

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-217-82-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/08/2021

## **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All items except those listed below are active.

## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Item 011-24 is superseded by N1-217-88-001, item 1.

Item 032-14 is superseded by N1-217-86-003, item 1.

Item 032-16 is superseded by N1-217-86-003, item 2.

Item 032-18 is superseded by N1-217-86-003, item 3.

Item 062-02b is superseded by NC1-217-85-04, item 062-02b.

Item 063-08c is superseded by NC1-217-85-04, item 063-08c.

Item 063-12b is superseded by NC1-217-85-04, item 063-12b.

Item 066-20 is superseded by N1-217-87-001, item 1.

Item 100-02 is superseded by N1-217-86-003, item 4.

Item 100-04 is superseded by N1-217-86-003, item 5.

Item 110-02 is superseded by NC1-217-84-01, item 1.

Item 110-04 is superseded by NC1-217-84-01, item 2.

Item 110-12 is superseded by NC1-217-85-03, item 1.

Item 131-04a is superseded by N1-217-88-001, item 7a.

Item 131-04b is superseded by N1-217-88-001, item 7b.

Item 133-08 is superseded by N1-217-86-002, item 1

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

6/16

174010177

**REQUEST FOR RECORD POSITION AUTHORITY**  
(See Instructions on reverse)

TO **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)  
**U.S. General Accounting Office**

2 MAJOR SUBDIVISION  
**Office of Information Systems & Services**

3 MINOR SUBDIVISION  
**Records Management Services**

4 NAME OF PERSON WITH WHOM TO CONFER  
**Shirley Allen**

5 TEL EXT  
**275-5877**

LEAVE BLANK	
JOB NO.	
NC1-217-82-1	
DATE RECEIVED October 19, 1981	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
7-29-82 Date	<i>[Signature]</i> Archivist of the United States

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of **261** page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

C DATE	D SIGNATURE OF AGENCY REPRESENTATIVE	E TITLE
10/15/81	<i>[Signature]</i>	Records Management Officer

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	GAO Comprehensive Records Schedules (See attached)  <i>This schedule supersedes all the previous GAO schedules &amp; items listed in column 9 of this SF-115.</i>		

617 items

115-107

sent to agency by RFB 8/2/82

to NND, NNS, NNI - 12/29/82

to NND, NNS, NNI, NNI, & all the other staff

copy of selected items to all FRC's except GKP - 12/14/82

copy to all FRC's w/ MDC sheet, 4/4/83

**STANDARD FORM 115**  
Revised April, 1975  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4

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010--GENERAL ADMINISTRATION AND SUPPORT FUNCTIONS

[These files relate to the general administration of an operating office, including copies of personnel records maintained in that office, as well as records pertaining to agency support functions, such as procurement of goods and services, management of facilities and properties, and the security and safety of the agency facilities and personnel. Also included here are records in the Office of the Comptroller General, his Deputy and Assistants and other ad hoc offices set up by the CG.]

- 011 OFFICE ADMINISTRATION AND OFFICE PERSONNEL FILES
- 012 PROCUREMENT, TRAVEL, AND SUPPLIES FILES
- 013 PROPERTY, EQUIPMENT, AND FACILITIES  
MANAGEMENT FILES
- 014 SECURITY AND SAFETY FILES
- 015 OFFICE OF THE COMPTROLLER GENERAL FILES

011--OFFICE ADMINISTRATION AND OFFICE PERSONNEL FILES

[Files relating to the general administration of an office, and not of a specific function, including copies of personnel records maintained in that office.]

OFFICE ADMINISTRATION FILES

✓ 011-02 FILES MANAGEMENT PLAN FILES (GAO Form 10)

Files Management Plan and related papers pertaining to preparation and revision of the form.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

✓ 011-04 CHRONOLOGICAL FILES

Copies of outgoing communications, arranged by date, and maintained for convenient reference. (NOTE: Chron copy is only a convenience copy. A record copy must be prepared and filed in the appropriate function/subject file.)

TEMPORARY

Destroy <sup>in agency</sup> when <sup>no more than</sup> 1 year old, ~~earlier destruction authorized.~~

✓ 011-06 TRANSITORY FILES

Copies of documents which require no official action, letters of transmittal, routine requests for information and replies thereto involving no administrative or policy decisions and no compilations or research. (NOTE: To the extent practicable, transitory papers should be destroyed without filing. File only when needed for more than 30 days.)

TEMPORARY

Destroy <sup>when no more than</sup> ~~after~~ 90 days <sup>old.</sup> ~~earlier destruction is authorized.~~

✓ 011-08 SUSPENSE FILES

Papers arranged in chronological order to serve as a reminder that an action or response is required by a given date.

TEMPORARY

Destroy when action is taken or reply is received unless it is the record file copy; then transfer to appropriate file *for disposition according to instructions for that file.*

✓ 011-10 POLICY AND PRECEDENT FILES

<sup>Duplicate</sup>  
✓ Copies of documents reflecting the establishment of policy, office procedures, or precedents pertinent to current and future procedures. Original or record copies will not be placed in this file.

TEMPORARY

Destroy <sup>in agency</sup> ~~when~~ superseded or obsolete.

✓ 011-12 WORKING FILES

Includes rough drafts, notes, and materials accumulated in the development of a final product. (Does not include the workpapers for audit studies.)

TEMPORARY

Destroy <sup>in agency</sup> ~~upon~~ completion of the project.

✓ 011-14 RECORDS MANAGEMENT FILES

Documents pertaining to the maintenance of office records not filed elsewhere.

TEMPORARY

Destroy<sup>in agency</sup> when superseded. obsolete, or no longer needed.

✓ 011-15 RECORDS TRANSFER AND RETIREMENT FORMS

Documents pertaining to the transfer or retirement of records including GAO Form 355 and SF 135, and related papers.

TEMPORARY

Destroy when related records are destroyed or when no longer needed for administrative or reference purposes.

GRS 16  
Item 3a *ok*

✓ 011-16 ANNUAL SUMMARY OF RECORDS HOLDINGS (GAO Form 277 and SF 136), AND RELATED DOCUMENTS

Statistical reports of agency records holdings required by the General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

TEMPORARY

Cut off at end of FY; destroy<sup>in agency</sup> when 3 years old.

GRS 16  
Item 6 *ok*

✓ 011-18 OFFICE ADMINISTRATION AND DELEGATION OF AUTHORITY FILES

Copies of documents dealing with the internal organization and administration of office/ mission functions, including correspondence, forms, orders, organization charts, etc., delegating or assigning duties and responsibilities to personnel, such as signature cards, or assignments of fire wardens, building custodians, supply representatives, security officers, records liaison officers, forms liaison officers, and similar assignments.

TEMPORARY

Destroy<sup>in agency</sup> when superseded, revoked or obsolete.

✓ 011-19 CLASSIFIED DOCUMENTS RECEIPT AND ACCOUNTABILITY FILES

Receipts and related records tracking the movement, storage, and use of classified documents.

TEMPORARY

GRS 18

Item 3 *ok*

~~Cut off at end of FY when related documents are destroyed, downgraded, declassified, or transferred from custody;~~ Destroy when 2 years old.

✓ 011-20 SECURITY FILES

Copies of documents pertaining to the clearance of individuals for access to classified documents facilities, or investigation of security violations, maintenance and the security of classified records in the office.

(NOTE: The classified materials, if any, should be filed in approved security equipment under proper functional file code.)

a. Copies of security clearance notifications.

TEMPORARY

Destroy<sup>in agency</sup> when the person leaves the agency or clearance is revoked.

b. Other records.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

*See also Section 014 of this schedule*

✓ 011-22 AUDITS AND INSPECTION REPORT FILES

Reports received as a result of an audit or inspection of office operation.

TEMPORARY

Destroy <sup>in agency</sup> upon completion of the next audit or inspection.

✓ 011-24 TELECOMMUNICATION/TELEPHONE FILES

Copies of documents pertaining to installation and use by operating offices, telecommunication equipment and services, such as telephone, FTS, facsimile transmission, etc. (Record copies of these documents are retained with the Facilities Management Files and scheduled at 013-46/48/50.)

TEMPORARY

~~Cut off at the end of each month; destroy after 6 months.~~  
*Destroy when 6 months old.*

✓ 011-26 FACILITIES FILES

Copies of documents pertaining to the obtaining of services for design, alterations, or new facilities.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years ~~old~~ *after cutoff.*

✓ 011-28 COMMON FACILITIES USAGE FILES

Documents relating to the reservation and use of common facilities. For example: conference rooms, auditorium, etc.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 6 months ~~old~~ *after cutoff.*

✓ 011-30 SUPPLY EQUIPMENT AND SERVICES REQUISITIONS FILES

Copies of documents pertaining to the obtaining of services and supplies of the office. Includes registers for services, publications, repairs, keys, space, telephones, service contracts, GAO forms 19 and 21, etc. *(These are copies maintained by offices other than stockroom.)*

TEMPORARY

Cut off at end of month; destroy ~~when~~ 6 months ~~old~~ *after cutoff.*

GRS 3  
Item 9b *ok*

✓ 011-32 EQUIPMENT CONTROL FILES

Controls maintained by the office for equipment under its accountability, including cards, lists, and receipts.

TEMPORARY

Cut off at end of FY in which equipment is removed from office's control; destroy 2 years later.

✓ 011-34 PLANNING/BUDGETING FILES

Copies of documents relating to setting goals, projecting resource requirements, and developing budget estimates.

TEMPORARY

Destroy when superseded, obsolete, or no longer needed, *whichever is sooner.* or when 3 years old, ~~as appropriate.~~

✓ 011-36 FINANCIAL FILES

Copies of documents pertaining to the expenditure of funds by the office. Includes financial/expenditure statements received from the Office of Budget and Financial Management as well as the financial obligations made by the office on travel, training, purchases, contracts, etc.

*(This is non-record reference material, not official material.)*

TEMPORARY

Cut off at end of FY in which created; destroy  
~~when 2 years old.~~ *after cutoff.*

✓ 011-38 ORIENTATION AND BRIEFING FILES

Documents pertaining to or used in orientations or briefings  
about the functions and operational methods of the office  
including photographs, handouts, and similar material.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

✓ 011-40 MEETINGS AND CONFERENCES FILES

Documents pertaining to staff meetings, management conferences, or other meetings of a general nature. (NOTE: Meetings concerning specific projects, cases or other functional activities should be filed under the

appropriate functional file series.) *Records of <sup>some</sup> specific groups are scheduled elsewhere in this schedule.*

TEMPORARY

Cut off at end of FY; destroy when 3 years old  
or when no longer needed for reference.

GRS 16  
Item 12b(2) *ok*

✓ 011-42 ACTIVITY REPORTS FILES

Copies of documents dealing with the tracking of  
accomplishments and related milestones.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years ~~old.~~ *after cutoff.*

✓ 011-44 ANNUAL REPORT INPUT FILES

Feeder reports made by office as input into CG's Annual  
Report.



TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years ~~old~~ after cutoff.

011-46 GENERAL CORRESPONDENCE - MISSION FILES

General correspondence files, consisting of letters, memoranda, reports, and related data and attachments on a variety of subjects, created or received by the following GAO offices in connection with the accomplishment of their respective mission. (NOTE: The records and the files of the Office of the Comptroller General and his staff are described in 015.)

see  
following  
page  
for  
replacement  
item

011-46 MISSION CORRESPONDENCE FILES

Mission correspondence files are general correspondence files documenting the functions for which an office is primarily responsible. Both program offices (those which carry out functions that are unique to GAO) and administrative offices (those which perform "housekeeping" functions for GAO) maintain mission correspondence files. Such files include letters, memos, reports, related data created or received by an office on a variety of subjects, including reports to management on program accomplishments or problems; Congressional relations/assistance files; copies of speeches of office officials; agreements with other agencies and GAO components; numbered instructions; records documenting participation in professional associations, and other similar materials.

- a. Mission correspondence files maintained by GAO program offices at division level or above. (Examples of program offices are the following: **Comptroller General, Deputy CG,** Community and Economic Development Division; Office of Congressional Relations; Energy and Minerals Division; Federal Personnel and Compensation Division; ~~Public~~ **Office of Program Planning;** ~~Public~~ Office of General Counsel; **General Government Division;** Human Resources Division; International Division; Office of Policy; Office of Joint Financial Mgt. Improvement **Budget Office;** **Accounting and Financial Management** Division; and the like.) Arranged by subject. **Total per year: Volume ca. 22 cu ft/yr.**

PERMANENT. Cut off at close of FY. Hold 3 years or until volume warrants and transfer to FRC. Offer to NARS 20 years after cutoff.

- b. Mission correspondence files maintained by program offices below the division level.

Cut off at close of FY. Hold 3 years or until volume warrants and transfer to FRC. Destroy 8 years after cutoff.

- c. Mission correspondence created and maintained in offices whose primary function involves administrative support activities such as personnel, procurement, property, financial management and accounting for GAO, travel, communications, **internal information +** program review, **publishing services,** security and safety, information, and the like, At the division level.

Cut off at close of FY. Hold 3 years or until volume warrants and retire to FRC. Destroy 8 years after cutoff.

- d. Mission files for administrative support offices below the division level.

Cut off at close of FY. Destroy in agency when 3 years old.

011-48 NON-MISSION CORRESPONDENCE FILES

Non-mission correspondence files include correspondence, reports, forms, and other papers which are accumulated in an office but do not relate directly to the function or mission for which the office exists. They generally include: (1) copies of papers relating to program subjects for which another office is responsible for official documentation, and (2) papers relating to internal routine management or general administrative functions of the office. Such papers would relate to office facilities, supplies, equipment, financial matters, travel, property, and personnel management.

Cut off at close of FY. Destroy **3** years after cutoff.

(NA-173-77)  
superseded  
GAO-Sched/20/1

011-48 GENERAL CORRESPONDENCE-ROUTINE ADMINISTRATIVE FILES

These files include administrative documents of a routine nature created or received by GAO offices and not listed under (011-46) and which are not appropriate for filing with other record series.

see  
previous  
page

TEMPORARY

(NN-173-77)

Cut off at end of FY; destroy when 3 years old.

✓ 011-50 RESERVED

011-52 PUBLIC RELATIONS FILES

Material prepared for news articles (including input to GAO Management News), press releases and related documents. [Press releases and other informational releases are found under item 080-02 of this schedule]

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 1 year ~~old~~ after cutoff.

✓ 011-54 INFORMATION BULLETIN FILES

Announcements, copies of newsletters, etc., of no permanent reference.

(NOTE: Record set of GAO Management News is ~~kept in the~~

~~Information Office for permanent retention~~) scheduled under item 080-18 of this schedule.)

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 011-56 REFERENCE PUBLICATIONS

Copies of GAO orders, notices, publications, etc., maintained for reference purposes. Reference publications are normally filed separately in a designated place other than a standard file folder.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

✓ 011-58 TECHNICAL REFERENCE PUBLICATIONS

<sup>Duplicate</sup>  
A Copies of motion pictures, sound recordings, still photographs, maps, graphics, brochures, and similar materials maintained for reference purposes.

TEMPORARY

Destroy <sup>in agency</sup> when superseded or obsolete. Return accountable or reusable materials to the source of supply.

✓ 011-60 GENERAL ADMINISTRATIVE FILES

Other general administrative material not described elsewhere in this subfunction, including documents relating to charity campaigns, employee groups, fund drives, savings bond drives, etc.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

011-62 GAO ORGANIZATION AND INTRA-OFFICE COORDINATION FILES

Copies of documents relating to intra-office matters as well as those relating to the organizational structure of GAO and its components. Also includes copies of

Withdrawn  
2/4/82  
because  
duplicates  
other  
items in  
Schedule  
RBB  
2/4/82  
E. Ford

organizational management records maintained by offices other than the originating office.

TEMPORARY

Destroy when superseded, obsolete or no longer needed.

✓ 011-64 SUPERVISOR'S PERSONNEL FILES

Ratings, counseling and adverse action and other official actions initiated by supervisors, maintained subjectively.

TEMPORARY

- ✓ 011-66 PERSONNEL ACTION FILES  
*Review annually and*  
1 Destroy ~~when~~ superseded, or documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.

GRS 1  
Item 18a ok  
superseded  
GAO/Sched/8/18a

Requests for personnel actions such as position changes, separations, and related matters. [See also Item 051-12 of this schedule.]

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

GRS 1  
Item 14b ok  
superseded  
GAO/Sched/8/14b

✓ 011-68 PERSONNEL POLICY AND PRECEDENT FILES

*Non-record*  
1 Copies of documents reflecting the development of plans, policies, procedures, and methods for the management of personnel.

TEMPORARY

Destroy when superseded, obsolete or no longer needed.

✓ 011-70 MANAGEMENT/EMPLOYEE RELATIONS FILES

Copies of documents relating to the relationship between management and employee unions or other groups. [See also Item 054-34 of this schedule.]

TEMPORARY

Destroy <sup>in agency</sup> when superseded or obsolete.

GRS 1  
Item 29a(2) ok  
superseded  
GAO/Sched/8/29(a)(2)

✓ 011-72 TIME AND ATTENDANCE RECORD FILES

Copies of documents relating to time/attendance over-time/compensatory, including Form 14-Biweekly Work

Schedules, SF 71's, Application for Leave, or equivalent

record, Form 484, etc.

[These exclude Payroll Preparation and Processing copies, which are scheduled under item 033-10 of this schedule.]

TEMPORARY

~~Cut off end of pay period, destroy when 6 months old after cutoff.~~

~~(NOTE: Not eligible for destruction at this time. Until~~

~~further notice, cut off at the end of CY, hold until~~

~~OIR has completed its annual audit of GAO's financial~~

~~statements. OBFM will notify timekeeper when the audit~~

~~is completed). (See GAO Order 0247.1)~~

✓ 011-74 POSITION DESCRIPTION FILES

Copies of position descriptions, arranged by series, grade, position number. Includes classification position management.

(NOTE: Record copy is retained in the Personnel Office, and is scheduled under item 052-04 of this schedule.)

TEMPORARY

~~Destroy when position is abolished or description superseded.~~

✓ 011-76 TRAVEL FILES

Copies of documents on travel conducted by office personnel.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 2/3a  
a. Timekeepers' copy  
Cutoff at end of CY,  
Destroy after GAO  
audit or when 3  
yrs. old, whichever  
is sooner.  
GRS 2/3b  
b. All other copies  
(except Payroll Preparation &  
copies)  
Cutoff at end of  
pay period. Destroy  
6 months after  
cutoff.

GRS 2  
Item 3b oh

GRS 1  
Item 7b(2) oh  
supersedes  
GAO/Sched/8/  
7b(2)

GRS 9  
Item 3a oh

✓ 011-78 OFFICE EEO FILES

Copies of documents pertaining to EEO matters within the immediate office, including <sup>correspondence,</sup> reports, ~~affirmative action plan~~, and similar material.

TEMPORARY

Destroy when 3 years old or when superseded or obsolete, whichever is applicable.

GRS 1  
Item 26g *oh*  
*superseded*  
*GAO/Sched 8/*  
*26g*

✓ 011-80 EMPLOYEE LOCATOR FILES

Records pertaining to office/residence address and related information about employee (GAO Form 410 or equivalent) and related documents. Also includes rosters, directives, or listing of office staff.

- a. GAO Form 410 or equivalent. Form is initiated by the employee's division/office and copies sent to the mailroom and the locator desk. Data is also entered into the AMPS system.

TEMPORARY

<sup>*in agency*</sup>  
Destroy <sup>*in agency*</sup> when superseded, obsolete, or upon the separation of the employee.

- b. Employee directories/listings.

TEMPORARY

<sup>*in agency*</sup>  
Destroy <sup>*in agency*</sup> when superseded, obsolete, or no longer needed.

✓ 011-82 TRAINING/EDUCATION FILES

- a. Reference file of pamphlets, notices, catalogs, and other materials which provide information on courses or programs offered by Government or other institutions.



TEMPORARY

GRS 1  
Item 30d *ch*

Destroy when superseded or obsolete.

b. Training requests including the related forms  
and documents, etc.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 3 years ~~old~~ *after cutoff.*

✓011-84 CAREER LEVEL/PROMOTION FILES

Copies of documents relating to the Competitive Selection  
Program, Upward Mobility Program, and similar programs,  
including job announcements, etc.

TEMPORARY

Destroy <sup>*in agency*</sup> ~~when~~ superseded, obsolete or no longer needed.

✓011-86 EMPLOYEE SUGGESTIONS/INCENTIVE AWARDS FILES

Copies of documents pertaining to employee suggestions  
and incentive awards. *oh*

TEMPORARY

Destroy <sup>*in agency*</sup> ~~when~~ superseded, obsolete or no longer needed.

✓011-88 EMPLOYEE EXIT PROCEDURES

Completed copies of GAO Form 473 and related documents.

TEMPORARY

Cut off at end of FY in which employee separates; destroy  
~~when~~ 2 years ~~old~~ *after cutoff.*

✓011-90 CONFLICTS OF INTEREST/ETHICS FILES

Copies of documents related to conflicts of interest/ethics,  
GAO Forms 310 and 311, Financial Disclosure Statements.

TEMPORARY

GRS 1/25 oh

~~Get off at the end of FY, destroy when 3 years old.~~

Destroy 2 years after separation of employee  
or 2 years after employee leaves the  
position for which the statement is required.

superseded  
GAO/Sched/8/25

012 PROCUREMENT, TRAVEL, AND SUPPLIES FILES

(These files relate to the processing of procurement transactions for supplies, equipment, services, and to assisting GAO Personnel in making arrangements for travel, including controlling transportation requests, and the management of supplies.)

✓ 012-02 PROCUREMENT ACTION REPORTS FILES

GRS 3/5a  
oh

Statistical reports on the placement, status, delivery and settlement of procurement actions, including both specific reports on the above and consolidated reports, and related correspondence.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>after cutoff.</sup> 2 years old.

✓ 012-04 BIDDER'S MAILING LISTS FILES

Lists of acceptable, debarred, and suspended bidders. Such lists contain information on potential bidders and past record on bidding or performance, and determine which firms will receive offers to bid.

TEMPORARY

Destroy when superseded or obsolete.

GRS 3  
Item 6b ok

✓ 012-06 BIDDER LISTS PROTEST FILES

Documents relating to protests by firms over exclusion from bidder lists.

TEMPORARY

Cut off when the matter is resolved; destroy 2 years later.

012-08 UNSOLICITED PROPOSAL REPORT FILES

Reports on the feasibility of unsolicited proposals for contracts.

- a. Rejected proposals  
*(1) when filed separately from contract case files - Destroy when related contract is completed.*  
TEMPORARY (a) when filed with related contract case file - *Destroy with related contract case file, Item 012-14 of this schedule.* GRS 3 Item ~~4a~~ 6a + b ok  
~~Cut off upon rejection, destroy 5 years later.~~
- b. Accepted proposals

TEMPORARY - *Destroy with related case files, Item 012-14 of this schedule.*  
~~Transfer to contracts file.~~

✓ 012-10 PROCUREMENT REGISTER FILES

Register assigning and controlling numbers for contracts, grants, etc.

TEMPORARY

Cut off upon final entry; destroy 3 years later.

✓ 012-12 CONTRACTING POLICIES & PROCEDURES FILES

*non-record copies of*  
Contains documents giving guidance, establishing policy for the administration of GAO contracts, includes OMB Circular A76.

TEMPORARY

*in agency*  
Destroy when superseded, obsolete or no longer needed.

012-14 CONTRACT/PURCHASE ORDER FILES

Correspondence and related papers pertaining to the award, administration, receipt, inspection and payment of contracts. Arranged as follows:

1. Supplemental
2. Inter-agency agreements

3. Purchase orders
4. GSA Multiline
5. Cash orders

TEMPORARY

- ✓ 1. Transactions of more than \$10,000 and all construction contracts exceeding \$2,000 dated subsequent to July 25, 1974 - Close and place in inactive file on final payment. Transfer fiscal year block to FRC after 2 years. Destroy 6 years and 3 months after final payment.
 

GRS 3  
Item 4a(1) *ok*  
*supersedes*  
*GAO/Sched/*  
*9/3a(1)*
- ✓ 2. Transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974. - Close at end of fiscal year except that files on which actions are pending shall be brought forward to the next fiscal years' files. Destroy 3 years after final payment.
 

GRS 3  
Item 4a(2) *ok*  
*supersedes*  
*GAO/Sched/*  
*9/3a(2)*
- ✓ 3. Transactions of more than \$2,500 dated prior to July 26, 1974. Destroy 6 years after final payment.
 

GRS 3  
Item 4a(3) *ok*  
*supersedes*  
*GAO/Sched/*  
*9/3a(3)*

(Note: All cost and technical proposals must be destroyed by shredding.)

✓ 012-16 NONPERSONAL REQUISITION FILES

Documents pertaining to the administration of case files for purchase orders and requisitions including any back-up material. (*Excludes records associated with accountable officers' accounts.*)

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 1 year ~~old.~~ *later*

GRS 3

Item 8 *oh*

*supersedes GAO/  
School 9/7*

✓ 012-18 VENDOR/CONTRACTOR FILES

Copies of purchase orders filed alphabetically by vendor/  
contractor names to permit access when purchase order  
number is not known.

TEMPORARY

Destroy <sup>*in agency*</sup> upon termination or completion.

GRS 3

Item 4c *oh*

*supersedes GAO/  
School 9/3c*

✓ 012-20 PRINTING AND BINDING FILES

Printing procurement unit copy of requisitions, invoices,  
specifications, and related papers.

TEMPORARY

Cut off upon completion or cancellation; destroy 3  
years later.

GRS 3

Item 7a *oh*

*supersedes  
GAO/Sched/  
9/6a*

✓ 012-22 TAX EXEMPTION FILES

Documents relating to the issuance of tax exemption  
certificates affecting contract price.

TEMPORARY

Cut off at end of FY after period covered by account:  
destroy 3 years later.

GRS 3

Item 13 *oh*

*supersedes  
GAO/Sched/  
9/11*

✓ 012-24 PROCUREMENT CORRESPONDENCE FILES

Correspondence pertaining to internal operations and  
administration matters not covered elsewhere.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years ~~old.~~ *later.*

GRS 3

Item 3 *oh*

*supersedes  
GAO/Sched/9/2*

✓ 012-26 CATALOG FILES

Catalogs used by procurement offices.

TEMPORARY

Destroy <sup>in agency</sup> when superseded or no longer needed.

✓ 012-28 FEDERAL SUPPLY SCHEDULES

Copies of full supply schedules and related announcements from GSA.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 012-30 SPECIFICATION SHEETS

Documents pertaining to specifications regarding materials and services to be procured.

TEMPORARY

Destroy 3 years after completion or cancellation of requisition.

GRS 3  
Item 7a

✓ 012-32 TRAVEL RULES & REGULATIONS FILES

<sup>Non-record</sup>  
A Copies of rules, regulations, and documents pertaining to travel by GAO personnel.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 012-34 TRAVEL SCHEDULES, GUIDES, DIRECTORIES FILES

Reference files including official airline guides, etc.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 012-36 TRANSPORTATION REQUEST ACCOUNTABILITY FILES

Documents, including registers and slips, used to maintain accountability for transportation requests. Also includes transportation requests (GTR) and all supporting documentation.

TEMPORARY

Cut off when entries are cleared; destroy 1 year later.

GRS 9  
Item 5b *oh*  
*supersedes*  
GAO/Sched 1  
14/5b

✓ 012-38 BLANK TICKET FILES

a. Blank tickets

TEMPORARY

Hold until used or return to vendor when no longer needed.

b. Reports on tickets issued by travel office (on all carriers), and supporting documents for issuing the tickets.

TEMPORARY

Cut off at end of FY; destroy 3 years later.

c. Redemption of Unused ticket - SF1170, originals and/or equivalent.

TEMPORARY

Destroy when no longer needed for administrative use.

✓ 012-40 PASSPORT FILES

Documents relating to the processing of applications for passports.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later.</sup> 2 years ~~old~~

GRS 9  
Item 3c *oh*  
*supersedes*  
GAO/Sched 1  
14/3c



✓ 012-42 TRAVEL ORDER FILES

Travel orders and any other supporting documentation, *held by Travel administrative office.*

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 3 years *later* ~~old~~

GRS 9  
Item 4a *oh*

*supersedes*  
GAO-Sched/14/4A

✓ 012-44 TRANSPORTATION ASSISTANCE FILES

Documents related to providing advice, assistance, and recommendations for shipments requested by GAO elements; and resulting instructions, and other material in the performance of the shipment.

TEMPORARY

Destroy <sup>*in agency*</sup> ~~when~~ superseded, obsolete or no longer needed for reference.

✓ 012-46 GBL FILES

Government Bills of Lading and all supporting documentation, *held by issuing office.*

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 3 years *later* ~~old~~

GRS 9  
Item 1a *oh*

*supersedes*  
GAO/Sched/14/1a

✓ 012-48 SHORTAGE AND DEMURRAGE REPORT FILES

Reports on shortages in shipments or demurrage charges, and supporting documentation. Also includes complaints of services received for employees using commercial movers to transport household effects.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 3 years *later* ~~old~~

GRS 9  
Item 1a  
*supersedes*  
GAO/Sched/14/1a

✓ 012-50 DAMAGE AND LOSS CLAIMS FILES

Documents relating to damages or losses in shipments.

This item applies only to claims files held in

travel offices, and not claims processed by Claims Group/AFMD. May be filed in the individual's folder.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later.</sup> 3 years ~~old~~.

GRS 9  
Item 2 *oh*  
*supersedes GAO/*  
*Sched/14/2*

✓ 012-52 GENERAL REPORTS FILES

General reports on amounts or types of material transported.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later.</sup> 3 years ~~old~~.

GRS 9  
Item 1a *oh*  
*supersedes GAO/*  
*Sched/14/1a*

✓ 012-54 CASHIER ACCOUNTABILITY FILES

Daily and monthly accountability reports as well as all documents relating to travel advances/reimbursements made by the cashier. *Held by Travel Administrative office.*

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later,</sup> 3 years ~~old~~ or after audited/cleared, whichever is later.

GRS 9  
Item 4a *oh*  
*supersedes GAO/*  
*Sched/14/4a*

✓ 012-56 MOTOR VEHICLE COST FILES

Motor vehicle ledger and work sheets providing cost and expense data.

TEMPORARY

Destroy 3 years after discontinuance of ledger or date of work sheet.

GRS 10  
Item 3 *oh*  
*supersedes GAO/*  
*Sched/15/3*

✓ 012-58 MOTOR VEHICLE RELEASE FILES

Records relating to transfer, sale, donation or exchange of vehicles.

TEMPORARY

Destroy 4 years after vehicle leaves agency custody.

GRS 10

Item 6

*oh*  
*supersedes GAO/*  
*Sched/15/6*

✓ 012-60 MOTOR VEHICLE MAINTENANCE AND OPERATIONS FILES

- a. Operating records, including those related to oil/  
gas consumption, dispatching and scheduling.

TEMPORARY

Cut off at end of each month; destroy when 3 months  
old.

GRS 10

Item 2a

*oh*  
*supersedes GAO/Sched/*  
*15/2a*

- b. Maintenance records, including those related  
to service and repair.

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

GRS 10

Item 2b

*oh*  
*supersedes GAO/*  
*Sched/15/2b*

✓ 012-62 MOTOR VEHICLE REPORT FILES

Reports on motor vehicles (other than accident, operat-  
ing and maintenance reports), including Standard Form  
82, Annual Motor Vehicle Report, or equivalent.

TEMPORARY

Destroy 3 years after date of report.

GRS 10

Item 4

*oh*  
*supersedes*  
*GAO/Sched/*  
*15/4*

✓ 012-64 SUPPLY REQUIREMENTS FILES

General reports on overall internal supply requirements.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 3

Item 5a

*oh*  
*supersedes GAO/Sched*  
*9/4a*

✓ 012-66 SPECIAL SUPPLY PROJECT FILES

Documents pertaining to special projects for supplying  
a unit when normal supply procedures or methods are not  
used.

*GRS 3/1*  
*oh*

a. One-time projects

TEMPORARY

Cut off when project is complete; destroy 1 year later.

b. Recurring projects

TEMPORARY

Cut off at end of FY when completed; destroy ~~when~~ 1 year *later*.

GRS 3/1  
ch

~~old.~~

✓ 012-68 AUTHORIZATIONS TO SIGN REQUISITIONS FILES

Documents establishing the authority of the person authorized to sign the requisition forms for supplies.

TEMPORARY

Destroy when the authority is revoked, superseded or obsolete.

✓ 012-70 SUPPLY AND EQUIPMENT REQUISITION FILES

Any requisition, in any form, for supplies and equipment from inventory or supply channels. May be subdivided by type of requisition. (NOTE: Does not include requesting office copy which must be filed with Unit's Files).

Includes Supply's copy of requisition/purchase order for rubber stamps.

TEMPORARY

Cut off upon completion or cancellation of requisition; destroy 2 years later.

GRS 3  
Item 9a ch  
*supersedes*  
GAO/Sched/  
9/8a

✓ 012-72 SUPPLY LOCATOR AND INVENTORY MANAGEMENT FILES

Documents, including lists and cards, used to detail location of supplies in the stockroom.

a. Inventory Lists

TEMPORARY

Destroy 2 years from date of list.

GRS 3  
Item 10a *oh*  
*supersedes GAO/Sched/*  
*9/9a*

b. Inventory Cards

TEMPORARY

Cut off upon discontinuance of item or transfer to new card under a new classification or 2 years after equipment is removed from agency control; destroy 2 years later.

GRS 3  
Item 10b *oh*  
*supersedes*  
*GAO/Sched/*  
*9/9b*

c. Documents, including lists, cards, and printouts used to maintain inventory of supplies in stockroom. Includes surveys or inventory and adjustments made in inventory management files.

TEMPORARY

Cut off at end of FY in which the survey was taken; destroy when 2 years old.

GRS 3  
Item 10c *oh*  
*supersedes*  
*GAO/Sched/*  
*9/9c*

✓ 012-74 RECEIVING AND INSPECTION FILES

Documents pertaining to the receipt and inspection of incoming stock at a supply center.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years ~~old~~ *later.*

✓ 012-76 RETURNABLE ITEMS FILES

Documents pertaining to accounting for returnable items received or sent by the supply center.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years ~~old~~ *later.*

✓012-78 SHIPPING FILES

Documents pertaining to the shipment of supplies, including documents pertaining to the packaging of materials to be sent from stockroom.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later.</sup> 2 years ~~old.~~

✓012-80 FINANCIAL STATUS REPORT FILES

Reports on financial value of supplies held, shipped, etc.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later.</sup> 2 years ~~old.~~

GRS 3/5a  
ah

✓012-82 SUPPLY ACTIVITY REPORTS FILES

Includes excess supplies, reports, statistical reports, etc.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later.</sup> 2 years ~~old.~~

GRS 3/5a  
ah

013 PROPERTY, EQUIPMENT, AND FACILITIES MANAGEMENT FILES

(These files relate to the maintaining of accountability for GAO property, to programs which ensure that GAO offices have the proper equipment, and to the management and maintenance of the GAO facility.)

✓ 013-02 PROPERTY ACCOUNTABILITY FILES

Listings, printouts, and other documents accounting for location and/or responsibility for property assigned throughout the agency. Includes forms and correspondence relating to changes in status of a piece of property under the accountability program.

TEMPORARY

<sup>in agency</sup>  
Destroy when superseded or obsolete.

✓ 013-04 PROPERTY MANAGEMENT PROBLEMS FILES

Documents relating to special problems involving regional offices, including lists of control tags sent to regional offices

a. Case files

TEMPORARY

Cut off when the problem is resolved; destroy 3 years later.

b. Lists of tags

TEMPORARY

<sup>in agency</sup>  
Destroy when superseded, obsolete, or no longer needed.

✓ 013-06 PERSONAL PROPERTY ACCOUNTABILITY FILES

Files pertaining to accountability for personal property lost or stolen. Personal property includes property of

any kind except real property and the records of the Federal Government.

a. Ledger Files

TEMPORARY

GRS 18  
Item 16a *ok*

Cut off upon final entry; destroy 3 years later.

b. Reports, loss statements, receipts and other papers relating to lost or found items.

TEMPORARY

GRS 18  
Item 16b *ok*

~~Cut off at end of FY;~~ Destroy when <sup>1</sup>3 years old.

✓ 013-08 PROPERTY MANAGEMENT STUDIES AND PROJECTS FILES

Documents pertaining to special property management projects.

TEMPORARY

Cut off when project is complete; destroy 2 years later.

✓ 013-10 EXCESS PERSONAL PROPERTY DISPOSAL FILES

Documents dealing with disposal of personal property-- property other than real property and Federal records.  
(Includes GAO Form 417)

TEMPORARY

GRS 4  
Item 5 *ok*

Cut off at end of FY; destroy when 3 years old.

✓ 013-12 POLICY AND PROCEDURES FILES

*Non-record copies of*

Documents which establish policy and procedures for locating and maintaining technical equipment.

TEMPORARY

<sup>in agency</sup>  
Destroy when superseded or obsolete.

*supersedes  
GAO/Sched/  
10/5*



✓ 013-14 TECHNICAL EQUIPMENT DATA FILES

Information concerning types of equipment, the component parts of the equipment, the suppliers or manufacturer, numbers, etc., used to aid in proper replacement or repair of equipment, including handbooks and technical publications. May be arranged by type of equipment.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 013-16 EQUIPMENT REQUISITION FILES

Copies of requisitions from which a determination is made whether to purchase an item or to fill the request from stock.

TEMPORARY

Cut off upon completion or cancellation of requisition; destroy 2 years later.

✓ 013-18 EQUIPMENT RECEIPT FILES

Documents used to maintain accountability of equipment in the disposal or repair cycle (including when sent to a reconditioning center).

TEMPORARY

Destroy <sup>in agency</sup> upon completion of <sup>repair, or</sup> ~~the action~~ and after the equipment has been accounted for <sup>in disposal action, whichever is appropriate,</sup>

✓ 013-20 EQUIPMENT MODIFICATION FILES

Recommendations for modifications of equipment designs or requirements.

TEMPORARY

Destroy <sup>in agency</sup> upon modification or disposal of related equipment.

✓ 013-22 EQUIPMENT FAILURE REPORT FILES

Reports documenting equipment failures and whether adjustment or replacement took place.

TEMPORARY

Cut off at end of FY; destroy ~~when 1 year old~~ <sup>after cutoff</sup>.

✓ 013-24 EQUIPMENT MAINTENANCE FILES

Documents scheduling periodic preventive maintenance service, tests, and calibration of equipment. These files usually pertain to specific pieces of equipment and should be transferred with the equipment. Also includes agreements and related contracts for companies or non-GAO organizations to provide maintenance services.

- a. Copy kept with equipment

TEMPORARY

Destroy <sup>in agency</sup> when equipment is no longer in use.

- b. Other copies

TEMPORARY

~~Cut off at end of FY, destroy when 1 year old.~~  
<sup>Destroy when 1 year old.</sup>

✓ 013-26 EQUIPMENT MAINTENANCE REQUEST FILES

Requests for maintenance services, reports of performance of resulting work orders, and other documents pertaining to maintenance performed, excluding fiscal copies.

TEMPORARY

GRS 11  
Item 5

Destroy 3 months after work is performed *or requisition cancelled.*

✓ 013-28 EQUIPMENT INSPECTION FILES

Worksheets and other documents reflecting the performance of preventive maintenance inspections, services, and spot checks of equipment.

TEMPORARY

Cut off at end of FY; destroy ~~when 3 years old.~~ *later.*

✓ 013-30 FACILITIES REQUIREMENTS AND PLANNING FILES

Documents relating to the development of plans and programs pertaining to facilities functions, space planning, assignment, and adjustment.

TEMPORARY

GRS 11  
Item 2a

Destroy 2 years after termination or when lease is cancelled, or when plans are superseded or obsolete.

✓ 013-32 SPECIAL FACILITIES PROJECT FILES

Case files pertaining to specific facilities projects.

~~a. Completed projects~~

TEMPORARY

Cut off upon completion of project; destroy 1 year later.

~~b. Continuing projects~~

~~TEMPORARY~~

~~Cut off at end of FY; destroy when 1 year old.~~

✓ 013-34 SPACE POLICY AND PROCEDURES FILES

*Non-record*

- ^ Copies of documents reflecting policies, procedures, and precedents pertinent to obtaining, leasing, allocating, using, and maintaining space facilities.

TEMPORARY

Destroy <sup>in agency</sup> when superseded or obsolete.

✓ 013-36 FEDERAL BUILDING FUND/SLUC FILES

Computer print-out of GSA controlled space.

TEMPORARY

Cut off at end of FY: destroy ~~when~~ 2 years <sup>after cutoff</sup> old.

GRS 11  
Item 2b(1) *ah*  
*supersedes GAO/  
Schedule 16/  
2b(1)*

✓ 013-38 ACQUISITION OF SPACE FILES

Copies of GSA Form 81 (Request for Space) and related documents.

TEMPORARY

Cut off at end of FY: destroy ~~when~~ 2 years <sup>after cutoff</sup> old.

GRS 11  
Item 2b(1) *ah*  
*supersedes  
GAO/Schedule  
16/2b(1)*

✓ 013-40 RESERVED

✓ 013-42 REQUESTS FOR SERVICES FILES

Record copy

- a. Documents pertaining to obtaining of services for GAO Divisions/Offices, Regional Offices, and Audit Sites.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later,</sup> 2 years ~~old.~~

- b. Blue copy of requisition maintained for easy reference.

TEMPORARY

Destroy <sup>in agency</sup> 3 months after work performed or requisition cancelled.

GRS 11

Item 5 *ok*

*supersedes*  
GAO/Sched/  
16/5

✓ 013-44 BUILDING MAINTENANCE AND JANITORIAL SERVICES FILES

Records pertaining to building maintenance logs, carpet cleaning, painting, trash collection, exterior landscaping, plants, excluding the financial copies.

TEMPORARY

Destroy 3 months after work performed or last entry in the log.

GRS 11

Item 5 *ok*

*supersedes*  
GAO/Sched/  
16/5

✓ 013-46 COMMUNICATION CORRESPONDENCE, REPORTS, AND REFERENCE FILES

- a. Correspondence and related records pertaining to internal administration and operation.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

- b. Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

GRS 12

Item 2a *ok*

*supersedes* GAO/  
Sched/17/  
2a

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 12

Item 2b *ok*

*supersedes* GAO/  
Sched/17/  
2b

- c. Telecommunications statistical reports including  
cost and volume data.

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

GRS 12  
Item 2c *ah*  
*supersedes GAO/Sched/*  
*17/2c*

- d. Telecommunications reference voucher files.

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

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year  
old.

GRS 12  
Item 2d(1) *ah*  
*supersedes GAO/*  
*Sched 17/*  
*2d(1)*

- (2) Records relating to installation, change,  
removal, and servicing of equipment.

TEMPORARY

~~Cut off at end of FY;~~ Destroy 1 year after  
audit or when 3 years old, whichever is sooner.

GRS 12  
Item 2d(2) *ah*  
*supersedes*  
*GAO/Sched 17/*  
*2d(2)*

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

TEMPORARY

Cut off upon expiration or cancellation of agreement;  
destroy 2 years later.

GRS 12  
Item 2e  
*supersedes*  
*GAO/Sched/*  
*17/2e*

✓ 013-48 TELECOMMUNICATIONS OPERATIONAL FILES

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

TEMPORARY

Destroy when 6 months old.

GRS 12  
Item 3a *ah*  
*supersedes*  
*GAO/Sched/*  
*17/3a*

b. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message.

TEMPORARY

Destroy when 2 months old.

GRS 12  
Item 3b

*supersedes GAO/Sched/  
17/3b*

c. Machine copies (hard copies), discs, and tapes of outgoing messages.

TEMPORARY

*upon completion of*  
Destroy ~~after~~ transmission.

GRS 12  
Item 3c

*supersedes GAO/  
Sched/17/  
3c*

✓ 013-50 TELEPHONE SUMMARIES FILES

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

TEMPORARY

Cut off at end of FY; destroy after the close of the FY in which audited.

GRS 12  
Item 4

*supersedes  
GAO/Sched/  
17/4*

✓ 013-52 APPROVED VENDORS

List of vendors approved by GSA for various products/services.

TEMPORARY

*in agency*  
Destroy ~~when~~ superseded, obsolete or no longer needed.

✓ 013-54 BLANKET JOB ORDER LOG FILES

Log of orders placed under blanket job order(s).

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 013-56 PROCUREMENT OF SPECIAL FACILITIES SERVICES FILES

Documents relating to the procurement of special products

~~or~~ <sup>of</sup> services such as air conditioning, heating, carpet

services, design services, etc. [ see also 013-42a of  
this schedule ]

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 013-58 REIMBURSABLE WORK AUTHORIZATION FILES

Copies of Form 2957 and related documents generated  
for seeking reimbursement for work done by GAO in be-  
half of GSA.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ <sup>later</sup> 2 years ~~old~~.

✓ 013-60 CORRESPONDENCE/AGREEMENTS WITH OTHER AGENCIES FILES

Documents relating to and including agreements per-  
taining to facilities with other agencies.

TEMPORARY

Cut off when agreement is superseded, revised or can-  
celled; destroy 5 years later.

✓ 013-62 VENDOR CATALOGS FILES

Catalogs received from various vendors pertaining to  
the facilities management function. Maintained for  
reference purposes.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.



014 SECURITY AND SAFETY FILES

(These files relate to the clearance of individuals for access to classified documents; investigations of security violations; classification and declassification of documents; protection and handling of classified information; protection of GAO facilities from unauthorized entry, theft, or other criminal activities; and programs relating to the promoting of safety of personnel and property, including investigations resulting from accidents.)

✓ 014-02 SECURITY CLEARANCE STATUS FILES

Lists or rosters of individual case files showing their status for access to classified documents. (NOTE: Does not include case files.)

TEMPORARY

Destroy <sup>in agency</sup> when superseded or obsolete.

GRS 18  
Item 24

*supersedes  
GAO/Sched/ 21/21  
(same)*

✓ 014-04 SECURITY CLEARANCE CASE FILES

Documents relating to investigations of employees, potential employees, or other persons, for security clearances.

TEMPORARY

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

GRS 18  
Item 23a  
(same)

*supersedes  
GAO/Sched/ 21/20*

✓ 014-06 OUTSIDE ACCESS REQUEST FILES

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

TEMPORARY

Cut off at end of FY: destroy when 2 years old.

✓ 014-08 SECURITY OFFICER DESIGNATION FILES

Documents pertaining to designations of security officers.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or revoked.

✓ 014-10 SECURITY VIOLATION CASE FILES

Case files on investigations of alleged security

violations, *but exclusive of papers placed in official personnel folders.*

a. Non-felonious Violations

(Personnel Office)

TEMPORARY

Destroy 2 years after completion of final

corrective or disciplinary action, *or when no longer needed, whichever is sooner.*

b. Felonious Violations

TEMPORARY

*Destroy 5 years after close of case.*  
~~Cut off at end of FY. destroy when 10 years~~

~~old.~~

c. Other copies of a and b.

TEMPORARY

Cut off when investigation is complete. destroy

3 years later or when no longer needed for administrative

or reference purposes, *whichever is sooner.*

GRS 18

Item 25b *ok*  
*superseded GAO/Sched/*  
*21/22*

GRS 18/  
25a

*superseded* *ok*  
*GAO/Sched/21/*  
*23*

✓ 014-12 GENERAL SECURITY CORRESPONDENCE FILES

Correspondence concerning name checks and other matters related to security clearances or violations but not otherwise described in this subfunction.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 18  
Item 22 (same)

✓ 014-14 INFORMATION SECURITY POLICY AND PROCEDURES FILES

*Non-record copies of*  
Files reflecting the formulation and establishment of policy, planning, and procedural developments governing security matters.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 014-16 SECURITY CLASSIFICATION FILES

Documents relating to the classification, declassification or downgrading of specific documents.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 18/3  
(same)

*supersedes*  
GAO/Sched/  
a1/3

✓ 014-18 RESERVED

✓ 014-20 CLEARANCE ROSTER FILES

Requests and authorizations for individuals to have access to classified documents. Includes related requests for access and authorizations received.

TEMPORARY

Destroy 2 years after authorization expires.

GRS 18  
Item 7 (same)

*supersedes*  
GAO/Sched/a1/7

✓ 014-22 CLASSIFIED DOCUMENTS INVENTORY FILES

Inventories of classified documents held. Also may include reports on missing classified documents, but not document receipts.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 18

Item 5<sup>th</sup>

*supersedes GAO/Sched 1  
21/5*

✓ 014-24 DOCUMENTS INDEX FILES

Documents relating to the maintenance of an index system providing a listing of classified documents. May fall into the following categories:

- a. Index file cards

TEMPORARY

Destroy<sup>in agency</sup> when superseded or obsolete.

- b. Documents relating to index files.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

*GRS 18/5<sup>th</sup>*

*supersedes  
GAO/Sched 1  
21/5*

✓ 014-26 CLASSIFIED DOCUMENTS DESTRUCTION CERTIFICATE FILES

Certificates required to record the destruction of classified material.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 18

Item 4

*supersedes  
GAO/Sched 1  
21/4*

✓ 014-28 SECURITY CONTAINERS FILES

List of combinations of containers, individuals knowing the combination, and similar materials limiting access to containers. Includes documents relating to

determining proper equipment for security uses and related correspondence.

TEMPORARY

Destroy <sup>in agency</sup> when superseded by a new form or list, or upon turn-in of containers, or when combination is changed.

GRS 18

Item 8 *ch*

*supersedes*  
*GAO/Sched 1*  
*21/8*

✓ 014-30 SECURITY SURVEY/INSPECTION FILES

Surveys conducted to ensure that classified documents are being properly handled and maintained. Includes reports on the handling and disposition of classified documents, and not otherwise described in this sub-function.

TEMPORARY

Destroy when 3 years old, or when superseded by another survey, or upon the discontinuance of a facility, whichever is sooner.

GRS 18

Item 10 *ch*

*supersedes*  
*GAO/Sched 1*  
*21/10*

✓ 014-32 IDENTIFICATION MEDIA FILES

Documents relating to issuance, control, and accountability of all forms of identification.

TEMPORARY

Destroy <sup>when</sup> after all issued media have been returned or accounted for.

GRS 11

Item 4b *ch*

*supersedes*  
*GAO/Sched 16/46*

✓ 014-34 PROPERTY PASS FILES

Passes authorizing removal of property or materials.

TEMPORARY

~~Get off when expired or revoked, destroy 3 months~~

~~later.~~ *Destroy 3 months after revocation or expiration.*

GRS 18

Item 13 *ch*

*supersedes*  
*GAO/Sched 1*  
*21/13*

✓ 014-36 KEY ACCOUNTABILITY FILES

Documents accounting for keys issued for buildings or rooms.

a. Maximum Security Areas

TEMPORARY

<sup>in agency</sup>  
Destroy <sup>3</sup> years after turn-in of key.

b. Other areas

TEMPORARY

<sup>in agency</sup>  
Destroy <sup>6</sup> months after turn-in of key.

*supersedes  
GAO/Sched/  
21/16* { GRS 18  
Item 17 *oh*  
  
GRS 18  
Item 17 *oh*

✓ 014-38 PROPERTY LOSS LEDGERS FILES

Ledgers accounting for personal property lost or stolen from Government facilities.

TEMPORARY

<sup>in agency</sup>  
Destroy <sup>3</sup> years after final entry.

GRS 18  
Item 16a *oh*  
*supersedes  
GAO/Sched/  
21/14a*

014-40 PROPERTY LOSS FILES

Reports, statements, and other documents pertaining to the loss or theft of personal property in government facilities.

TEMPORARY

~~Get off at end of FY.~~ Destroy when 1 year old.

GRS 18  
Item 16b *oh*  
*supersedes  
GAO/Sched/  
21/14b*

✓ 014-42 ACTIVITY SUMMARY/DATA FILES

Summaries/reports of statistics of crimes reported or analyzed in GAO.

TEMPORARY

<sup>in agency</sup>  
Destroy <sup>when</sup> superseded, obsolete, or no longer needed for administrative or reference purposes.

✓ 014-44 GUARD SERVICE FILES

Documents relating to controlling the operations and actions of the guard force. Includes round reports, service reports on interruptions or tests, and punch clock dial sheets, registers of Patrol and Alarms Services, and related correspondence with GSA.

TEMPORARY

*Destroy when 1 year old.*  
~~Out off at end of FY; destroy 3 years later.~~

GRS 18  
Item 20 *ch*  
*supersedes GAO/*  
*Sched 21/19*

✓ 014-46 COMPUTER SECURITY FILES

Documents relative to the physical and technical protection of computers including safeguards against the unauthorized use of data.

TEMPORARY

*in agency*  
Destroy when superseded, obsolete or no longer needed.

✓ 014-48 SECURITY EDUCATION/TRAINING FILES

Documents relating to briefings or general training prepared for this function for agency personnel.

TEMPORARY

*in agency*  
Destroy when superseded, obsolete, or no longer needed.

✓ 014-50 SAFETY PROGRAM STRUCTURE FILES

Documents relating to the establishment of a structure within GAO for the operation of a safety program. This includes designations of safety representatives, and related positions as well as documents relating to the operation of safety organizations within GAO.

TEMPORARY

Destroy<sup>in agency</sup> when superseded, obsolete, or no longer needed.

✓ 014-52 INTERAGENCY LIAISON FILES

Document pertaining to coordination with agencies outside GAO on safety matters. This includes OSHA.

TEMPORARY

Cut off at end of FY: destroy ~~when~~ 2 years <sup>after cutoff</sup> old.

✓ 014-54 EMERGENCY PREPAREDNESS FILES

Documents relative to coordination with civil preparedness program in the event of an emergency.

a. Emergency Directives Reference File

TEMPORARY

Destroy<sup>in agency</sup> when superseded or obsolete.

b. Correspondence relating to administration and operation of emergency planning not covered elsewhere.

TEMPORARY

Cut off at end of FY: destroy when 2 years old.

GRS 18

Item 29 <sup>oh</sup>

*supersedes GAO/Sched/21/25*

GRS 18

Item 27 <sup>oh</sup>

*supersedes GAO/Sched/21/24*

✓ 014-56 FACILITY SELF PROTECTION PROGRAM FILES

Documents relating to information on plans for evacuations and other actions resulting from emergencies.

TEMPORARY

Destroy<sup>in agency</sup> when superseded, obsolete or no longer needed.



✓ 014-58 PROMOTIONAL CAMPAIGN FILES

Documents relating to programs to promote safety and the prevention of accidents and fires.

TEMPORARY

~~Cut off at end of FY:~~ Destroy when 1 year old.

✓ 014-60 SAFETY DRILL FILES

Documents relating to the scheduling and conduct of safety drills, such as for fires.

