

## Request for Records Disposition Authority

Records Schedule Number           DAA-GRS-2020-0001

Schedule Status                    Modified Approved Version

  

Agency or Establishment           General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group   General Records Schedules

Records Schedule applies to       Government-wide

Schedule Subject                   GRS 5.7 - Administrative Management and Oversight Records

Internal agency concurrences will be provided   No

Background Information           This schedule covers records about administrative management activities in Federal agencies. It includes activities such as internal controls oversight and reporting, policies and procedures, and results management and reporting, but only when they relate to administrative functions. It also includes some records related to the Federal Register.

### Exclusions and Conditions

1. Excluded from this schedule are records about management and oversight of non-administrative activities, including agency mission-related performance management records, strategic plans, risk management records, audit records, organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories.
  
2. Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-GRS-2020-0001

Sequence Number	
1	<b>Administrative Internal Controls</b>
1.1	Administrative internal control management records. Disposition Authority Number: DAA-GRS-2020-0001-0001
2	<b>Administrative Results Management and Reporting</b>
2.1	Administrative management report requirements records. Disposition Authority Number: DAA-GRS-2020-0001-0002
2.2	Mandatory reports to external Federal entities regarding administrative matters. Disposition Authority Number: DAA-GRS-2020-0001-0003

## Records Schedule Items

Sequence Number					
1	<b>Administrative Internal Controls</b>				
1.1	<p><b>Administrative internal control management records.</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2020-0001-0001</b></p> <p>Records related to internal evaluations of accounting and administrative controls, mandated or governed by: OMB Circulars A-123, A-130, and A-76; Government Accountability Office’s (GAO) Standards for Internal Control in the Federal Government (the “Green Book”); and similar requirements or directives. Includes:                      *copies of internal and external directives outlining management control policy                      *management control plans and records of the planning process *comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements *reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions *feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2)                      *records tracking assignments, tasks, and responsibilities *related correspondence                      Exclusion 1: Reports related to agency mission activities (agencies schedule these separately). Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately). Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).</p> <p>Final Disposition                              <b>Temporary</b></p> <p>Item Status    <b>Active</b></p> <p>Is this item media neutral?                      <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?                      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                                      <b>Yes</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td><b>GRS 5.7, item 010</b></td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>DAA-GRS-2017-0008-0001</b></p>	Manual Citation	Manual Title	<b>GRS 5.7, item 010</b>	
Manual Citation	Manual Title				
<b>GRS 5.7, item 010</b>					

**Disposition Instruction**

Retention Period Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

**Administrative Results Management and Reporting**

Administrative management report requirements records.

Disposition Authority Number DAA-GRS-2020-0001-0002

Processing and submission files on mandatory management reports an agency creates or proposes. Includes: copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements. This item applies only to management reports related to administrative activities. Exclusion: Final reports created using these requirements. Use GRS 5.7, item 050, for mandatory reports related to administrative matters.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

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

Manual Citation	Manual Title
GRS 5.7, item 040	

GRS or Superseded Authority Citation DAA-GRS-2017-0008-0004

**Disposition Instruction**

Retention Period Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.

**Additional Information**

2  
2.1

2.2

GAO Approval

Not Required

Mandatory reports to external Federal entities regarding administrative matters.

Disposition Authority Number DAA-GRS-2020-0001-0003

Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA), require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements, and the FAIR Act. Examples include: \*Agency Financial Report (AFR) \*Statement of Assurance (per FMFIA), or equivalent \*information collection clearances \*report on financial management systems' compliance with requirements (per FMFIA), or equivalent \*report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) \*EEOC reports \*Analysis and Action Plans and other reports required by EEOC's MD 715 \*No FEAR Act reports \*service organization auditor report, or equivalent \*improper payments report \*premium class travel report \*report on property provided to non-Federal recipients, schools, and nonprofit educational institutions \*feeder reports to the Status of Telework in the Federal Government Report to Congress \*feeder reports to GSA fleet reports Includes ancillary records such as: \*background and research records \*submission packets and compilations \*related files Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive. Exclusion 2: Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately). Exclusion 3: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040, cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080, covers these).

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

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

Manual Citation	Manual Title
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GRS 5.7, item 050	
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GRS or Superseded Authority  
Citation

DAA-GRS-2017-0008-0005

Disposition Instruction

Retention Period

Destroy 6 years after report submission or oversight  
entity notice of approval, as appropriate, but longer  
retention is authorized if required for business use.

Additional Information

GAO Approval

Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
05/11/2020	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/02/2020	Submit for Concurrence	Andrea Riley	Supervisor, General Records Schedule Team	National Archives and Records Administration - Records Management Services
12/04/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/07/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/07/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist