructions as per Job No. N1-411-90-8, approved 8/12/91.

- (1) Hardcopy records:

PERMANENT. Close files at the end of each FY when the job is completed and transfer to the FRC 1 year after closure. Offer to NARA in 5-year blocks when 20 years old. NARA will make a final determination of historical value of the records following this offer. {N1-411-90-8, Item 090-08b}

- (2) Electronic records retained for official GAO recordkeeping purposes that replace hardcopy records usually maintained in Master Job Files.

~~PERMANENT. Transfer to the National Archives with the Master Job File in Item (1) above. {New item}~~

- b. All other records (hardcopy and electronic)

Close files at the end of each FY when job is completed and transfer to the FRC 1 year after closure. Destroy 5 years after closure. {N1-411-93-1, Item 90-08a}

50. Master Product Folders (Jobs completed on or before December 31, 1996)

The official file of GAO's products (audit reports, fact sheets, briefing reports, management letters, correspondence, testimony, and similar records) that include the developmental history of the product through the final issuance. The case files include a referenced draft, referencer's review sheets, reviewed drafts, draft report clearance statements, written agency comments, pertinent job correspondence, memorandums summarizing results of exit conferences, and the signature package including the routing slip and the agency's response as required by 31 U.S.C. 720. These files are maintained in the unit responsible for the assignment, but do not include the camera copy of the product maintained in the Publishing and Communications Center (PCC). This series was previously known as Master Report Folders, and covers only those jobs completed on or before December 31, 1996.

- a. Historically significant Master Product Folders such as those resulting in extensive national media attention, approval of new legislation by Congress, or substantive changes to existing legislation.

NOTE: The final determination of the value of these records rests with NARA. Files found not to have research value will be returned to the agency or destroyed, depending on GAO's instructions as per Job No. N1-411-90-8, approved 8/12/91.

- (1) Hardcopy records:

AUTHORIZED DISPOSITION: PERMANENT. Close files after completion of the assignment and transfer to the FRC 1 year after closure. Transfer to the National Archives 20 years after closure. {N1-411-90-08, Item 090-10c(1)}

- (2) Electronic records retained for official GAO recordkeeping purposes that replace hardcopy records usually included in Master Product Folders.

~~AUTHORIZED DISPOSITION: PERMANENT. Transfer to the National Archives with the hardcopy Master Product Folders listed above. {New item}~~

b. All other Master Product Folders (hardcopy and electronic)

(1) Master Product Folders created prior to October 1, 1989

AUTHORIZED DISPOSITION: Close files at the end of the FY in which the product is issued and transfer to the FRC 1 year after closure. Destroy 15 years after closure. (N1-411-90-8, Item 090-10a)

(2) Master Product Folders created after October 1, 1989 (FY 1990) to December 31, 1996 (CY 1996)

AUTHORIZED DISPOSITION: Close files after completion of the assignment and transfer to the FRC 1 year after closure. Destroy 5 years after closure. {N1-411-93-1, Item 090-10b}

51. Audit Workpapers

Workpapers include all relevant material obtained or developed in connection with an assignment, such as the evidence and documentation to support findings, actions taken, steps and analyses performed, conditions encountered, conclusions reached, and recommendations made. Workpapers may be created, received, and maintained in both electronic or hardcopy format. This series covers only audit workpapers for jobs completed on or before December 31, 1996.

NOTE: Also, refer to Master Product Folders and Master Job Files above for the disposition of related records.

AUTHORIZED DISPOSITION:

a. **Historical audit workpapers:**

Selected records retained by GAO under a program established by the GAO Historian. GAO is responsible for selecting all workpapers in both agency space and in the FRC in accordance with letter 2/13/92 from NARA to GAO and included in Job No. N1-411-93-1, approved 1/15/93.

(1) Hardcopy records:

Close files after completion of the assignment and transfer to the FRC 1 year after closure. Offer to the National Archives 20 years after closure.

NARA will make a final determination of archival value. If the records are not accepted by the National Archives, the records will returned to GAO or destroyed depending on GAO instructions. {N1-411-93-1, Item 090-16c(1)}

- (2) Electronic records used to create hardcopy records
 - (a) Spreadsheets and word processing records such as letters, messages, reports, handbooks, directives, manuals, and project management and control systems that are printed out and placed in hardcopy files to meet GAO's recordkeeping requirements.

Delete when no longer needed to create a hard copy. {New item}

- (b) Audit Databases containing information (usually used to produce various data sets) about the programmatic activity being audited.

Maintain information in a format that is accessible on GAO computers, and reformat periodically in order to maintain retrievability and readability. Offer to the National Archives 20 years after completion of the project.

NOTE: NARA will make a final determination of archival value. If not accepted by NARA, GAO may destroy when no longer needed for current agency business. {N1-411-91-4, Item 90-16c(1)}

b. All other audit workpapers:

- (1) Hardcopy records: Close files after completion of the assignment and transfer to the FRC. Destroy 5 years after closure. {N1-411-93-1, Item 090-16a}
- (2) Electronic records such as spreadsheets and word processing documents maintained in an approved electronic recordkeeping system.

Delete or destroy 5 years after completion of the project. {New item}

Chapter V: GAO Regulatory and Oversight Records

This chapter covers GAO regulatory and oversight records as they pertain to other federal government agencies. These functions include accounting standards, enforcement of special legislation, and records management.

52. Accounting Principles and Standards Records

Records relating to approved accounting and audit standards such as correspondence, memorandums, reports, approvals, summaries, submission letters, and the like. The record set includes all superseded, revised, or canceled sections. Arranged by agency and thereunder chronologically within each section. Maintained by the Accounting and Information Management Division (AIMD). Workpapers are filed separately from the record set and include information on the development of the standards, reviews of agency submissions, background, and other related records that are not maintained with the record set.

AUTHORIZED DISPOSITION:

- a. **Record set:** Destroy when superseded, canceled, or withdrawn. {NC1-217-82-1, Item 131-02a}
- b. **Workpapers:** Cut off at the end of each FY and destroy when 3 years old. {NC1-217-82-1, Item 131-02c}

53. Audit Standards—State Correspondence Files

Correspondence between GAO and states related to establishing uniform audit standards and the coordination of other auditing principles and guidance between the federal government and the states.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {NC1-217-82-1, Item 131-06}

54. Approved Accounting System Designs

Records of Executive Department and agency accounting system designs that have been formally submitted to GAO/AIMD and approved by the Comptroller General under provisions of Title II of the *GAO Policy and Procedures Manual for Guidance of Federal*

Agencies. The records include GAO summary letters and correspondence from federal agencies.

AUTHORIZED DISPOSITION: Destroy when 10 years old, or when superseded or obsolete, and when no longer needed for reference. {NC1-217-82-1, Item 131-04a}

55. Federal Agency Records Disposition Request Case Files

Case files relating to requests from federal agencies for GAO approval of disposition schedules covered under Title 8 of the *GAO Policies and Procedures Manual for Guidance to Federal Agencies*.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {NC1-217-82-1, Item 133-06}

Chapter VI: Office of General Counsel

The records in this chapter relate to GAO legal affairs. The Office of General Counsel (OGC) maintains a history of each case and coordinates all decisions rendered by the Comptroller General.

56. Office Correspondence Subject Files

Incoming and outgoing correspondence files not directly related to legal cases or other case records, reports, memorandums, and similar records that relate to overall management and administration of the Office of General Counsel. These records may consist of records pertaining to supplies, personnel, equipment, position descriptions, management/employee relations, employee suggestions, training, planning and budgeting, job announcements, and reference materials or copies of GAO publications. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC. Destroy 5 years after closure. {New item}

57. Manuscript Volumes

Bound volumes containing a comprehensive collection of the full text of all published and unpublished Comptroller General decisions, including background documentation, as issued by the agency beginning in 1921. The volumes are compiled chronologically, with decisions in each volume arranged by B-number. Materials contained in the volumes are duplicated in the B-files (See below).

AUTHORIZED DISPOSITION:

- a. Bound Volumes:** PERMANENT. Transfer to the National Archives when 15 years old. {New item}
- b. Index Cards to Manuscript Volumes:** PERMANENT. GAO will provide NARA with more specific transfer arrangements in FY 2000. {New item}

58. Decisions of the Comptroller General of the United States

Published volumes produced annually beginning in 1921. Published decisions include the full text of the decision and are selected for publication on the basis of the future value in establishing precedents and on the widespread applicability of the issues involved. Published decisions represent approximately 10% of all CG decisions rendered annually. Arranged numerically by volume.

AUTHORIZED DISPOSITION:

- a. **Record Set of Published Decisions:** PERMANENT. Transfer to the National Archives when 5 years old. {NC1-217-82-1, Item 110-22a}
- b. **Indexes to Published Decisions:** PERMANENT. Transfer to the National Archives with the related Decision volumes. {NC1-217-82-1, Item 110-22a}
- c. **All other copies:** Destroy when no longer needed for current agency business. {NC1-217-82-1, Item 110-22b}

59. Digests of Decisions of the Comptroller General of the United States

Digest form of all substantive legal decisions rendered by the Comptroller General but not included in the published volumes listed above. Arranged by category such as "transportation," "personnel law," and the like. These are not included in the microfilm copy of "GAO Documents--Publications Files."

AUTHORIZED DISPOSITION:

- a. **Record Set:** PERMANENT. Transfer to the National Archives when 5 years old. {NC1-217-82-1, Item 110-24a}
- b. **All other copies:** Destroy when no longer needed for current agency business. {NC1-217-82-1, Item 110-24b}

60. B-Files (Includes A-Files)

Case files arranged by A/B number and maintained by the Legal Support Services Branch, including memorandums, correspondence, reports, draft audit reports, GC and CG opinions, briefs, CG Decisions, congressional requests for reports and audits, and draft memorandums and correspondence related to claims, contracts, relations with other federal agencies, and legislation. The case files are arranged in the following categories:

Special Collections

- (1) Heads, Departments, and Agencies
- (2) Certifying, Disbursing, and Contracting Officers
- (3) Claimants
- (4) Bid Protests
- (5) Legal Opinions (Internal and External)
- (6) Legislation (Bills)
- (7) Litigation (Department of Justice)
- (8) Procurement Regulations
- (9) Audit Report Reviews
- (10) FOIA Appeals
- (11) Reports on Major Rules

AUTHORIZED DISPOSITION:

- a. Case Files in which the disposition of the matter was signed by the Comptroller General, Deputy Comptroller General, Special Assistant to the Comptroller General, General Counsel, Deputy General Counsel, and all other case files in which digests of the disposition were prepared, no matter who signed the disposition.

Close files upon completion of case, and transfer to the FRC 10 years after closure. Destroy 80 years after closure. {NC1-217-84-1, Item 1}

- b. Case files in which no digest was prepared and the disposition was not signed by the Comptroller General, Deputy Comptroller General, Special Assistant to the Comptroller General, General Counsel, or Deputy General Counsel.

Close files upon completion of the case and destroy 6 years after closure. {N1-411-89-2, Item 1b}

- c. Index Cards to A/B Case Files, 1924-1978

Destroy when related A/B Files are destroyed. {NC1-217-84-1, Item 110-04}

61. Supporting Papers for Bid Protests

Supporting papers for bid protests where two or more contractors disagree with the procuring agency's handling of a procurement, or the sale of surplus property. The records include copies of the agency's reports, contracts, statements, and other records related to the bid protest. These records are maintained separately from the Bid Protests in the B-Files listed above.

AUTHORIZED DISPOSITION: Destroy 30 days after the close of the bid protest.
{NC1-217-84-1, Item 3}

62. Audit Decision Support System (ADSS)

Electronic files that track and control case-related documents to and from OGC. The files contain abstracts or summaries of activity leading to Comptroller General decisions, index references to B-Files from 1978 onward, and staff legal research references. Some of the information in the system is subject to privacy restrictions.

~~**AUTHORIZED DISPOSITION:** Update or delete as needed for current agency business.
{New item}~~

63. General Claims Files

Settled or closed general claims filed by or against the United States, excluding those involving Indian Tribal Claims and those involving the Davis-Bacon Trust Fund.

NOTE: Effective June 30, 1996, responsibility for adjudicating most of these types of claims transferred to the Executive Branch. GAO continued to handle waivers of repayment of erroneous payments of pay, allowances, or travel and transportation allowances made to or on behalf of civilian employees of the Federal government, and members of the military and National Guard until December 1996, when that function also transferred to the Executive Branch.

AUTHORIZED DISPOSITION: Destroy 6 years and 3 months after the date of settlement. {NC1-217-82-1, Item 120-02}

64. Indian Tribal Claims Files

Settled or closed files of general claims filed by Indian tribes of the United States. Arranged by case number.

AUTHORIZED DISPOSITION: Reserved.

65. Davis Bacon Act Trust Fund Claims Files

Closed files of claims filed under the Davis-Bacon Act and the Contract Work Hours and Safety Standards Act. Arranged by case number.

AUTHORIZED DISPOSITION: Reserved.

66. Locator System for Claims Files

Records concerning claims submitted to GAO by other agencies or claimants which were initiated or received by GAO prior to June 30, 1996. Information included claim number, claimant's name, and location of the claim file. This does not index or track Davis-Bacon claims or Waiver claims.

AUTHORIZED DISPOSITION: Destroy on September 30, 2001, after all general claims case files listed in the index are destroyed. {New item}

67. Davis-Bacon Act Claims Tracking System--Electronic

Electronic tracking and control system for Davis-Bacon Act claims case files.

~~AUTHORIZED DISPOSITION: Reserved.~~

68. Waiver Register Files

Records consisting of correspondence, memorandums, reports, summaries of amounts waived, and other documentation related to waivers of indebtedness (military and civilian) referred to GAO. Arranged chronologically by month and year.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 6 years and 3 months after closure. {NC1-217-82-1, Item 120-24}

69. Congressional Correspondence Relating to Claims

Correspondence related to claims received from or addressed to members of Congress on behalf of their constituents.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {NC1-217-82-1, Item 120-26}

**Chapter VII:
Office of International Liaison**

70. Country/Visitors Files

Correspondence, printed versions of electronic mail messages, newclippings, and other records relating to international visitors, dignitary and VIP visits to GAO, and international liaison activities with foreign government embassies or agencies concerning participation or information about GAO programs. Organized by country.

AUTHORIZED DISPOSITION: Close files every 4 fiscal years, and transfer to the FRC 3 years after closure. Destroy 20 years after closure. {New item}

71. International Auditor Fellowship Program Records

Records relating to GAO's participation in the International Auditor Fellowship Program (IAFP) The IAFP supports professional growth of auditing organizations in developing countries. Ten to twenty candidates per year are selected by the Comptroller General from nominations submitted by the foreign country's Auditor General. Records include nomination procedures, selection guidance, acceptance requirements, and other overall program records related to IAFP programs.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {NC1-217-82-1, Item 070-06}

72. IAFP Fellow Case Files

Case files on individual fellows selected to participate in the International Auditor Fellowship Program. Records may include nomination letters, printed versions of electronic mail messages, application forms, acceptance letters, correspondence from the Office of International Audit Organization Liaison and foreign embassies, student surveys, graduation records, and related records.

AUTHORIZED DISPOSITION:

- a. Selected Fellow case files: Destroy 2 years after the termination of the program. NOTE: These files are not eligible for storage in the FRC system. {New item}
- b. Nonselected applicant files: Destroy when 2 years old. {New item}

73. OIL Journal System

Standalone tracking system and mailing list maintained by the Office of International Liaison (OIL) containing names and addresses of those who subscribe to the *International Journal of Government Auditing*.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business.
{New item}

Chapter VIII: Office of Policy Records

The Office of Policy is responsible for establishing and reviewing GAO auditing and evaluation policies to determine what policies and procedures are proper and appropriate for GAO auditors. The Office issues the General Policy and Procedures Manual, the Communications Manual, and administers the GAO Freedom of Information program under regulations found in 4 CFR 81. The GAO History Program is also administered in the Office of Policy.

74. Policy and Procedures Subject Files

Correspondence, reports, memorandums, and similar records that relate to overall Office administration such as supplies, personnel, equipment, position descriptions, management/employee relations, employee suggestions, training, planning and budgeting, job announcements, and reference materials or copies of GAO publications. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC. Destroy 5 years after closure. {New item}

75. Office of Policy “Backup Files”

Files created for every major project undertaken by the Office of Policy that contain working papers, notes, drafts, correspondence, revisions, recommendations, and reports related to the development of policy matters that eventually are incorporated or finalized into the General Policy/Procedures Manual, Open Recommendations, Accomplishments, or other special policy projects. Arranged by sequential number, and dating from 1955 to the present. Includes the index to the files.

AUTHORIZED DISPOSITION: Close files at the end of the FY in which the policy is approved, issued, or revised, and transfer to the FRC 5 years after closure. Destroy 20 years after closure, or when no longer needed by the GAO History Program, whichever is sooner. {NC1-217-82-1, Item 021-06}

76. GAO General Policy and Procedures Manual (GPPM)

The General Policy and Procedures Manual contains the official policies and standards used by GAO for conducting audit studies. This manual is not included in the microfiche series of official GAO publications.

AUTHORIZED DISPOSITION:

a. Record Set (Final publication).

The record set consists of one copy of the General Policy and Procedures Manual, and all superseded, revised, or canceled sections.

PERMANENT. Close files at the end of the FY when superseded or revised. Transfer to the FRC 5 years after closure, and transfer to the National Archives when 10 years old. {NC1-217-82-1, Item 021-02a}

b. Electronic system

Electronic version of the Policy and Procedures Manual which is maintained on the local area network system and disseminated for staff reference, and on the Internet for public use.

Update and delete as needed for current agency business. {New item} NOTE: When no paper copy is produced, then one copy of the electronic version shall be printed out and added to the Record Set listed in above

77. GAO Communications Manual

This manual contains the basic policies and reporting instructions applicable to the planning, developing, processing, and issuing of products on GAO's work. It complements the General Policies/Procedures Manual and prescribes procedures applicable to all GAO reports and products where uniformity is needed.

AUTHORIZED DISPOSITION:

a. Record Set (Final publication).

The record set consists of one copy of the Communications Manual, and all superseded, revised, or canceled sections.

PERMANENT. Close files at the end of the FY when superseded or revised. Transfer to the FRC 5 years after closure, and transfer to the National Archives when 10 years old. {New item}

b. Electronic system

Electronic version of the Communications Manual. NOTE: This is maintained as Chapter 12 of the electronic edition of the GPPM above.

Update or delete as needed for current agency business. {New item}

78. GAO Technical Guidance Publications (“Gray Books”)

Publications which include more detailed guidance on technical subjects that are not included in the GAO Policy/Procedures Manual or the GAO Communications Manual. These publications may include automated system users manuals, guides for assessing compliance with laws and regulations, improving productivity, interviewing techniques, developing and using questionnaires, glossaries, and similar technical guidance.

AUTHORIZED DISPOSITION:

a. Record Set (Final Publication)

The record set consists on one copy of each “Gray Book” publication.

PERMANENT. Transfer to the National Archives in cubic foot blocks. {New item}

b. Electronic files

Electronic files of the “Gray Books” placed on agency network system for staff reference and dissemination purposes.

~~Update or delete as needed for current agency business. {New item}~~

79. History Program Subject Files

Correspondence, memorandums, reports, responses to inquiries, and similar records which do not provide unique information on GAO’s history or specific historical research projects. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of the FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

80. History Program Advisory Committee Meeting Records

Records documenting the activities and meetings of the Comptroller General's History Program Advisory Committee, including agendas, minutes, and other information on committee proceedings.

AUTHORIZED DISPOSITION: PERMANENT. Close the files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

81. History Program Finding Aids

Finding aids, indexes, and similar materials maintained in the History Program Archives collections.

AUTHORIZED DISPOSITION:

- a. Finding aids for archival materials scheduled for transfer to the National Archives

PERMANENT. Transfer to the National Archives with the related archival records they describe. {New item}

- b. Finding aids to personal papers and nonrecord materials

Maintain as long as the related collections exist in the GAO History Program Archives. {New item}

82. History Program Books, Articles, and Papers

The record set of published books and articles, and unpublished occasional papers and articles written by the History Program staff in response to policy inquiries and requests for background information by GAO officials.

AUTHORIZED DISPOSITION: PERMANENT. Close files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {N1-411-90-9, Item 1}

83. Historical Research Materials

Materials consisting of copies of correspondence, memorandums, speeches, clippings, articles, testimony, task force and other internal reports extracted from archival and library materials, organization charts, interview notes, oral history tapes and transcripts compiled for informational value but not published, photographs and other audiovisual materials not specifically covered by other items in this schedule, reminiscences and other background information compiled by GAO employees, federal historians, and other reviewers of drafts of History Program books, articles, and papers. Although some of the records may be copies, in many instances the originals no longer exist and these represent the only extant examples of the records.

AUTHORIZED DISPOSITION: PERMANENT. Transfer directly to the National Archives 20 years after the completion of the research projects. {New item}

84. Oral History Program Publications and Related Records

Records compiled as a result of oral history interviews undertaken by the GAO History Program.

AUTHORIZED DISPOSITION:

a. Record Set:

One copy of each published oral history, oral history summary or transcript, and other History Program publications issued by the GAO History Program.

PERMANENT. Transfer one copy of each publication to the National Archives 5 years after the completion of the project. {N1-411-90-9, Item 015-26a}

b. Background files:

Cover letters, schedules of interviews, transitory correspondence, biographical sketches, photographs, and similar records used in the compilation of all published oral histories.

Destroy when no longer needed for current agency business. {N1-411-90-9, Item 015-26b}

c. Audio- and Videotapes of Oral History Interviews:

Retain in GAO in accordance with the provisions of any negotiated agreements with the participants. NOTE: These records are not eligible for transfer to the National Archives in accordance with the appraisal report for Job No. N1-411-90-09.

d. Project administrative records such as background and workpaper files, source documents extracted from other GAO files, trip reports, and other administrative records related to oral history projects.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

85. History Program Photographs

Photographs, negatives, and contact sheets selected by the History Program staff from OIMC/PCC, GAO audit divisions, staff offices, or from individual evaluators and which have been transferred to the History Program Archives.

AUTHORIZED DISPOSITION: PERMANENT. Offer directly the National Archives when 20 years old, or 20 years after the close of the research project. {New item}

86. Freedom of Information Program Subject Files

Files which relate to the overall development and management of the Freedom of Information program at GAO, summary and statistical reports, GAO access regulations covering Freedom of Information, reference materials, and similar records.

AUTHORIZED DISPOSITION: Close inactive files at the end of the FY and destroy 3 years after closure. {New item}

87. Freedom of Information Requests

Files created in response to requests for information under 4 CFR 81, and which consist of the original request, a copy of the reply, references to related supporting files, logs, and reports.

AUTHORIZED DISPOSITION:

- a. Requests granted for access to all records
Destroy two years after date of reply. {GRS 14, Item 11a(1)}
- b. Requests denied for access to all or part of the records
Destroy 6 years after date of reply, unless request is appealed. {GRS 14, Item 11b(3)}

88. Freedom of Information Control and Tracking Records

AUTHORIZED DISPOSITION:

- a. Registers and Logbooks.
Destroy 6 years after the last entry {GRS 14, Item 13a}
- b. Electronic databases or tracking systems.
Delete 6 years after the final action or adjudication by the courts. {GRS 14, Item 13b by reference to GRS 23, Item 8}

89. Post-Assignment Review Program Files

Records relating to internal assessments of GAO reports, products, work assignments, and peer review records, and quality review of completed assignments.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and destroy when 3 years old. {NC1-217-82-1, Item 021a,b,c}

**Chapter IX:
Property and Supply Management, Building Services,
and Space Management Records**

This chapter covers records relating to accountability for GAO property, supplies, and equipment, and to the management and maintenance of the GAO headquarters building and leased facilities.

90. Property and Supply Management, Space Management, and Facilities General Subject Files

Correspondence, memorandums, reports, and other subject files documenting the general administration, management, policies, and procedures relating to space planning and management, building modernization, property management, and facilities services programs, and reports to other federal agencies related to GAO's space and property management program. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files annually at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

91. Item History Records

Records in both hardcopy and electronic formats for each accountable item maintained by GAO. Hardcopy records maintained in numerical sequence in groups of ten. Electronic data contains a record of all current and noncurrent property transactions since conversion to the PROP electronic system (about 1991 or 1992). The official records are maintained by Property Management unit.

AUTHORIZED DISPOSITION:

- a. Hardcopy records:** Destroy 2 years after discontinuance of item or 2 years after balance of the property is transferred to new file or recorded under a new classification, or 2 years after equipment is removed from agency control. {GRS 3, Item 9}
- b. Electronic records:** Update or delete when no longer needed for current agency business. {New item}

92. Property Disposal Case Files

GAO Form 76, or its equivalent, requesting the surplus, excess, or disposal of GAO property, and other records relating to the disposal of GAO property (excluding real property and federal records).

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {New item}

93. Property Retirement and Surplus Property Reports and Related Records

Records of all GAO property that is retired from service or otherwise disposed of as surplus property.

AUTHORIZED DISPOSITION:

- a. Records documenting sales of excess or surplus property, bid invitations, bids, or other financial transactions.

Destroy when 6 years and 3 months after the final payment, or after audit, whichever is sooner. {GRS 4, Item 3a}

- b. Reports of excess and surplus property sent to GSA.

Destroy when 2 years old. {New item}

- c. All other records: Destroy when 3 years old.

94. Accountable Property or Contract Purchase Orders (Task Orders)

Task orders or purchase orders in Property Management for accountable personal property.

AUTHORIZED DISPOSITION: Destroy when 3 years old. {New item}

95. Typewriter Program Repair and Maintenance Records

Logbooks; repair and maintenance records; customer satisfaction surveys; obligation, modification, payment control records; tally sheets, and similar records maintained in Property Management that document the GAO Typewriter Repair Program.

AUTHORIZED DISPOSITION: Destroy when 3 years old, or for logbooks and tally sheets, 3 years after the last date of entry. {New item}

96. Property Management Reports and Printouts

Excess property, PROP tables and printouts, and other property management reports generated from hardcopy or electronic record systems.

AUTHORIZED DISPOSITION: Destroy when 2 years old or when updated, superseded, or no longer needed for current business. {New item}

97. GAO Agency Space Files

Records relating to the allocation, utilization, and release of space under GAO control, and related reports to the General Services Administration.

AUTHORIZED DISPOSITION:

- a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

Destroy 2 years after termination of the assignment, or when lease is canceled, or when plans are superseded or obsolete. {GRS 11, Item 2a}

- b. Correspondence and reports with staff agencies and GSA, SF-81, Request for Space, or its equivalent, and other records related to agency space holdings and requirements.

Destroy when 2 years old. {GRS 11, Item 2b(1)}

98. Building Maintenance and Janitorial Services Files

Records pertaining to building maintenance, carpet cleaning, painting, trash collection, exterior landscaping, plants, and similar contract and special building, maintenance, or other services, excluding financial accounting records.

AUTHORIZED DISPOSITION: Destroy 2 years after the end of the contract. {New item}

99. Service Request Files

Requests for services from GAO offices, and other records pertaining to obtaining the requested building, facilities, and space services.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 2 years after closure. {NC1-217-82-1, Item 013-42a}

100. Vendor Catalogs

Nonrecord and reference copies of vendor catalogs pertaining to building services.

AUTHORIZED DISPOSITION: Destroy when superseded or no longer needed for current agency business. {Nonrecord}

101. Reimbursable Work Authorization Files

Copies of GSA Form 2957, or its equivalent, and related records pertaining to the reimbursement of work done by GAO on behalf of GSA.

AUTHORIZED DISPOSITION: Close files at the end of each FY. Destroy 7 years after closure. {NC1-217-82-1, Item 013-58}

102. Building Modernization Project Files

Case files of individual building projects in GAO's building modernization program. Files consist of individual work plans (IWPs), schedules, correspondence, budget information, memorandums of understanding with clients, design contracts, solicitation, construction contracts, and inspection and acceptance records. Files may also contain material contracts, purchase orders, as-built and record drawings (copies), detailed drawings, test and inspection reports, and related documentation.

AUTHORIZED DISPOSITION: Close files at the end of the FY when the project is completed. Destroy 10 years after closure. {New item}

103. Supply Requests

Requests from GAO divisions for supplies furnished by Property Management. Arranged by date filed.

AUTHORIZED DISPOSITION: Destroy 2 years after completion of the request. {GRS 3, Item 9a}

104. Purchase orders, FEDSTRIPS, and Blanket Purchase Agreements

Contracts, purchase orders, requests for proposals, correspondence, and other materials relating to the award or purchase of goods and services by GAO. May be arranged in categories such as Supplemental, Inter-agency agreements, Purchase Orders, GSA Multi-Line, and Cash.

AUTHORIZED DISPOSITION: Destroy 6 years and 3 months after the final payment. {GRS 3, Item 3a(1)}

105. Receiving Records

Electronic and hardcopy records pertaining to the receipt and inspection of incoming orders at GAO, and transaction or history data for all active items. Records pertain to all receipts of goods delivered to GAO that are received with or without purchase orders.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {NC1-217-82-1, Item 012-74}

106. Backorder Records

Records pertaining to backordered or partial shipments of supplies, equipment, or other materials that have been ordered but not received by GAO.

AUTHORIZED DISPOSITION: Destroy 2 years after receipt of order. {New item}

107. Annual Inventory Records

Records including count sheets, valuation reports, adjustment details, and the like that provide annual inventories of GAO stock, supplies, equipment, and other property.

AUTHORIZED DISPOSITION: Destroy when 2 years old. {GRS 3, Item 9a}

108. Daily Activity Logs

Logs, lists, or other records that pertain to the daily receipts and shipments of order, supplies, and equipment. May be maintained in either hardcopy or electronic form.

AUTHORIZED DISPOSITION: Destroy 2 years after the last date in the log. {New item}

109. Automated Supply Database System

AUTHORIZED DISPOSITION: Close transaction file at the end of each FY and delete when 3 years old. {New item}

110. Supply Requisition and Issues Reports

Correspondence and other records including reports, memorandums, invoices, and the like that relate to storeroom, receipts, requisitions, and deliveries of GAO supplies.

AUTHORIZED DISPOSITION: Destroy when 3 years old. {GRS 8, Item 3}

111. Laborer Requests

Requisitions, loss, and other records pertaining to requests for moving services and other laborer assistance.

AUTHORIZED DISPOSITION: Destroy when 3 years old. {New item}

112. Laborer Contract Records

AUTHORIZED DISPOSITION:

a. Time sheets for contract staff

Destroy when 3 years old, or 3 years after the close of the contract, whichever is sooner. {New item}

b. Contract administration records

Destroy 3 years after the close of the contract. {New item}

113. Warehouse and Furniture Stock Inventories

AUTHORIZED DISPOSITION: Destroy when 3 years old. {GRS 8, Item 2}

**Chapter X:
Transportation and Motor Vehicle Records**

114. Daily Vehicle Operating Logs and Activity Sheets

Records relating to the general operation and activity of GAO vehicles, excluding individual employee authorizations, operator permits, driving tests, and other individual operator files.

AUTHORIZED DISPOSITION: Destroy when 2 years old. {New item}

115. Individual Employee Operator Records

Records relating to individual employee operation of GAO-owned vehicles, driver tests, authorizations, licenses, and similar records relating to the individual employee.

AUTHORIZED DISPOSITION: Destroy 3 years after separation of employee, or three years after rescision of authorization to operate a GAO-owned vehicle, whichever is sooner. {GRS 10, Item 7}

116. Shuttle Logs

Records relating to shuttle routes between GAO headquarters and audit sites.

AUTHORIZED DISPOSITION: Destroy when 1 year old. {New item}

117. Vehicle Maintenance Records

Records documenting gas, oil, repairs and maintenance of GAO vehicles.

AUTHORIZED DISPOSITION: Destroy when 1 year old. {GRS 10, Item 2b}

118. Vehicle Reservation

Records documenting requests for vehicle use by GAO staff.

AUTHORIZED DISPOSITION: Destroy when 1 year old. {New item}

119. Fleet Management Records

Records relating to the general operation and management of GAO fleet vehicles, including overall guidance, policies and procedures, correspondence, and similar records.

AUTHORIZED DISPOSITION: Destroy when 2 years old. {New item}

120. Accident Records

Records relating to motor vehicle accidents maintained in transportation services offices, including SF 91, Operator's Report of Motor Vehicle Accident; SF 91a, Investigation Report of Motor Vehicle Accident; and SF 94, Statement of Witness, or similar records.

AUTHORIZED DISPOSITION: Destroy 6 years after the case is closed. {GRS 10, Item 5}

121. OPAC Billings

Monthly bills filed by FY covering all GAO IFMS vehicles.

AUTHORIZED DISPOSITION: Destroy when 3 years old. {New item}

Chapter XI: Security and Safety Records

The records in this chapter relate to agency security and safety programs at GAO as directed by the Security and Safety unit in the following areas:

General Office Records:

122. Security and Safety Program Subject Files

General subject files maintained in the Security and Safety (SS) unit or in component units that contain information concerning the general policies, procedures, program management, and operation of the unit or of specific programs. Files include all functions SS is responsible for, such as safety, personnel security, physical security, fire protection and prevention, computer and information security, emergency preparedness, document classification and declassification policies and procedures, safety and security training and promotion, security and safety liaison activities, motor vehicles, and the like. The records are usually filed alphabetically by subject.

The records may contain correspondence, memorandums, briefing files, periodic reports or special studies, interagency agreements and liaison information, general program policies and guidance, administrative procedures and policies, periodic security and safety program reports, office budget and financial information, action plans, and similar records. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

A separate "History Files" series is maintained that contains correspondence, memorandums, organizational charts and reports, selected special studies, and similar records that directly relate to the establishment and mission of SS units, important precedents and policies, and significant accomplishments and changes in mission. Volume: 1 cubic foot. Dates: 1981-present.

AUTHORIZED DISPOSITION:

- a. History Files:** PERMANENT. Close files when 30 years old and transfer directly to the National Archives. {New item}
- b. All other files:** Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

123. Standard Operating Procedures and Manuals.

Manual containing official Security and Safety internal operating procedures.

AUTHORIZED DISPOSITION: Destroy when superseded, obsolete, or no longer needed for current agency business. {New item}

124. Security Surveys and Site Files

Materials consisting of physical security layouts, cubicle configurations, blueprints, plans, and drawings, reports of completed inspections, information security reports, security violation reports, security waivers granted, and similar records related to the physical security of GAO facilities.

AUTHORIZED DISPOSITION: Destroy when the space or facility is vacated by GAO, or when security survey and site inspection records are superseded by a new plan or a major revision of existing plans. {New item}

125. Architectural Plans and Building Modernization Records

Correspondence, memorandums, reports, architectural drawings, specifications, design analyses, and similar records pertaining to the GAO Headquarters building, and projects involving the modernization and renovation of GAO facilities.

AUTHORIZED DISPOSITION:

- a. **General correspondence and reports:** Close files 2 years after the end of the project and transfer to the FRC. Destroy 10 years after closure. {New item}
- b. **Architectural plans and specifications:** Destroy when superseded, obsolete, or no longer needed for current agency business. {N1-411-90-10, Item 1a}
- c. **Index to architectural plans:** Destroy when related plans are destroyed or when no longer needed for current agency business. {N1-411-90-10, Item 1b}

126. Investigation and Incident Case Files

Case files of specific investigations conducted by the unit relating to health or safety incidents; motor vehicle and other accidents; personal injuries and property damage;

allegations of GAO employee or contractor fraud, abuse, misconduct; and loss or theft of personal or GAO property.

AUTHORIZED DISPOSITIONS:

- a. **Personnel Investigations:** Destroy one year after separation of contractor or employee from GAO and after the case is closed. {New item}
- b. **Health and Safety Investigations:**
 - (1) Asbestos and indoor air quality investigations: Close files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 30 years after closure, or in accordance with current OSHA regulations. {New item}
 - (2) All other health and safety investigations: Close files annually at the end of each FY and transfer to the FRC 1 year after closure. Destroy 5 years after closure. {New item}
- c. **Property and Accident Investigations:** Close files annually at the end of each FY and transfer to the FRC 1 year after closure. Destroy 5 years after closure, or 5 years after property is returned or accounted for, whichever is sooner. {New item}

Personnel Security Records:

127. Personnel Security Case Files

Correspondence, memorandums, Personnel Security Action Requests and Debriefing Statements (GAO Form 71 or equivalent), reports of investigations, and similar materials relating to security clearance and background investigations of employees or potential employees, GAO contractors, and others.

AUTHORIZED DISPOSITION:

- a. **Security Debriefing Statements, GAO Form 71 (or equivalent).**

- (1) GAO Employees.

Transfer the last or most recent debriefing statement to the Personnel Office for filing in Official Personnel Folder (OPF) after separation or termination of employee. {GRS 18, Item 25b}

(2) Consultants, Contractors, and Non-GAO employees.

If the last or most recent security debriefing statement is maintained outside of an OPF, close files at the end of each FY when contract is terminated or employee separates, and transfer to the FRC. Destroy 70 years after closure. {GRS 18, Item 25a}

b. All other records.

Close files 6 months after separation or transfer of employee, termination of contract, or notification of death, and transfer to FRC. Destroy 5 years after closure. {GRS 18, Item 22a}

128. Security Clearance System (SCIS)

This system tracks staff security clearances, the status of investigations, and investigation budget information.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business. {New item}

129. Security Clearance Lists and Rosters.

Hardcopy and electronic records that track security clearance authorizations for individuals. The records may include copies of GAO Form 71, Personnel Security Action Request, or its equivalent.

AUTHORIZED DISPOSITION: Destroy in agency when superseded, obsolete, or no longer needed for current agency business. {New item}

130. Outside Access Request Files.

Copies of requests to other agencies for access by GAO employees to classified documents held by that agency.

AUTHORIZED DISPOSITION: Destroy 6 months after the assignment has been completed. {NC1-271-82-1, Item 014-06}

Information Security Records:

131. Security Violation Investigation Case Files

Case files of investigations of alleged security violations of Executive Orders, laws, or GAO regulations concerning the safeguarding of national security classified information.

AUTHORIZED DISPOSITION:

- a. **Case files where an action or finding results:** Transfer to the Personnel Security Case File listed elsewhere in this chapter. {Exception to GRS 18, Item 25}
- b. **Case files where no action or finding results:** Close files 6 months after separation or transfer of employee, or close of case. Destroy 5 years after closure. {GRS 18, Item 25a}

132. Classified Document Inventories and Lists

Lists, forms, registers, inventories, databases, and other hardcopy or electronic records that track classified documents or provide lists of classified documents stored in GAO facilities. These records do not include document accountability logs and/or document receipts.

AUTHORIZED DISPOSITION:

- a. Inventories for records classified Secret and below: Destroy or delete when 2 years old. {New item}
- b. Inventories for records classified Top Secret: Destroy or delete when 5 years old. {Exception to GRS 18, Item 4}

133. Classified Document Destruction Certificates

Records used to certify the destruction of classified information.

AUTHORIZED DISPOSITION:

- a. **Top Secret:** Destroy when 5 years old. {Exception to GRS 18, Item 3}
- b. **All other certificates:** Destroy when 2 years old. {GRS 18, Item 3}

134. Classified Document Control and Accountability Files

Registers, receipts, and other documents used to indicate control and accountability of classified information.

AUTHORIZED DISPOSITION:

a. Registers and Logs

Secret classifications and below: Close at the end of each CY. Destroy 2 years after all documents listed in the register or log are declassified, transferred, or destroyed. {New item}

Top Secret classifications: Close at the end of each CY. Destroy 5 years after all documents listed in the register are declassified, transferred, or destroyed. {New item}

b. Accountability and Control Forms

Forms and control receipts accompanying classified documents to ensure continuing control, inter-office routing, and accountability.

Secret classifications and below: Destroy 2 years after the documents are declassified, transferred, or destroyed. {New item}

Top Secret classifications: Destroy 5 years after documents are declassified, transferred, or destroyed. {New item}

135. Document Security Survey and Inspection Files

Surveys conducted to ensure that classified and sensitive documents are properly handled and maintained.

AUTHORIZED DISPOSITION: Destroy when superseded by new survey or inspection, and all recommendations in previous surveys or reports are corrected. {New item}

Physical Security and Investigations (PS&I) Records:

136. Security Container and Lock Combination Records

Lists of lock combinations of security containers, individuals knowing the combination, and similar materials limiting access to the containers.

AUTHORIZED DISPOSITION: Reset lock to factory setting when container is returned. Destroy lock combination records when the container combinations have been changed two times. {New item}

137. Security Equipment Files and Operating Manuals.

Correspondence, lists of current, new, and replacement security equipment, operating manuals or handbooks, warranties, copies of contracts, maintenance records, and similar records relating to the selection and use of security equipment such as video cameras, VCRs, access control systems, card readers, and the like.

AUTHORIZED DISPOSITION: Destroy when superseded, obsolete, or no longer needed for current agency business. Transfer operating manuals and other equipment records when equipment is transferred. {New item}

138. Key Accountability Records

Hardcopy and electronic records that track and control the assignment and return of keys provided to GAO staff.

AUTHORIZED DISPOSITION: Destroy or delete one year after return of key. {New item}

139. Identification Badge Issuance Files

Records relating to the issuance, control, renewal, and accountability of all GAO identification badges.

AUTHORIZED DISPOSITION: Destroy 1 year after termination or separation from GAO. {New item}

140. Security Services Files

Correspondence, memorandums, reports, and other records relating to the operations and actions of the GAO security services contract. Includes round reports, security officer logs and registers, service reports on interruptions or tests, bar code scanner reports, registers of patrol and alarm services, and related correspondence with GSA.

AUTHORIZED DISPOSITIONS:

- a. **Central Security officer master logs and individual security officer post logs:**
Destroy 2 years after the final entry. {GRS 18, Item 20}
- b. **Security contract files which include general correspondence, time and attendance records, personnel data, copies of the current contract, special tasks, copies of contract amendments, and similar records.**
Destroy in agency when 5 years old, or 5 years after the end of the contract.
{New item}

141. Property Pass Files

Passes authorizing removal of property materials, and authorized signature lists.

AUTHORIZED DISPOSITIONS:

- a. **Signature Lists:** Update as needed for current agency business and destroy when superseded. {New item}
- b. **Property Passes:** Destroy when superseded, or when all property has been returned and accounted for. {New item}

142. Visitor Control Files

Logs, registers, videotapes and other records used to record entry of visitors, employees, outside contractors, and vehicles, to GAO facilities.

AUTHORIZED DISPOSITION:

- a. **Hardcopy Logs or registers:** Destroy 1 years after the last entry. {Exception to GRS 18, Item 17b}

- b. **Video records:** Destroy or recycle videotapes after 30 days unless records are needed for an ongoing investigation or other security or safety matter (1 tape per day). {New item}

143. Access Denial Records

Records requesting an individual be placed on an “access denial” list to prohibit entry into GAO facilities.

AUTHORIZED DISPOSITION: Destroy 2 years after individual has been removed from the list. {New item}

144. Parking Facilities Records

Hardcopy and electronic records or databases that relate to the assignment of parking spaces, monthly parking stickers, and the operation of the GAO parking programs.

AUTHORIZED DISPOSITION:

- a. **Parking Control Database**

Database listing parking space, permit number, employee name, address, telephone number, license plate number, car pool information, and the like.

Update or delete when necessary for current agency business. {New item}

- b. **Parking permits**

Destroy when superseded, canceled, or withdrawn. {NC1-217-85-2, Item 014-80c}

- c. **Parking violations, suspensions, and related records.**

Destroy when employee separates or transfers. {New item}

Health and Safety Records:

145. Safety Complaint Files

Complaints from GAO personnel on potential safety hazards which do not result in a formal investigation and report.

AUTHORIZED DISPOSITION: Close files at the end of each FY and transfer to the FRC 3 years after closure. Destroy 7 years after closure. {New item}

146. Safety Inspection and Survey files

Surveys and checks of facilities and equipment for general or specific safety problems, reports of problems, as well as GAO Form 521, Self-inspection Survey, or the equivalent. These records do not include safety checks that result from an individual safety complaint.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 2 after closure. {New item}

147. Asbestos Files

Documents pertaining to industrial hygiene monitoring and oversight of asbestos-related activities.

AUTHORIZED DISPOSITION: Close files 1 year after contract period ends and transfer to the FRC. Destroy 30 years after closure or in accordance with current OSHA regulations. {New item}

148. Asbestos Medical Surveillance Files

Documents pertaining to personnel protection, fitness testing, and medical examinations, and medical records that documents levels of exposure to asbestos.

AUTHORIZED DISPOSITION: Close files 5 years after the last examination or entry in file, and transfer to the FRC. Destroy 75 years after closure or in accordance with current OSHA regulations. {New item}

149. Hazardous Waste Manifests

Documents pertaining to the removal and disposal of hazardous waste materials from GAO facilities.

AUTHORIZED DISPOSITION: Close files at the end of each FY when the material is disposed of or the project is completed. Transfer to the FRC 5 years after closure. Destroy 75 years after closure or in accordance with current OSHA regulations. {New item}

150. Abatement Submittal Files

Documents pertaining to contractor scope of work, submittals from contractors, and abatement or demolition activities.

AUTHORIZED DISPOSITION: Close files 5 years after the project ends and transfer to the FRC. Destroy 30 years after closure. {New item}

151. Safety, Health, and Industrial Hygiene Contract Files

Documents pertaining to the fires, safety, and industrial hygiene contracts.

AUTHORIZED DISPOSITION: Close files at the end of the contract and transfer to the FRC 3 years after close. Destroy 30 years after close of contract. {New item}

**Chapter XII:
Congressional Relations Records**

152. Congressional Correspondence: Member Files

Correspondence to or from members of Congress, including constituent requests or problems. Filed by calendar year and member's name.

AUTHORIZED DISPOSITION: Close files every 2 CY and transfer to the FRC 4 years after closure. Destroy 6 years after closure. {NC1-217-86-3, Item 100-02}

153. Congressional Correspondence: Committee Files

Correspondence to and from committees of Congress, members of Congress acting for a committee, or Congressional offices such as the Secretary of the Senate, Speaker of the House, President of the Senate, Sergeant at Arms, and the like.

AUTHORIZED DISPOSITION: Close files at the end of each FY and transfer to the FRC 3 years after closure. Destroy 6 years after closure. {NC1-217-86-3, Item 100-04}

154. Hearing Files

Files containing schedules of weekly Congressional hearings, notices of hearings relating to GAO testimony, and weekly and quarterly statistical reports summarizing GAO witness appearances and issues. The notices of hearings contain details summarized in the statistical reports.

AUTHORIZED DISPOSITION: Transfer closed files in 5-year blocks to the FRC when 15 years old. Destroy 25 years after closure. {New item}

155. Minutes of CG Staff Meetings

Weekly minutes or other summaries of issues discussed at the Comptroller General's staff meetings. Arranged by FY. Accum: 1 folder/year.

AUTHORIZED DISPOSITION: PERMANENT. Close files each FY and transfer to the FRC in cubic-foot blocks when volume warrants. Transfer to the National Archives when 25 years old. {N1-217-82-1, Item 011-46a}

156. Congressional Detail Files

Records containing correspondence, memorandums, reports and other records relating to GAO staff details to Congress. Statistical reports are compiled quarterly and annually.

AUTHORIZED DISPOSITION: Close files annually and transfer to the FRC 5 years after closure. Destroy 10 years after closure. {New item}

157. Report Release Files

Files containing announcements of reports released by GAO. Used primarily for reference purposes.

AUTHORIZED DISPOSITION: Destroy when 6 months old. {New item}

158. MATS Tracking System

See Chapter II for the disposition of MATS data files.

159. Restriction Release Files

Copies of release forms (OCR Form 2, or equivalent) issued by the Office of Congressional Relations releasing restrictions or indicating the status of restrictions on GAO documents.

AUTHORIZED DISPOSITION: Destroy six months after all restrictions are released. {New item}

Chapter XIII: Budget Records

This chapter of the schedule covers GAO budget records that may also be found anywhere in the agency. The office responsible for all official consolidated GAO budget records is the Budget Office.

160. Budget Correspondence and Operations Subject Files

Correspondence, memorandums, reports, and other subject files documenting overall GAO budget administration and policy and which reflect policy decisions affecting expenditures for agency programs.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 5 years after closure. Destroy 20 years after closure. {NC1-217-82-1, Item 031-02}

161. Budget Background Records

Cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates. Records may also include budget schedules, submissions of budget estimates from division offices, appropriation language sheets, narrative statements, and similar records.

AUTHORIZED DISPOSITION: Destroy 1 year after the close of the fiscal year covered by the budget. {GRS 5, Item 2}

162. Budget Reports, Studies, and Planning Records

Periodic reports on budget issues, budget projects, long-term planning, reprogramming and supplemental budgets, and the status of appropriation accounts or apportionment.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy when 5 years after closure. {NC1-217-82-1, Items 031-03a and 031-14}

163. Final GAO Budget Submissions, Justifications, and Estimates

Final copy of the consolidated GAO budget estimate and justification submitted annually to Congress for review and approval. Included are appropriation language sheets, narrative statements, budget schedules, and related data.

AUTHORIZED DISPOSITION: PERMANENT. Close files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {NC1-217-82-1, Item 031-04a}

164. Budget Hearing Records

Records maintained to document GAO testimony at budget hearings before Congress, and GAO defense of annual budget submissions.

AUTHORIZED DISPOSITION: PERMANENT. Close files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

165. Budget Supplement and Reprogramming Records

Records documenting requested additions, changes, or adjustments to previously approved budgets.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 4 years after closure. {NC1-217-82-1, Item 031-14}

**Chapter XIV:
GAO Internal Financial Management and
Financial Integrity Act Records**

This chapter covers records that are created and maintained for internal GAO financial management, control, and accountability. The records include reviews and assessments required under the Federal Manager's Financial Integrity Act (FMIA). Financial records maintained in other GAO program and staff offices are not covered in this chapter, but are scheduled in other chapters of this manual. Financial Management (FM) is the custodian of all official GAO financial accounting records except when financial responsibilities are delegated. Where official record copies are maintained in field offices or other designated units, the following dispositions should be used.

166. Financial Management System (FMS) Files, Records, and Reports

Electronic files, FMS system reports, and hardcopy records documenting the collection, receipt, advance and reimbursement of funds; deposits, credits, debits, and disbursements of public funds; and certification records documenting the authenticity of payment vouchers and other receipt or disbursement of funds.

These records may include vouchers, contracts, and schedules; statements of transactions and accountability; general ledgers; statements of assets and liabilities; procurement records, and similar electronic files and records that document or summarize the status of funds available for expenditure, the amounts of money due and collected, and accumulated expenditures and liabilities which are required by law to be maintained for audit purposes.

Financial accountability and GAO financial statement audit records may be maintained for recordkeeping purposes in electronic, microfilm, or hardcopy formats as determined by GAO.

AUTHORIZED DISPOSITION:

- a. Financial documents and reports in hardcopy or electronic format that are required for GAO financial statement audit and financial accountability purposes. These records include periodic reports in hardcopy or electronic formats that are produced in the regular course of business, and special ad hoc or one-time only reports that are required for compliance with federal government financial accounting standards.

Destroy or delete 6 years and 3 months after the close of the FY involved. {New item}

- b. Financial documents and reports in hardcopy or electronic format that are summarized or consolidated on a regular basis, and are not needed for GAO financial statement audit or financial accountability purposes.

Destroy when superseded, updated, or obsolete, or when no longer needed for current agency business. {New item}

- c. All other records, reports, and electronic files that are created for one-time ad-hoc or special studies but which are not needed for GAO financial statement audit or financial accountability purposes.

Destroy when no longer needed for current agency business. {New item}

167. Financial Management Internal Operating Procedures Manuals

AUTHORIZED DISPOSITION: Destroy when superseded or obsolete. {New item}

168. Consolidated Credit Card Report Files

Official record copies of consolidated government credit card purchases approved for payment by GAO units and forwarded from GAO units to FMS for payment. Credit card purchase records that support the consolidated reports are maintained in individual GAO units. See Chapter I, Common Records, for the disposition of Government Credit Card Files in GAO units.

AUTHORIZED DISPOSITION: Destroy 6 years and 3 months after the period covered by the report. {GRS 6, Item 1a}

169. Project Case Files and Special Studies

Records documenting new procedures, plans, or initiatives, or research reports and studies for special projects undertaken by Financial Management.

AUTHORIZED DISPOSITION: Destroy 5 years after the end of the study or close of the project. {New item}

170. Year-end Adjustment Records

Records maintained to document adjustments to balances and accounts at the close of each FY.

AUTHORIZED DISPOSITION: Close files annually at the end of each FY and destroy 10 years after closure. {new item}

171. Miscellaneous Payments and Reconciliation Records

Records documenting payments and reconciliations made each FY by GAO.

AUTHORIZED DISPOSITION: Close files annually at the end of each FY and transfer to the FRC 3 years after closure. Destroy 6 years and 3 months after closure. {GRS 6, Item 1a}

172. Financial Integrity Act (FIA) Subject Files

Correspondence, memorandums, reports, studies, policies, and guidelines that relate to the Financial Integrity Act and to the FIA program and internal controls at GAO. These records include FIA and OMB policies, circulars, and bulletins, GAO issuances and directives relating to Financial Integrity Act policies and procedures, reviews, analyses, research studies, FIA practices, FIA input to the CG's annual report, FIA campaign records, and other records concerning the overall operation and administration of the programs.

AUTHORIZED DISPOSITION:

- a. **Policy, Procedure, and Guidance Files:** Destroy when superseded, obsolete, or no longer needed for current agency business. {GRS 16, Item 14a}
- b. **All other records:** Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

173. Federal Manager's Financial Integrity Act (FMFIA) Report Files

Records pertaining to the GAO-wide FIA report to the Comptroller General and Internal Control Review reports required by OMB Circular A-123 or other OMB Circulars such as A-76 or A-130, final reports submitted to the CG's office, and similar records.

AUTHORIZED DISPOSITION: Close files at the end of the reporting cycle and destroy 8 years after closure. {New item}

174. FIA Unit Folders

Case files of division and office reports to the ACG for Operations relating to Financial Integrity Act issues. Records include reports, reviews, self-assessment workpapers and other records that identify internal control weaknesses and actions taken to resolve issues or problems.

AUTHORIZED DISPOSITION: Close files at the end of the reporting cycle and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {GRS 16, Item 14f(1)}

175. FIA Corrective Action Files

FIA corrective action sheets and tracking sheets maintained by auditing, reporting, budgeting, payroll cycle, and by unit. The corrective action sheet describes the status of correcting weaknesses, planned date for corrections, descriptions of weaknesses, and plans for corrective action.

AUTHORIZED DISPOSITION: Close files after no further corrective action is necessary and weaknesses have been resolved. Destroy 5 years after closure. {GRS 16, Item 14f(1)}

176. Special Internal Control Studies

Special studies conducted by the FIA Task Force, and workpapers related to the studies.

AUTHORIZED DISPOSITION: Close files at the end of the FY the study is completed. Destroy 8 years after closure. {New item}

**Chapter XV:
GAO Organization, Task Force, and Committee Files**

Records in this chapter relate to GAO task forces, committees, working groups, and similar organizations that are organized to advise the Comptroller General, Congress, and other agency officials about ongoing or future programs and plans. They include records that may be produced by contractors and consultants for GAO. Also included are records of organizations for which GAO has recordkeeping, coordination, and liaison responsibilities such as JFMIP and NIAF. The Office of the Comptroller General and the Office of International Audit Organizations Liaison maintains some of the official records of GAO's liaison with international organizations and other professional groups, but records may also be located in other GAO program offices.

177. Congressional and Comptroller General Task Force or Committee Records

Official records of task forces and committees that specifically relate to the mission or organization of GAO to advise Congress or the Comptroller General. The records include, but are not limited to, minutes, agendas, incoming and outgoing correspondence, organizational charts, budget records, directives or orders, posters, photographs, news releases, project case files, speeches, and one copy of the final published or unpublished study or report.

AUTHORIZED DISPOSITION: PERMANENT. Close files at the termination of the task force or committee and transfer to the FRC. Transfer to the National Archives 20 years after closure. {N1-411-90-4, Item 045-02a}

178. Administrative Support and Internal Review Task Force and Committee Records

Official files of task forces and committees that relate specifically to internal GAO administrative and support activities such as personnel, information management, computer security, financial management, procurement, security and safety, travel, and similar functions. The records may include minutes, agendas, incoming and outgoing correspondence, and the final published or unpublished report.

AUTHORIZED DISPOSITION: Close files at the termination of the task force or committee and transfer to the FRC. Destroy 20 years after closure. {N1-411-90-4, Item 045-02b}

179. Task Force and Committee Working Files

Staff reference files and duplicate copies of correspondence, reports, studies, publications from other government agencies, and other records that are used only for the convenience of reference.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business. {Nonrecord}

Joint Financial Management Improvement Program (JFMIP) Records

The Joint Financial Management Improvement Program (JFMIP), initiated in 1948, is a joint cooperative undertaking of the Office of Management and Budget, the General Accounting Office, the Department of Treasury, and the Office of Personnel Management. JFMIP agencies work in cooperation with each other and with operating agencies to improve financial management throughout the federal government.

180. JFMIP Agency Manuals

Policy, procedure, and guidelines manuals from various federal agencies used as reference files for the JFMIP program.

AUTHORIZED DISPOSITION: Destroy when superseded, obsolete, or no longer needed for current business. {Nonrecord}

181. JFMIP Project Case Files

Records relating to the implementation of JFMIP programs, including training, financial system implementation, use of financial systems, and changes to financial systems or auditing standards.

AUTHORIZED DISPOSITION: Close files at the termination of the project and transfer to the FRC 3 years after closure. Destroy 7 years after closure. {NC1-217-82-1, Item 131-14}

182. JFMIP Project Working Papers

Workpapers and other records related to projects undertaken in the JFMIP program, but not filed as part of the Project Case File listed above.

AUTHORIZED DISPOSITION: Close files at the termination of a project and destroy 3 years after closure. {NC1-217-82-1, Item 131-16}

183. JFMIP Publications

The record set of all JFMIP publications, arranged chronologically.

AUTHORIZED DISPOSITION: PERMANENT. Close files at the end of each FY and transfer to the FRC in 5-year blocks. Transfer to the National Archives 20 years after closure in 5-year blocks. {NC1-217-82-1, Item 131-18}

National Intergovernmental Audit Forum (NIAF) Records

NIAF is a cooperative association of audit executives from federal, state, and local governments which is supported by GAO. The Forum's objective is to improve the audit process at all levels of government. GAO maintains records related to the ten regional forums, and all policy, organizational, and correspondence records for the national forum.

184. NIAF General Files

NIAF correspondence files related to the operation, procedures, policies, and management of the organization. The records are arranged by topic and consist of incoming and outgoing correspondence, reports and studies, meeting agendas, minutes of meetings, organizational structure and policies, bylaws, and the like. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and destroy 5 years after closure. {New item}

185. NIAF Financial Files

Financial records of the NIAF including bank statements, check registers, receipts, invoices, billings, travel vouchers, financial statements and the like.

AUTHORIZED DISPOSITION: Close files at the end of each FY after payment, reconciliation, or audit. Destroy 6 years and 3 months after closure. {GRS 6, Item 1a}

186. NIAF Meetings and Conferences Files

Minutes of meetings, agendas, meeting announcements, Executive Committee meeting minutes and correspondence, and similar records of NIAF meetings and conferences.

AUTHORIZED DISPOSITION:

- a. Routine records such as meeting and conference attendance and registration records, membership lists, mailing lists, conference planning and arrangements files, room reservation and space records, transportation and travel records for conference and meeting participants, and similar administrative and housekeeping records related to NIAF conferences and meetings.

Close files at end of each FY and destroy 3 years after closure. {New item}

- b. Published conference proceedings, published conference papers and studies, and published conference agendas and programs.

PERMANENT. Close files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

- c. Conference transcripts, audio and videotapes of conference sessions or meetings, and other similar unpublished conference or meeting records.

Close files at the end of each FY and destroy 3 years after closure. {New item}

187. NIAF Charter Files

Charters and other organizational correspondence, policies, and bylaws establishing the NIAF and the ten regional audit forums.

AUTHORIZED DISPOSITION: PERMANENT. Close files when superseded and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

188. Forums Project Files

Studies, plans, issue files, surveys, questionnaires, reports, audit guidelines, legislative recommendations and comments, financial and budget information, project status reports, printed versions of electronic mail messages, press releases, newsletters, training course

development information, and similar records related to the development of projects related to audit issues and priorities.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 5 years after closure. Destroy 20 years after closure. {New item}

189. Forums Publications

A record set of all NIAF publications, brochures, and other informational products issued by or sponsored by NIAF and the Regional Audit Forums.

AUTHORIZED DISPOSITION: PERMANENT. Close files annually at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

190. External Publications Files

Nonrecord copies of publications from related audit organizations that are maintained for reference purposes.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current business. {Nonrecord}

**Chapter XVI:
Acquisition Management Records**

The records listed in this chapter pertain to procurement transactions for supplies, equipment, and services.

191. General Correspondence and Operations Subject Files

Correspondence, memorandums, administrative and financial reports, budget reviews, analyses, research studies, procurement policies, contract practices, and other records concerning the overall operation and administration of the GAO procurement functions. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Destroy inactive files when 2 years old. {New item}

192. Procurement Policies and Procedures Files

Records containing procurement guidance, or which establish policy for the administration of GAO purchase orders, contracts, Federal Acquisition Regulations, and similar records.

AUTHORIZED DISPOSITION: Destroy when superseded or obsolete, or when no longer needed for current agency guidance. {NC1-217-82-1, Item 012-12}

193. Procurement Register Files

Registers, logbooks, or similar electronic or hardcopy records that assign and control case numbers for purchase orders and contracts.

AUTHORIZED DISPOSITION: Destroy when 3 years old, or 3 years after the final entry. {NC1-217-82-1, Item 012-10}

194. Purchase Order and Contract Files

Purchase order or contract records containing correspondence and related records pertaining to award, administration, receipt, inspection, and payment.

AUTHORIZED DISPOSITION: Close purchase order files at the end of each FY and transfer to the FRC 3 years after closure. Destroy 6 years and 3 months after closure. {GRS 3, Item 3a(1)}

195. Bids and Proposal Files

Records consisting of unsolicited and solicited bids and proposals, incoming and outgoing correspondence related to a bid or proposal, and similar records.

AUTHORIZED DISPOSITION:

a. Successful bids and proposals

Destroy with the related contract files (see Item 194). {GRS 3, Item 5a}

b. Unsuccessful bids and proposals

Destroy after the successful contract is completed and all claims or protests are settled. {GRS 3, Item 5b(1)}

c. Canceled bids and proposals

Destroy 5 years after cancellation. {GRS 3, Item 5c(1)}

d. Unopened bids and proposals

Return to bidder or offeror. {GRS 3, Item 5c(2)}

Chapter XVII: Personnel Records

Dispositions for records listed in this chapter usually pertain to the records located in organized personnel and human resources units, although personnel records may be maintained in program units throughout GAO, such as Supervisor's Personnel Files, time and attendance records, leave records, and the like. Refer to Chapter 1, "Common Records Found Throughout GAO" before applying the dispositions listed in this chapter to records that are located outside of the Office of Personnel.

196. Performance Appraisals: Non-SES employees

AUTHORIZED DISPOSITION:

- a. Unsuccessful or unacceptable performance appraisals that result in a written notice of proposed demotion or removal.

Destroy after the employee completes 1 years of acceptable performance in accordance with the written advance notice of proposed demotion or removal. {GRS 1, Item 23a(1)}

- b. Performance records superseded by a judicial, quasi-judicial, or administrative procedure.

Destroy when superseded. {GRS 1, Item 23a(2)}

- c. All other performance appraisals including the job elements and the standards upon which they are based.

Destroy 4 years after the date of appraisal. {GRS 1, Item 23a(4)}

197. Performance Appraisals: SES appointees

AUTHORIZED DISPOSITION:

- a. Performance records superseded by a judicial, quasi-judicial, or administrative procedure.

Destroy when superseded. {GRS 1, Item 23b(1)}

- b. All other performance appraisals including the job elements and the standards upon which they are based, excluding Presidential appointees.

Destroy 5 years after the date of appraisal. {GRS 1, Item 23b(3)}

198. Official Personnel Folders (OPFs)

Records filed on the right side of the Official Personnel Folder (OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention. {GRS 1, Item 1}

NOTE: See below for the disposition of temporary papers maintained on the left side of the OPF.

AUTHORIZED DISPOSITION:

a. Transferred employees.

Forward to the receiving agency within 30 to 90 days separation. {GRS 1, Item 1a}

b. Separated employees.

Transfer folder to National Personnel Records Center, St. Louis, MO, 30 days after separation. NPRC will destroy 65 years after separation from Federal service. {GRS 1, Item 1b}

199. Temporary Individual Employee Records (Left Side of OPF)

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with the appropriate OPM regulations, EXCLUDING performance-related records.

AUTHORIZED DISPOSITION: Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. {GRS 1, Item 10}

200. Position Description Files

The record copy of all GAO current and obsolete or abolished position descriptions including information on job title, series, grade, duties and responsibilities, and related documents. Maintained by organization structure.

AUTHORIZED DISPOSITION: Destroy 2 years after the position is abolished, or the description is superseded. {GRS 1, Item 7b}

201. Merit Selection Files

Records relating to competitive promotions to evaluator and evaluator-related positions at Bands I and II from within the agency. The files include panel decisions, selection decisions, and related documents discussed in the decision-making process. The files are maintained in each GAO unit with the exception of GAO Form 85C, which is maintained in the Personnel Office.

AUTHORIZED DISPOSITION: Close files at the end of the FY and destroy 3 years after closure. {N1-411-88-1, Item 053-12}

202. Non-Competitive Promotions Files

Records relating to non-competitive promotions such as reinstatements and transfers, or promotions granted as exceptions to the merit selection process.

AUTHORIZED DISPOSITION: Close files at the end of the FY and destroy 3 years after closure. {N1-411-88-1, Item 053-14}

203. Competitive Selection Files

Records relating to the employment of individuals for vacancies at grades GS-2 through GS-15 for other than evaluator and evaluator-related positions.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {New item}

204. Retirement Assistance Files

Correspondence, memorandums, annuity estimates, and other records used to assist retiring GAO employees or survivors claim insurance or retirement benefits.

AUTHORIZED DISPOSITION: Close files at the end of the FY the employee leaves or retires from GAO. Destroy 1 year after closure. {New item}

**Chapter XVIII:
Civil Rights, Affirmative Action, Equal Employment Opportunity,
and Labor Relations Records**

205. AA/CR Program Administrative Records

Subject files consisting of overall EEO/AA/CR guidance and program administration. The records consist of correspondence, reports, memorandums, and other records pertaining to overall GAO AA/CR program, office administration, policies and procedures, and similar subjects. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {New item}

206. EEO Discrimination Complaint Case Files

Complaints and the related correspondence, investigation reports, exhibits, notices, decisions, hearing records, and similar documentation of all cases handled by the Civil Rights Office or the GAO Personnel Appeals Board.

AUTHORIZED DISPOSITION:

- a. **Official Case Files:** Close files at the end of the FY in which the case reaches a final determination and no appeal rights remain. Destroy 3 years after closure. {N1-411-88-1, Item 054-16}
- b. **All other case files:** Destroy 1 year after case is closed. {New item}

207. EEO Counselor's Report Files

Informal report of allegations of discrimination by a GAO employee that may or may not result in a formal complaint.

AUTHORIZED DISPOSITION:

- a. **Reports that result in a formal complaint:**
File in the official EEO complaint case file.

b. Reports not resulting in a formal complaint:

Destroy when 2 years old. {GRS 1, Item 25c(2)}

208. EEO Program Subject Files

Correspondence, memorandums, and other materials related to various EEO and Affirmative Action programs under the responsibility of the EEO program office.

AUTHORIZED DISPOSITION: Close inactive files annually at the end of each FY and transfer to the FRC. Destroy 3 years after closure. {New item}

209. EEO Statistical Profiles and Reports

Printouts and other hardcopy extracts of data and information downloaded from the EEO or Personnel mainframe databases, or maintained in spreadsheets or other computer systems. Records are created and maintained for statistical analyses, agency compliance reporting, historical profiles, and other GAO reporting and program operation purposes.

AUTHORIZED DISPOSITION:

a. Printouts and other hardcopy records:

Destroy when 5 years old. {GRS 1, Item 25f}

b. Master files of EEO Personnel database:

Delete or update as needed for current agency business. {New item}

210. Periodic EEO Status Reports

Reports usually issued quarterly to track the progress of new complaints and the status of ongoing EEO cases.

AUTHORIZED DISPOSITION: Destroy when 2 years old. {GRS 1, Item 25d(2)}

211. EEO Affirmative Action Plans (AAP)

AUTHORIZED DISPOSITION:

- a. Agency copy of the consolidated AAP.

Destroy 5 years from date of plan. {GRS 1, Item 25h(1)}

- b. Agency feeder plan to consolidated AAP.

Destroy 5 years from date of feeder plan, or when no longer needed for current agency business. {GRS 1, Item 25h(2)}

212. Grievance and Appeals Case Files

Records created in the review of employee grievance and appeals, except EEO complaints. The case files include statement of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence, and exhibits.

AUTHORIZED DISPOSITION: Close completed cases at the end of each FY and destroy 3 years after closure. {N1-411-88-1, Item 054-38}

213. Adverse Action Review Case Files

Case files created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, within-grade denial) against an employee. The files include a copy of the proposed adverse action with supporting papers, statements of witnesses, employee's reply, hearing notices, reports, decisions, reversals of action, and other appeals records, excluding letters of reprimand.

AUTHORIZED DISPOSITION: Close completed cases at the end of each FY and destroy 4 years after closure. {N1-411-88-1, Item 054-40}

214. Complaint Files

Formal CR/EEO complaints filed with the Office of Civil Rights. A typical case includes correspondence, the complaint, reports of investigation, decisions or findings, records of meetings and hearings, and settlement records and final decisions from Personnel Appeals Board hearings or mediations.

AUTHORIZED DISPOSITION: Destroy 3 years after the case is closed. {NC1-217-88-1, Item 054-18}

215. Mediation Files

Files contain written agreements reached as part of the settlement of any matter addressed through mediation in accordance with case law and the Alternative Dispute Resolution Acts of 1991 and 1997.

AUTHORIZED DISPOSITION: Destroy 3 years after the case is closed. {New item}

216. Decision Files

Copies of final decisions of Civil Rights and Equal Employment Opportunity cases maintained solely for the convenience of reference.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business. {Nonrecord}

Chapter XIX: Personnel Appeals Board

The Personnel Appeals Board (PAB) was created in 1980 as an independent agency designed to afford GAO employees essentially the same rights that employees in the Executive Branch enjoy. The PAB combines the adjudicatory functions of the Merit Systems Protection Board (MSPB), the Federal Labor Relations Authority (FLRA), and the Equal Employment Opportunity Commission (EEOC). The Board's Office of General Counsel performs the investigatory and prosecutorial functions of the Office of Special Counsel and the FLRA General Counsel. The PAB adjudicates disputes concerning personnel actions or alleged discrimination. The Board also has the authority to certify collective bargaining representatives and to adjudicate unfair labor practices, but, in the absence of a union at GAO, has not had the occasion to do so. The PAB has oversight authority over equal employment opportunity in GAO's personnel practices and programs.

217. General Office Administrative Subject Files

Records relating to the overall management and administration of the Personnel Appeals Board or GAO such as correspondence, memorandums, reports, policies, procedures, and similar materials. Files are arranged alphabetically by subject or by GAO organization. The records do not contain unique information concerning the activities of the Board. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

218. Prohibited Personnel Practices Case Files

Docketed case files consisting of the original complaints or appeal records including correspondence, exhibits, notes or minutes of meetings, statements of witnesses, reports of interviews, investigation reports, hearing examiner findings, recommendations, and Board decisions. Case files include matters related to claims of discrimination, adverse actions, grievances, disciplinary actions, whistleblowing, collective bargaining and labor relations, and other personnel actions the Board is authorized to adjudicate. Cases may be resolved by mediation or through formal Board hearings.

AUTHORIZED DISPOSITION: Close completed case files at the end of each FY and transfer to the FRC 5 years after closure. Destroy 30 years after closure. {New item}

219. Prohibited Personnel Practices Case Tracking System

Electronic records that control and track the status of Prohibited Personnel Practices cases brought before the Personnel Appeal Board.

AUTHORIZED DISPOSITION: Update and delete as needed for current agency business. {New item}

**Chapter XX:
Information Management and Communications Records**

The records in this chapter relate to agency programs directed by the Office of Information Management and Communications (OIMC) in the following areas:

General Office Records

220. Correspondence and Operations Subject Files

Official files usually arranged by topic which include correspondence, memorandums, reports, and publications concerning overall office management, policy and operation. Topics include computer security; long range and strategic planning records; guidelines and procedures; weekly, monthly, and quarterly staff administrative reports; programming and analysis reports; budget and financial records and correspondence, office equipment and supply purchases, and other general records relating to IRM, computer and information technology services, printing and communication, library operations; telecommunications; distribution; records and information management; mail control, and other programs of OIMC. These records are located in official files of the Director, division directors, or in other staff program units. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files annually at the end of each FY and transfer to the FRC. Destroy 5 years after closure. {New item}

Distribution Services Records

221. GAO Documents--Publications Files

GAO documents including all unclassified audit reports, program plans, Annual Reports, Comptroller General decisions, testimonies, opinions, letters, speeches, and other publications entered into the GAO Documents Database.

AUTHORIZED DISPOSITION:

a. Hardcopy records:

Destroy in agency after microforms have been inspected and verified as required in 36 CFR 1230. {NC1-217-82-1, Item 063-06b}

b. Microform records:

PERMANENT. Transfer original silver microform and one reference copy to the National Archives when 2 years old in accordance with the standards set forth in 36 CFR 1230. {NC1-217-82-1, Item 063-06b}

c. Video records:

Videotapes of GAO reports, testimony, and hearings that supplement published reports, or which are released only as video documents and are not preserved in other formats listed in this item.

PERMANENT. Transfer the original (master) videotape and one reference copy directly to the National Archives 10 years after the report is issued in accordance with standards set forth in 36 CFR 1228. {NC1-217-82-1, Item 044-06a}

d. Electronic reports:

GAO documents and reports that are distributed only in an electronic format, or which are printed in limited distribution runs, or are not preserved for recordkeeping purposes in either hardcopy or microform.

NOTE: This item does not include dissemination products such as Adobe PDF files or the equivalent which are maintained and posted for electronic dissemination purposes but are not considered to be the official recordkeeping version.

~~PERMANENT. Transfer directly to the National Archives 10 years after the report is issued in accordance with standards set forth in 36 CFR 1228.~~

222. Classified GAO Audit Reports and Documents

One copy of each GAO classified audit report and related records. When a report is declassified, it is added to the GAO Documents files listed above.

AUTHORIZED DISPOSITION: Transfer to the GAO Documents--Publications Files listed in Item 221a after the records are declassified. {New item}

223. GAO Documents Database

Electronic database containing an index of all GAO publications. The database consists of two files: DOCUMENT, which contains bibliographic data on unrestricted documents; and RESDOC, which contains citations for restricted documents.

~~AUTHORIZED DISPOSITION: PERMANENT. Transfer to the National Archives when the microforms of GAO Documents listed above are transferred to the National Archives. {New item}~~

224. Document Systems and Services Records

Records pertaining to planning, designing, and developing bibliographic and document systems and services for storing and distributing GAO documents, providing administrative services for these systems, and periodic statistical reports from them.

AUTHORIZED DISPOSITION:

- a. Procurement records: Transfer procurement, contract, and acquisition records to Acquisition Management (AM) when system is approved. {New item}
- b. System configuration and operational documentation: Update or destroy as needed for current agency business. {New item}
- c. Statistical and other periodic reports: Destroy when superseded by summarized or consolidated reports, or when no longer needed for current agency business, whichever is later. {New item}

Information and Technology Services Records

225. Information Technology Acquisition Files

GAO Form 31, or the equivalent, and related records consisting of information technology requests, IT studies, system and acquisition justifications, requisitions, needs assessments, statements of requirements, and similar records that pertain to GAO's information technology acquisition process.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

226. Information Technology Project and Planning Records

Records that pertain to specific information technology projects undertaken by OIMC offices such as network design and installation, computer hardware and software upgrade programs, conversion to new information technology systems, and the like. The records

may contain correspondence, reports, plans, blueprints, copies of contracts, system design and analysis records, specification, progress reports, and similar documentation.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and destroy 3 years after closure. {New item}

227. Technical Notes and Standards files

Technical Notes and Standards that are issued after a project is completed, and which contain descriptions of system requirements, technical documentation on LAN and WAN system operations, equipment requirements and operating procedures, specifications for hardware and software that operate on LAN or WAN systems, and other operational and system maintenance procedures.

AUTHORIZED DISPOSITION: Destroy when superseded or obsolete, or when no longer needed for current agency business. {New item}

228. System Change Requests (SCR)

System change requests that are received from GAO divisions and sent to OIMC/OSC for review and action. Depending on the nature of the request, the SCR may be sent to other OIMC units for review and analysis, may result in network system changes or modifications, or may become a part of an IT Project or Planning record.

AUTHORIZED DISPOSITION: Destroy 1 year after the action is completed, or after changes have been incorporated into appropriate system documentation, Technical Notes, Technical Standards, or other system specifications. {New item}

229. Agency Data Dictionary (ADD)

The GAO ADD is part of OIMC's goal to promote data sharing across GAO systems, reduce data inconsistency, reduce data redundancy, and encourage a corporate-wide view of GAO data. The ADD contains the standard name, standard description, standard format and length of each data element used in a GAO application. The ADD will also state which applications each data element is used in. The dictionary is used in systems design and analysis, and to provide Information Technology services to GAO divisions/offices.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business. {New item}

230. Tape Management System (TMS)

This system handles the management and tracking of tapes maintained for GAO by OIMC.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business.
{New item}

231. Information Engineering Models

Models and other data that are used to map or characterize GAO decision processes, data relationships, or similar processes. Models are used in designing new IT systems, software design, and to provide other OIMC support and system design services throughout GAO.

~~**AUTHORIZED DISPOSITION:** Update or delete as needed for current agency business.
{New item}~~

Publishing and Communications Records

232. Videotapes and Motion Pictures

Videotapes or other motion pictures, and their related records, created or produced by GAO, such as videotapes of GAO testimony and hearings, news interviews with senior GAO officials, public information or news broadcasts which cite GAO reports or findings, news releases or press conferences, public service announcements, and similar productions that are created to disseminate agency information to employees, customers, or to the public. The largest collection of videotapes is maintained in the Publishing and Communications Center (PCC).

AUTHORIZED DISPOSITION:

a. Official record set

The original edited master video recording and one reference copy, and related textual production records.

PERMANENT. Close files every 5 years and transfer directly to the National Archives. {NC1-217-82-1, Item 044-06a}

NOTE: For each type of audiovisual record designated as permanently valuable, the specific record components required by 36 CFR 1228 for preservation, reproduction, and reference are listed below.

Video recordings: The original or earliest generation of each video recording, and a dubbing, if one exists.

Sound recordings: The original or earliest generation of each audiotape recording, and a dubbing, if one exists.

Motion pictures:

Agency-sponsored films: The original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.

b. Duplicate copies and routine training records

Duplicate or distribution copies of audiovisual records listed above, and agency produced or acquired videotapes used primarily for training GAO employees on routine office procedures, office and computer equipment, employee health and safety regulations or programs, and similar training.

Destroy when no longer needed for current agency business, or when superseded or obsolete. {New item}

233. Negatives, Photographic Prints, and Slides

Photographic negatives, prints, transparencies, slides, of GAO buildings, portraits of senior GAO officials and prominent staff; and similar photographs that document the operation, physical facilities, work environment, evaluation procedures, and significant GAO programs and operations.

The largest central collection of GAO photographs is maintained by the Publishing and Communications Center (PCC). Official GAO photographs may also be located in other organizational units. The dispositions below apply to all photographs throughout GAO that are not duplicated in the PCC photograph collections.

AUTHORIZED DISPOSITION:

Original or master negatives, slides, and photographic prints

Photographic records relating to GAO's mission, including photographs of the GAO facilities including architecturally or historically significant buildings, division or unit work spaces and interiors, photographs of GAO employees at work, photographs that document significant GAO evaluations, projects, and operations, portraits of senior agency officials (ACGs or above), VIPs, awards and ceremonies at the ACG level or above, and distinguished GAO employees. The photographs may serve both internal GAO administrative purposes, or external purposes that include exhibits, publications, news releases, and similar GAO mission and public relations purposes. Selected OIMC/PCC photographs, or photographs maintained by other GAO audit or staff units may be transferred to the GAO History Program Archives (See Office of Policy records).

PERMANENT. Close files every 5 years and transfer to the National Archives in 5-year blocks when 20 years old. {New item}

NOTE: To provide for the proper preservation of GAO's photographic images, color and black and white negatives should be maintained in separate files (see below) while in agency custody, and transferred separately to the National Archives in accordance with the disposition instructions. For each type of audiovisual record designated as permanently valuable, the specific components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.

Black and white photography: the original negative and a captioned print.

Color photography: the original negative, a captioned print, and a duplicate negative, if one exists.

Color transparency and slide photography: The original and one duplicate copy.

Slide sets or filmstrips and accompanying audio recordings or scripts: Two copies.

The National Archives reserves the right to dispose of any material already appraised as disposable under the General Records Schedules or other approved agency schedules, as well as all duplicate, unidentifiable, fragmentary, unrelated, or non-archival materials during archival processing without further agency notification.

234. Posters and other graphic arts

Two copies of all official GAO posters or graphic art products that document significant GAO programs, operations, events, and anniversaries, or which created for special internal programs or for external public relations uses.

AUTHORIZED DISPOSITION:

a. Official record set.

PERMANENT. Transfer two copies of each official GAO poster or graphic art product to the National Archives immediately upon publication. {New item}

NOTE: For each type of audiovisual record designated as permanently valuable, the specific components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.

Graphic arts and posters: Two copies.

b. Routine administrative posters.

Posters or flyers that are used for routine GAO administrative programs such as safety awareness campaigns, fundraising and charity campaigns, fire safety, and similar programs.

Destroy when no longer needed for current agency business. {New item}

235. Graphics Files used for GAO Printing and Reproduction Services

Printing and graphic products such as copy masters, proof sheets, printing negatives, and camera-ready work in hardcopy, photographic, or electronic format used in GAO publications and maintained only for printing and reproduction services.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business. {New item}

236. Printing Job Files

Project files consisting of records related to the execution of printing, binding, and duplication jobs including requisitions, bills, samples, manuscript clearances, copies of requisitions of the Public Printer, and copies of contracts for services obtained outside the agency.

AUTHORIZED DISPOSITION: Close completed jobs at the end of the FY and destroy 1 year after closure. {GRS 13, Item 3a}

237. Joint Committee on Printing (JCP) Reports

Reports to the JCP regarding the operation of printing plants and inventories of printing, binding, and duplicating equipment.

AUTHORIZED DISPOSITION: Close files at the end of the FY and destroy 3 years after closure. {GRS 13, Item 5a}

238. GAO Forms Files

Case files relating to all standard and optional forms for which GAO is the promulgating office, and all internal GAO forms. Records include the record copy of all forms, blanks and drafts of forms, forms design specifications, justifications, approvals and concurrences, and similar records.

AUTHORIZED DISPOSITION: Close files when the form has been superseded or discontinued. Destroy 5 years after closure. {GRS 16, Item 3}

Mail Management Records

239. Postage and Express Shipment Usage Records

Electronic or hardcopy statistical reports, activity reports, meter readings, and similar records of postage used or express charges paid on outgoing mail and private carrier shipments by the U.S. Postal Service or by private carriers such as United Parcel Service or Federal Express. Records include reports of registered, certified, foreign, and parcel post shipments.

