

Request for Records Disposition Authority

Records Schedule Number DAA-0064-2016-0011

Schedule Status Approved

Agency or Establishment National Archives and Records Administration

Record Group / Scheduling Group Records of the National Archives and Records Administration

Records Schedule applies to Major Subdivision

Major Subdivision Office of Inspector General (OIG)

Minor Subdivision Office of Audit

Schedule Subject Records of the Office of Audit

Internal agency concurrences will
be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0064-2016-0011

Sequence Number	
1	Audit Records
1.1	Final Audit Reports Disposition Authority Number: DAA-0064-2016-0011-0001
1.2	Audit Resolution Files Disposition Authority Number: DAA-0064-2016-0011-0002

Records Schedule Items

Sequence Number													
1	<p>Audit Records</p> <p>Audit records include audit working papers, final audit reports and audit resolution files. Audit working papers and various versions of audit reports (draft to final) are created and stored in an Audit Management System. Audit resolution files (also referred to as audit follow-up files) are documents created and submitted to the OIG by the audited entity to ensure adequate implementation of report recommendations and to test the effectiveness of corrective actions taken by management. Included are action plans, timelines, follow-up progress reports, comments, and related documents. Other records within the Office of Audits include, but are not limited to audit administration subject files, audit manuals/guidance, audit schedules, audit report chronological files, and audit summaries.</p>												
1.1	<p>Final Audit Reports</p> <p>Disposition Authority Number DAA-0064-2016-0011-0001</p> <p>Audit reports are prepared by auditors trained to examine agency performance, describe strengths and weaknesses, and provide recommendations to management for improvement identified weaknesses and deficiencies. Final audit reports are issued to the agency, contractor, or grantee. The report details audit findings, conclusions, causes, criteria and recommendations to assist the audited entity improve programs and/or operations. Audit staff prepares a final report which is stored along with the working papers. Working papers are records of audit evidence obtained during audits of NARA's programs and activities and external audits of contractors, grantees and peer reviews. Audit working papers are used to support the audit work done in order to provide assurance that the audit was performed in accordance with the relevant auditing standards.</p> <table><tr><td>Final Disposition</td><td>Temporary</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item exist as structured electronic data?</td><td>Yes</td></tr><tr><td>GRS or Superseded Authority Citation</td><td>N1-64-87-1,item 1201 N1-64-87-1,item 1202 N1-64-87-1,item 1203 N1-64-87-1,item 1204</td></tr></table>	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	GRS or Superseded Authority Citation	N1-64-87-1,item 1201 N1-64-87-1,item 1202 N1-64-87-1,item 1203 N1-64-87-1,item 1204
Final Disposition	Temporary												
Item Status	Active												
Is this item media neutral?	Yes												
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GRS or Superseded Authority Citation	N1-64-87-1,item 1201 N1-64-87-1,item 1202 N1-64-87-1,item 1203 N1-64-87-1,item 1204												

	N1-64-87-1,item 1205 N1-64-00-4,item 1	
	Disposition Instruction	
1.2	Cutoff Instruction	Cut off annually after completion of final report.
	Retention Period	Destroy 8 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Audit Resolution Files	
	Disposition Authority Number	DAA-0064-2016-0011-0002
	Audit resolution files (also referred to as audit follow-up files) are documents created and submitted to the OIG by the audited entity to ensure adequate implementation of report recommendations and to test the effectiveness of corrective actions taken by management. Included are action plans, timelines, follow-up progress reports, comments, and related documents.	
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which follow-up actions on report recommendations are completed.
	Retention Period	Destroy 8 year(s) after cutoff.
	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
08/25/2016	Return to Submitter	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
08/26/2016	Certify	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
12/21/2016	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
01/11/2017	Return to Submitter	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/11/2017	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/14/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist