

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-411-98-1	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 TELEPHONE (202) 512-4525	DATE Withdrawn	ARCHIVIST OF THE UNITED STATES
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>9</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 GRS OR SUPERSEDED JOB CITATION	10.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)
	Electronic records of the U.S. General Accounting Office		Withdrawn 11-23-99 YKW

cc Agency

U.S. General Accounting Office Electronic Records

NOTE: This schedule provides for the disposition of the specific electronic records listed, and for the electronic version of records that may also be maintained in hardcopy or other formats which are scheduled in N1-411-97-1. Lined-out items are included in this schedule only for purposes of identifying records that are also created and maintained in hardcopy and other formats.

1. 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. {GRS 20, Item 4}

- 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.

2. **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}

3. **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 workpapers.

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. {N1-411-97-01, Item 47a}~~

- (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. {N1-411-97-1, Item 47b}

4. **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. {N1-411-97-1, Item 49a(1)}~~

- (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. {N1-411-97-1, Item 49b}

5. 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. {N1-411-97-01, Item 50}~~

- (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. (N1-411-97-1, Item 50b(1))

- (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. {N1-411-97-1, Item 50b(2)}

6. 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}

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

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

AUTHORIZED DISPOSITION: Disposal not authorized.

8. 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. {N1-411-97-1, Item 78a}~~

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}

9. 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. {N1-411-97-1, Item 221a}~~

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. {N1-411-97-1, Item 221b}~~

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. {N1-411-97-1, Item 221c}~~

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.

10. **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}

11. **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}

12. **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.~~

{N1-411-97-1, Item 260a}

- ~~b. Background papers and working files: Destroy when 3 years old or when no longer needed for current agency business, whichever is sooner. {N1-411-97-1, Item 260b}~~
- c. Electronic files (maintained for information dissemination purposes):** Update or delete as needed for current agency business. {New Item}