AUTHORIZED DISPOSITION: Delete or destroy when 1 year old. {Exception to GRS 12, Item 6b}

240. Penalty Mail Report Records

Official penalty mail reports and other related records.

AUTHORIZED DISPOSITION: Destroy when 6 years old. {GRS 12, Item 7}

241. Postal or Express Service Irregularities Files

Memoranda, correspondence, reports, and other records pertaining to irregularities in the handling of mail or other private carrier shipments such as loss or shortage of stamps, unauthorized charges or meter reading irregularities and abuse, destruction of mail, and the like.

AUTHORIZED DISPOSITION: Destroy 3 after the completion of the investigation or resolution of the accounts. {GRS 12, Item 8}

242. Mail, Postage, and Express Shipping Databases and Tracking Records

Electronic databases or computer interface programs, and any hardcopy records that are used to track or control receipt, routing, delivery, nondelivery, or returns of all incoming and outgoing packages or mail by the U.S. Postal Service or other express shipping agents such as Federal Express or United Parcel Service.

NOTE: These records are not used to account for charges or to support payment vouchers.

AUTHORIZED DISPOSITION: Update as needed for current agency business, and delete or destroy when 1 year old. {New item}

Information Services and Library Management Records

243. Integrated Library System (ILS)

ILS is an integrated library system that provides library circulation, online catalog, interlibrary loan, serial check-in, and cataloging information and services for all GAO library materials. ILS also maintains library acquisition and payment functions via an interface with FMS.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business. {New item}

244. Library Materials Procurement Files

Records pertaining to selecting and procuring books, periodicals, and other library materials including reviews and approvals.

AUTHORIZED DISPOSITION: Close files at the end of each FY. Destroy 6 years and 3 months after closure. {GRS 3, Item 3a}

245 Catalog Files (Shelflist)

Card catalog of library holdings comprised of one card for each title held in the GAO Library arranged in shelflist order by call number. Contains author, title, publisher, date, pagination, subject headings, and the like.

AUTHORIZED DISPOSITION: Destroy individual cards as they are superseded, or when the library materials they refer to are removed from GAO. {New item}

246. Inter-Library Loan Records

Records pertaining to borrowing, control, and return of materials from other libraries and outside agencies, including records pertaining to the payment of fees, if any, for the use of the borrowed materials.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 5 years after closure. {New item}

247. Online Search Tracking Log

Electronic tracking system providing information on requestors, division, search topic, information retrieved by library staff from LEXIS-NEXIS, DIALOG, and other online search services, turn-around time, and the like.

AUTHORIZED DISPOSITION: Update or delete as needed for current agency business. {New item}

248. Legislative History Files (Bills enacted into Law)

Arranged chronologically by the Congress and thereunder numerically by Public Law number. Materials relating to the legislative history of laws passed by the Congress. From 1921-1930, only legislation related to GAO was included. From 1931 to 1995, histories of all enacted laws were compiled. The materials in each history are divided into three subseries:

Congressional Materials: Includes various drafts of the bill, committee reports, excerpts from the *Congressional Record*, slip laws, House and Senate documents, clippings from the House daily calendar and from the calendars of the Senate and House committees, and other similar materials. This segment is further divided into three groups: materials relating to the enacted bill, materials from the same Congress related to similar bills, and materials from previous Congresses related to similar bills.

GAO Materials: Includes correspondence with congressional committees, executive branch agencies, and clippings, Comptroller General decisions, and reports on legislation prepared by GAO and other agencies.

Printed Hearings: Congressional hearings volumes and other materials that are too bulky to be included in the congressional materials described above.

AUTHORIZED DISPOSITION:

a. Original hardcopy records that are microfilmed:

Transfer to the FRC when all administrative needs for the records have ended. Destroy 10 years after transfer to the FRC. {N1-411-90-5, Item 1a}

b. Microfiche copies:

PERMANENT. Transfer the original camera film and one diazo reference copy to the National Archives at the end of the FY, after microfiche has been inspected and verified in accordance with 36 CFR 1230. {N1-411-90-5, Item 1b}

c. Other records: Original hardcopy records that are not filmed, or original hardcopy records that were incorrectly filmed and will not be refilmed. Included in this item are hardcopy legislative histories from 1911-present that were not filmed because the file is known to be incomplete.

PERMANENT. Transfer to the National Archives when all administrative needs for the records are met. {N1-411-90-5, Item 1c}

249. Legislative History Files (Bills not enacted into Law)

Legislative histories of bills, committee reports, hearings, and *Congressional Record* extracts, related bills, and related records from prior Congresses arranged chronologically as the action occurred. These files are arranged by source (House or Senate), and thereunder by bill number and type of bill. Bills that become law are placed in the Legislative History Files listed above.

~~AUTHORIZED DISPOSITION:~~

~~a. — Records created through the 94th Congress (1977):~~

~~Close files 2 years after the Congress ends and transfer to the FRC. Destroy 80 years after closure. {NC1-217-85-3}~~

~~b. — Records created from 1978 - 1996:~~

~~Close files 2 years after the Congress ends and transfer to the FRC. Destroy 30 years after closure. {NC1-217-85-3}~~

250. Subject Index Cards for Legislative History Materials

Three-by-five index cards listing subject and law citation. Cards contain bill or law number, sponsor, title of bill or law, prior history information, and whether request was received from Congressional committee to report on the legislation. Index cards cover the period 1921-1980.

AUTHORIZED DISPOSITION: PERMANENT. Transfer to the National Archives when no longer needed for GAO administrative purposes. (Note: Individual cards may be destroyed in the agency when the information on them is consolidated onto other cards.) {NC1-217-82-1, Item 110-16}

Records Management Program Records

251. GAO Records Management and Disposition Records

Records such as approved record schedules (SF-115's), approved requests for transfer (SF-135s), published agency manuals, vital records management guidelines and policies, and similar records that pertain to GAO's record scheduling, disposition, and records and information management program. The files may contain correspondence, reports, forms, evaluations, memorandums, and similar program-related records.

AUTHORIZED DISPOSITION: Destroy when related records are destroyed, transferred to the National Archives, or when no longer needed for current agency business or reference purposes. {GRS 16, Item 3a}

252. Reference Request Files

Optional Form 11s (OF-11s) and other records relating to the retrieval of records from storage centers for temporary agency use.

AUTHORIZED DISPOSITION: Destroy when records have been returned to storage, or when no longer needed for current agency business. {New item}

253. GAO Records Disposal Request Files

Records that pertain to the authorized or unauthorized destruction of GAO records, including approvals, reviews, reports, correspondence, memorandums, notices of intent to destroy records, and similar documents.

AUTHORIZED DISPOSITION: Destroy when related records are destroyed or when no longer needed for current agency business. {GRS 16, Item 3a}

Telecommunications Program Records

254. Telecommunications Reports and Correspondence Subject Files

AUTHORIZED DISPOSITION:

- a. Correspondence, memorandums, and related records pertaining to internal management, administration, and operations.

Close files at the end of each FY and destroy when 2 years old. {GRS 12, Item 2a}
- b. Telecommunications records including plans and reports that pertain to equipment requests, telephone service, and similar matters.

Close files at the end of each FY and destroy when 3 years old. {GRS 12, Item 2b}
- c. Telecommunications statistical reports, including cost and volume data.

Close files at the end of each FY and destroy when 1 year old. {GRS 12, Item 2c}
- d. Telecommunications reference voucher files.

- (1) Reference copies of vouchers, bills, invoices, and related records.

Destroy when one year old. (GRS 12, Item 2d(1))

- (2) Records relating to installations, changes, removal, and servicing of equipment.

Destroy 1 year after audit or when 3 years old, whichever is sooner. {GRS 12, Item 2d(2)}

- e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Destroy 2 years after expiration or cancellation of agreement. (GRS 12, Item 2e)

255. Telecommunications Operational Files

Message registers, logs, performance reports, daily load reports, and related records.

AUTHORIZED DISPOSITION: Destroy when 6 months old. {GRS 12, Item 3a}

256. Telephone Summaries Files

Summaries of long distance telephone report used to indicate authorized uses of telephone service as well as to audit expense vouchers.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy after the close of the FY in which audited. {New item}

257. Telephone Use Records

Call detail records and initial reports provided by the agency's long distance carrier of telephone usage (e.g. telephone calls, facsimile transmissions, and electronic mail) during a specified period of time, as well as records generated from initial reports for administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, the duration of the use and the estimated or actual cost of use.

AUTHORIZED DISPOSITION: Destroy when three years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records. {New item}

**Chapter XXI:
Public Affairs Records**

258. Office of Public Affairs Subject Files

Correspondence, reports, newsclippings, media policies and procedures files, mailing lists, biographies, and similar records that are used by the Director of Public Affairs. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC. Destroy 5 years after closure. {New item}

259. GAO Clippings

Nonrecord compilation of clippings, articles, and reprints from newspapers or magazines that are of interest to GAO and which are maintained solely for reference purposes.

AUTHORIZED DISPOSITION: Destroy when no longer needed for reference. {Nonrecord}

260. Photographs

Photographs of the Comptroller General, the GAO building, and other GAO personnel or activities.

AUTHORIZED DISPOSITION: PERMANENT. Transfer directly to the National Archives when 20 years old in accordance with 36 CFR 1228.184. {New item}

NOTE: These photographs may be transferred to the GAO history program when no longer needed for current agency business, and then transferred to the National Archives. Photographs in the history program are also scheduled for permanent retention.

261. GAO Management News Files

GAO Management News is an agency publication for the communication of official news to GAO staff. The records contain the final publication as well as background materials and working papers.

AUTHORIZED DISPOSITION:

- a. **Record set: PERMANENT.** Close files at the end of each FY and transfer to the FRC when 5 years old. Transfer to the National Archives when 20 years old. {New item}
- b. **Background papers and working files:** Destroy when 3 years old or when no longer needed for current agency business, whichever is sooner. {New item}
- c. ~~**Electronic files (maintained for information dissemination purposes):**~~ Update or delete as needed for current agency business.

262. Monthly Reports and Testimony Records

Bibliographies, checklists, and indexes of GAO publications and releases. A monthly list of GAO publications is requested by Congress and highlights specific GAO reports and testimony on a monthly basis. Arranged by month.

AUTHORIZED DISPOSITION: Close files at the end of each FY. Destroy when 3 years old. {New item}

263. Information Request Files

Records containing Congressional and Press contacts, information requests from the public, and similar materials.

AUTHORIZED DISPOSITION: Destroy when 3 years old. {New item}

Chapter XXII: Travel Records

This chapter covers record copies maintained in the agency by the Financial Management unit or field offices with delegated responsibilities. Copies maintained elsewhere in the agency are covered in Chapter I.

264. Travel Order Files

Travel orders, arranged by travel order number, including blanket travel orders, trip authorizations, travel advances, local travel reimbursements, and GAO Form 176 or equivalent.

AUTHORIZED DISPOSITION: Close files at the end of each FY and transfer to the FRC. Destroy 6 years after closure. {GRS 9, Item 1a}

265. Travel Voucher Files

Travel vouchers and supporting records maintained by Batch ID, including certificates of POV/common carrier entitlement. Original travel vouchers and supporting documentation may include travel authorizations, transportation requests, government or commercial bills of lading, travel registers, and travel control records which cover commercial freight and passenger transportation.

AUTHORIZED DISPOSITION:

- a. **Settled accounts:** Close files at the end of each FY and transfer to the FRC. Destroy 6 years after closure. {GRS 9, Items 1a and 1c}
- b. **Disputed accounts:** Close files at the end of each FY and transfer to the FRC. Destroy 10 years after closure. GRS 9, Item 1b}

266. Travel Schedules, Guides, Maps, and Directories

Reference copies of travel directories, airline guides, atlases, maps, and other publications.

AUTHORIZED DISPOSITION: Destroy when superseded, obsolete, or when no longer needed for current agency business. {New item}

267. Relocation Advances

Relocation cards and similar records relating to the advancement of funds for employee relocation.

AUTHORIZED DISPOSITION: Close files at the end of each FY. Destroy 6 years after closure. {New item}

268. Employee Relocation Service Records

Bills from moving companies received by GAO for costs of employee relocation.

AUTHORIZED DISPOSITION: Close completed files at the end of each FY. Destroy 6 years and 3 months after closure. {GRS 6, Item 1a}

269. Government Charge Card Files (Travel)

Records relating to the issuance and maintenance of contractor-issued charge cards for official travel by GAO employees. Files includes transfer notices, cancellations, billing statements, corporate activity reports, late payment notices, and similar records related to the use of government charge cards.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 1 year after closure. {New item}

**Chapter XXIII:
Inspector General Records**

270. Internal Audit and Evaluation Records

Project files related to internal audits and studies of GAO's activities, programs, procedures, and their implementation. Included in these files are documents reflecting the initiation of the project, audit guidelines, working papers, interview notes, checklists, survey questionnaires, final reports, rebuttals or other comments, and related materials.

AUTHORIZED DISPOSITION:

a. Final report and key documents:

The final audit or evaluation report, initiation papers, audit methodology and guidelines, and rebuttals or comments on the report.

Close files at the end of the FY the audit is completed and transfer to the FRC 10 years after close. Destroy 20 years after close of audit. {N1-411-90-3, Item 041-08a(1)}

b. Workpapers:

Close files at the end of the FY the audit is completed. Destroy 3 years after closure. {N1-411-90-3, Item 041-08a(2)}

c. All other papers:

Destroy when no longer needed. {N1-411-90-3, Item 041-08b}

271. Investigation Case Files

Case files containing information or allegations of fraud, waste, abuse, violations of law, infractions of GAO policy or procedures, or other irregularities that are brought to the attention of the Inspector General or IG staff. Investigations may lead to formal evaluations or studies, or may be referred to the appropriate internal or external office or agency for continued investigation or enforcement actions.

AUTHORIZED DISPOSITION: Destroy 3 years after last action. {New item}

**Chapter XXIV:
Recruiting Records**

272. General Recruitment Program Subject Files

Records relating to the overall management and administration of the GAO recruiting program including general policies and procedures, correspondence, reports, and similar records that relate to the overall recruiting program. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of the FY and destroy 5 years after closure. {New item}

273. Employment Applications Files

Applications for employment such as SF-171, OF-612, resumes, and related materials.

AUTHORIZED DISPOSITION: Close files at the end of the FY and destroy 2 years after closure. {NC1-217-82-1, Item 053-02}

274. Control and Tracking System for Employment Applications

Electronic database or other computer records that track and control employment applications. Database may control correspondence, dates of actions, status of reviews and eligibility, examinations, and similar pre-employment actions.

AUTHORIZED DISPOSITION: Delete or destroy completed entries when 2 years old, or when no longer needed for current agency business. {New item}

275. Examination Files

Secretarial examination records including test materials, test answer sheets, reports of examinations, scores, and related correspondence.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 3 years after closure. {GRS 1, Item 33}

276. Recruiting Publicity and Products Records

Hardcopy and nontextual materials relating to the recruiting program, promotions, and recruiting campaigns at universities, job fairs, and other recruiting programs. The materials include correspondence, brochures, videotapes, photographs, reports, and similar records.

AUTHORIZED DISPOSITION: Destroy when 2 years old, or when superseded, obsolete, or no longer needed for current agency business. {New item}

277. Student Employment Program Records

Records relating to the employment of students who work part-time at GAO, including student internships. Records include position descriptions, appointment letters, requests for personnel action, SF-52s, and end of assignment appraisals.

AUTHORIZED DISPOSITION: Close files at the end of each FY when appointment ends and destroy 3 years after closure. {New item}

Chapter XXV: Office of Special Investigations

The Office of Special Investigations (OSI) was established in 1986 to ensure that possible violations of federal laws, uncovered in GAO's audit and evaluation work, are handled by trained, experienced criminal investigators. OSI investigates specific allegations involving conflict-of-interest and ethics matters, contract and procurement irregularities, official misconduct and abuse, and fraud in federal programs or activities. OSI investigates the validity of the allegations and either refers violations to the appropriate executive branch investigative or prosecuting office, or investigates the matter jointly with the executive branch. OSI also operates GAO FraudNet, an automated system for reporting allegations of fraud, waste, and abuse..

278. General Office Administrative Subject Files

Records relating to the overall management and administration of OSI or GAO such as correspondence, memorandums, reports, policies, procedures, and similar materials. Files are arranged alphabetically by subject or by GAO organization. The records do not contain unique information concerning the activities the Office of Special Investigations. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

279. OSI Policy and Precedent Files

Documents establishing policies and procedures for special investigations and fraud. Policies and precedents are derived from statutory authorities and from past investigative practices that established a precedent for OSI investigations.

AUTHORIZED DISPOSITION: PERMANENT. Close inactive files at the end of each FY and transfer to the FRC 10 years after closure. Transfer to the National Archives 20 years after closure. {New item}

280. OSI Investigative Handbook

OSI Investigative Handbook contains official GAO investigation policy statements, legal authorities, statements of responsibility, OSI agent conduct policies, and investigation planning guidance. The policies and procedures contained in the handbook are based on GAO's statutory authority and relevant court decisions. Procedural chapters pertain to

Investigations, Interviews, Written Statements and Affidavits, Warnings, Investigative Techniques, Allegations, Case File Control, and the like.

AUTHORIZED DISPOSITION:

- a. **Published handbook (Record copy):** PERMANENT. Transfer the most current published handbook directly to the National Archives in 1997. Thereafter, transfer succeeding handbooks directly to NARA when the handbook is reissued or republished in its entirety. {New item}
- b. **Background case files.** PERMANENT. Transfer directly to the National Archives 10 years after they are superseded. {New item}

281. OSI Administrative and Reporting Procedures Handbooks

OSI administrative, procedural, and report writing handbooks that contain routine policy and procedural information or guidance relating to the internal administration of OSI investigations. These handbooks include information on job processing procedures, report writing, report format, personnel procedures, agent duty status, agent time reporting requirements, and other routine administrative procedures.

AUTHORIZED DISPOSITION:

- a. **Manuals:** Destroy 5 years after the handbooks are updated, superseded or obsolete. {New item}
- b. **Background Case Files:** Destroy 5 years after policies and procedures are updated, superseded, or obsolete. {New item}

282. FraudNet Referral and Response Logs

Logs or similar records in hardcopy or electronic format which contain a record of cases referred to the appropriate agency's Inspector General and the date of response. Logs may contain summary or other notations as to the results of the investigations, correspondence or report actions, and similar notations on the status of the referral.

AUTHORIZED DISPOSITION:

- a. **Electronic records:** Update and delete as needed for current agency business. {GRS 23, Item 8}

- b. **Hardcopy records:** Close completed cases at the end of each FY and destroy 10 years after closure. {N1-411-91-1, Item 134-02}

283. FraudNet Case Files

Case files which contain the original allegation, notes of all contacts, correspondence transmitting the allegation to the appropriate agency's Inspector General, attachments or exhibits, and a copy of the final disposition report forwarded to OSI by the investigating agency. Numerically arranged beginning with Case Number 34,500.

AUTHORIZED DISPOSITION:

- a. **Substantive Cases:** Close files at the end of the FY in which the case is closed and transfer to the FRC 3 years after closure. Destroy 10 years after closure. {N1-411-91-1, Item 134-04}
- b. **Non-substantive Cases (N/S):** Destroy 5 years after the case is closed. {N1-411-91-1, Item 134-04}

284. Other OSI Fraud Allegation Files

Files containing correspondence or other records between OSI and individuals that do not result in the initiation of a FraudNet Case.

AUTHORIZED DISPOSITION: Close completed files at the end of the FY and destroy 5 years after closure. {New item}

285. FraudNet Congressional Request Files

Case files containing correspondence received from the House or Senate concerning constituent problems.

AUTHORIZED DISPOSITION: Close files at the end of the FY and transfer to the FRC 3 years after closure. Destroy 10 years after closure. {N1-411-91-1, Item 134-08}

286. OSI Investigation Case Files

Evidentiary and Job Management and Product files of all OSI investigations consisting of the original request from Congress to initiate an investigation, investigation plans,

correspondence, memorandums, reports of interviews, NCIC and other background checks, copies of materials and records that are relevant to the investigation, newsclippings or other background records related to the investigation, and case disposition or referral records.

OSI staff should select case files for permanent retention prior to transferring the records to the FRC for storage. Cases will be selected according to the following criteria:

1. Investigations that aroused unusual or widespread national or regional media attention or publicity.
2. Investigations that set a legal precedent or changed GAO or federal government policies relating to audits, evaluation, and investigations.

AUTHORIZED DISPOSITION:

a. Selected case files:

PERMANENT. Close completed files at the end each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

b. All other case files:

- (1) Cases that resulted in a referral to another agency or significant enforcement action:

Close completed files at the end of each FY and transfer to the FRC 5 years after closure. Destroy 20 years after closure. {New item}

- (2) Cases that did not result in a referral or enforcement action:

Close completed files at the end of each FY and transfer to the FRC 5 years after closure. Destroy 10 years after closure. {New item}

**Chapter XXVI:
Program Planning Records**

287. General Office Administrative Subject Files

Records relating to overall management and administration of the Office or GAO such as correspondence, memorandums, reports, policies, procedures, and similar materials. Files are arranged alphabetically by subject or by GAO organization. The records do not contain unique information concerning the activities the Office of Program Planning. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

288. Job Starts Files

Correspondence, memorandums, new job proposals, job completion plans, copies of congressional letters, and related documents pertaining to GAO job starts.

AUTHORIZED DISPOSITION: Close completed files at the end of the FY and destroy 2 years after closure. {New item}

289. Program Plans/Issue Area Files

Program plans, issue area operational plans, and related records prepared by each division or office. The office coordinates the development and review of GAO issue areas, and provides input into division program plans.

AUTHORIZED DISPOSITION: PERMANENT. Close completed files at the end of the FY and transfer in 5-year blocks to the FRC. Transfer to the National Archives 20 years after closure. {NC1-217-82-1, Item 022-04}

290. Program Planning Committee Files

Agenda, minutes of meetings, correspondence, and related records of the Small Group Meeting. This group reviews GAO assignments requiring special attention based on questions, issues, or concerns raised in the Job Starts Group meetings.

AUTHORIZED DISPOSITION: Close completed files at the end of the FY and destroy 3 years after closure. {NC1-217-82-1, Item 022-08}

291. Legislative Branch Coordination Files

Files containing correspondence, memorandums, reports, and other records relating to GAO's coordination of its programs with the Congressional Research Service, the Congressional Budget Office, and other Legislative Branch support agencies. These files also include the Research Notification System instructions and records.

AUTHORIZED DISPOSITION: Close completed files annually at the end of the FY and destroy 3 years after closure. {NC1-217-82-1, Item 022-10}

292. Special Projects and Studies Files

Correspondence, memorandums, reports, and other records related to projects that analyze office-wide job management projects, and other projects and studies undertaken by the Office of Program Planning.

AUTHORIZED DISPOSITION: Close completed files at the end of the FY and destroy 3 years after closure. {NC1-217-82-1, Item 022-12}

**Chapter XXVII:
Counseling and Career Development Records**

293. Counseling and Career Development General Subject Files

Correspondence, memorandums, reports, studies, and other records related to overall management and administration of the GAO career development and counseling programs. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY. Destroy when 3 years old. {New item}

294. Personnel Counseling Records

AUTHORIZED DISPOSITION:

a. Counseling Files:

Reports of interviews, analyses and related records.

Destroy 3 years after termination of counseling. {GRS 1, Item 26a}

b. Alcohol and Drug Abuse Program records:

Records created in planning, coordinating and directing an alcohol and drug abuse program.

NOTE: Alcohol and Drug Testing records are not covered in this disposition. Refer to GRS 1, Item 38 for the authorized disposition for drug testing records.

Destroy when 3 years old. {GRS 1, Item 26b}

Chapter XXVIII: Training Institute

Records in this chapter relate to the training and development of employees, and the operation of training facilities for internal GAO-sponsored courses and conferences. The records also include course curriculum records and audiovisual records used in these training programs.

295. Training Program General Correspondence Subject Files

General correspondence, memorandums, reports, studies, policies, procedures, regulations, and similar records that relate to the overall management and operation of the GAO Training Institute, the management of training courses, course management policies, and similar topics. Note: Some routine housekeeping and administrative records may be eligible for earlier disposition as General Administrative Subject Files listed in Chapter I, Common Records.

AUTHORIZED DISPOSITION: Close inactive files at the end of each FY and transfer to the FRC 2 years after closure. Destroy 5 years after closure. {New item}

296. Training Aids, Instruction Manuals, and Course Materials

Training materials and aids that are developed by GAO staff or by contractors to support GAO's training program, including course and participant manuals, course syllabi, textbooks, scripts, audiovisual slides, charts, viewgraphs, brochures, pamphlets, booklets, and videotapes.

AUTHORIZED DISPOSITION: Close files when superseded, obsolete, or no longer needed for current agency business. Destroy 3 years after closure. {New item}

297. Training Course Announcement Files

Reference files of pamphlets, catalogs, and other records which provide information on internal or external training courses or programs.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business. {New item}

298. Training Institute Publications

Publications, catalogs, pamphlets, brochures, and other records developed by the Institute for internal training courses and conferences.

AUTHORIZED DISPOSITION: Close files when superseded or no longer needed for current agency business and destroy 5 years after closure. {New item}

299. Learning Center Files

Documents relating to the operation of the Learning Center including scheduling facilities, technical assistance provided to users, software and hardware management, and similar records.

AUTHORIZED DISPOSITION: Close files at the end of each FY and destroy 2 years after closure. {New item}

**Appendix A:
List of Permanently Valuable Records**

- 7a. GAO Directives and Administrative Issuances**
- 7c. GAO Directives Case Files**
- 36. Comptroller General's Correspondence Subject Files**
- 37. Comptroller General's Subject Files**
- 41b. Calendars, Daily Activity Schedules, and Appointment Books of the Comptroller General and Senior Staff**
- 42a. Professional Organization and Special Consultant Panel Records**
- 47a(1). Job Management and Product Files (Jobs completed after January 1, 1997)**
- 49a(1). Master Job Files (Jobs completed on or before December 31, 1996)**
- 50a(1). Master Product Folders (Jobs completed on or before December 31, 1996)**
- 57a. Manuscript Volumes**
- 57b. Index Cards to Manuscript Volumes**
- 58a. Decisions of the Comptroller General of the United States**
- 58b. Indexes to Published Decisions**
- 59a. Digests of Decisions of the Comptroller General of the United States**
- 76a. GAO General Policy and Procedures Manual (GPPM)**
- 77a. GAO Communications Manual**
- 78a. GAO Technical Guidance Publications ("Gray Books")**
- 80. History Program Advisory Committee Meeting Records**
- 81a. History Program Finding Aids**
- 82. History Program Books, Articles, and Papers**

- 83. Historical Research Materials**
- 84a. Oral History Program Publications and Related Records**
- 85. History Program Photographs**
- 122a. Security and Safety Program Subject Files**
- 155. Minutes of CG Staff Meetings**
- 163. Final GAO Budget Submissions, Justifications, and Estimates**
- 164. Budget Hearing Records**
- 177. Congressional and Comptroller General Task Force or Committee Records**
- 183. JFMIP Publications**
- 186b. NIAF Meetings and Conferences Files**
- 187. NIAF Charter Files**
- 189. Forums Publications**
- 221b. GAO Documents--Publications Files (Microform)**
- 221c. GAO Documents--Publications Files (Videotape)**
- 232a. Videotapes and Motion Pictures**
- 233. Negatives, Photographic Prints, and Slides**
- 234a. Posters and other graphic arts**
- 248b. Legislative History Files (Bills enacted into Law)**
- 248c. Legislative History Files (Bills enacted into Law)**
- 250. Subject Index Cards for Legislative History Materials**
- 260. Photographs**
- 261a. GAO Management News Files**

279. OSI Policy and Precedent Files

280a. OSI Investigative Handbook

280b. OSI Investigative Handbook

286a. OSI Investigation Case Files

289. Program Plans/Issue Area Files