TEMPORARY

~~Cut off at end of FY:~~ Destroy when 1 year old.

✓ 014-62 SAFETY INSPECTION & SURVEY FILES

Surveys and checks of facilities and equipment, for general or specific safety problems and the resulting reports. Does not include safety checks conducted in response to safety complaints.

TEMPORARY

Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.

GRS 18

Item 10 *oh*

*supersedes*  
*GAO/Sched 1/21/10*

✓ 014-64 SAFETY COMPLAINT FILES

Complaints from personnel on potential safety hazards, and resulting investigations and reports.

TEMPORARY

Cut off at end of FY: destroy when 3 years old.

✓ 014-66 SAFETY STUDIES FILES

Special studies conducted on safety hazards or problems and recommended solutions.

TEMPORARY

Cut off at end of FY in which the study is completed.  
destroy ~~when~~ 3 years ~~old~~ *later*.

✓ 014-68 GENERAL ACCIDENT AND SAFETY REPORT FILES

Accident reports filed as a result of personal injury, property damage, motor vehicle accident, or similar incidents. These files may be subdivided by type of accident.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 014-70 MOTOR VEHICLE ACCIDENTS FILES

Records relating to motor vehicle accidents maintained by transportation offices.

TEMPORARY

Destroy 6 years after case is closed.

✓ 014-72 MOTOR VEHICLE OPERATION FILES

Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.

TEMPORARY

Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

GRS 10

Item 5 *ok*

*supersedes GAO/Sched/*  
*15/5*

GRS 10

Item 7 *ok*

*supersedes*  
*GAO/Sched/*  
*8/24*

✓ 014-74 ACTIVITY SUMMARY/DATA FILES

Summaries and reports of statistics on accidents and related safety matters.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed for administrative or reference purposes.

✓ 014-76 SAFETY TRAINING/EDUCATION FILES

Documents relating to briefings or general training given to agency personnel on safety techniques or procedures.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

✓ 014-78 SECURED AREA FILES

Records relating to administration and operation of secured areas.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 014-80 PARKING FACILITIES FILES

Documents relating to assigning spaces, receiving monthly payments, issuing monthly stickers, etc.

- a. Card file maintained on each space, containing address, phone, tag number, and carpool information.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, cancelled or withdrawn.

GRS 18/9  
oh

b. Copies of checks received for parking fee

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

c. Parking permits

TEMPORARY

Destroy 3 months after return to issuing office.

d. All other documents not covered by a, b and c  
above.

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

or when no longer needed for administrative or reference  
purposes, whichever is applicable.

GRS 11

Item 4a

*supersedes GAO/Schol /  
16/4a*

015 OFFICE OF THE COMPTROLLER GENERAL

[Also included are the records of the Deputy CG, Assistant CG's, and other ad hoc offices, such as the History Office set up by CG.]

*Note: General program Correspondence, if only, of the CG and Deputy CG are scheduled under item 011-46 a*

015-02 NUMBERED MEMORANDA OF THE COMPTROLLER GENERAL FILES

These memoranda are initiated in the Comptroller General's office where the record copy is retained and filed numerically.

(NOTE: Record copies of CG's correspondence initiated by other offices/divisions are retained in the initiating office/division's director's files and are scheduled separately.)

PERMANENT (ECV lcf EAA 1/12cf )

Cut off entire file at termination of CG's appointment; transfer to GAO Record Holding area; transfer to FARC at end of FY; offer to NARS when 20 years old. (In 5 year increments)

*Withdrawn  
RTB  
3/3/82  
SOA*

015-04 LOG OF COMPTROLLER GENERAL'S NUMBERED MEMORANDA FILES

Log of numbered memoranda signed by the CG, maintained by the CG's secretary, arranged chronologically and containing subject summaries.

PERMANENT (ECV 1/12cf EAA 1/12cf )

Cut off entire file at termination of CG's appointment; transfer to GAO Records Holding Area; transfer to FARC at end of FY; offer to NARS when 20 years old. (In 5 year increments)

*Withdrawn  
RTB  
3/3/82  
SOA*

015-06 ANNUAL REPORT WORKPAPER FILES

Workpapers created in the preparation of the Annual Report of the Comptroller General of the United States. (NOTE: Copies of the Annual Report of the Comptroller General are sent to OISS for entry into the GAO Documents Data Base and microfilmed as a part of the permanent microfiche set of GAO Documents, ~~071-12.~~  
063-06a)

TEMPORARY

Cut off 1 year after close of the fiscal year covered by the report; destroy 1 year later.

II-NN-3536  
Item No. 1a (same)

*supersedes*  
GAO/Sched 17/4

015-08 GAO REVIEW WORKPAPER FILES

Workpapers created in the preparation of the GAO Review. (NOTE: Copies of the GAO Review are sent to OISS for entry into the GAO Document Data Base and microfilmed as a part of the permanent microfiche set of GAO Documents,

~~071-12.~~  
063-06a

TEMPORARY

Cut off at the close of each volume; destroy when 1 year old.

015-10 INTERNATIONAL VISITORS

These files consist of general correspondence between GAO and other countries, international organizations, other government agencies, international liaison, foreign embassies, etc., concerning possible visits to GAO and participation in GAO programs.

TEMPORARY

Cut off at end of FY; destroy when 6 years old.

015-12 INTERNATIONAL AUDITOR FELLOWSHIP PROGRAMS (IAFP)

Documents relating to participation in the IAFP. The program supports professional growth of auditing organizations in developing countries. Ten candidates per year are selected by the CG from nominations made by their Auditor General to participate in the 3 month program that combines classroom learning and direct experience. Documents include nominations, selections, requirements for acceptance, and related papers.

TEMPORARY

Cut off at end of FY; destroy when 6 years old.

015-14 SPECIAL ORGANIZATIONS AND PANELS

Documents relating to the deliberations of ~~organizations requiring GAO's participation. Includes documents relating to the CG's Consultant Panel and to GAO's participation in International Organization of Supreme Audit Institutions (INTOSAI), as well as the quarterly publication, International Journal of Government Auditing arranged subjectively and chronologically and~~ maintained in the Office of the Assistant

CG for Policy and Programming. <sup>Records of the CG's Consultant Panel are arranged chronologically; Records of INTOSAI are arranged by subject,</sup>

a. Records, including <sup>history, agendas, and</sup> minutes, ~~and~~ proceedings, docu-

menting GAO's participation, ~~and~~ contribution, and involvement

PERMANENT (ECV <sup>3cf</sup> ~~6cf~~ EAA <sup>6"/yc</sup> ~~6cf~~)

Cut off at end of FY; transfer to FARC when 5 years old;

offer to NARS when 20 years old. (In 5 year increments)

<sup>All</sup> Other records and publications, including drafts + editing records

TEMPORARY

Cut off at end of FY; destroy when superseded or no longer needed for reference purposes.

015-16 SPECIAL GUEST FUND FILES

Documents related to the expenditure and control of funds appropriated to defray expenses for lunches/dinners for guests and gifts to foreign countries. Includes Standard Form 1034, Voucher for Purchases of Services Other than Personal and GAO Form 319 which shows previous balance and amount left in fund. Original SF 1034 (official copy) is sent to OBFM.

TEMPORARY

Cut off at the end of FY; destroy when 2 years old.

015-18 STAFF LUNCHES FILES

Copies of memoranda sent to division directors which assign their responsibilities for staff lunch guests. Includes copies of memoranda sent to attendees of staff lunches; documents regarding the Comptroller General's availability for the lunches and related records.

TEMPORARY

Cut off at end of FY; destroy when 5 years old.

withdrawn  
3/3/82  
because  
part of  
015-20  
RTB  
Saw



015-20 GUEST SPEAKERS/LUNCHEON TOPIC FILES

Copies of memoranda listing the guest speaker and the topic of speech for CG Staff Luncheons; maintained in the Office of the Assistant Comptroller General for Administration; arranged chronologically.

PERMANENT (ECV 1/12cf EAA 1/12cf)

Cut off entire file and transfer to GAO Records

Holding Area at termination of Comptroller General's appointment: transfer to FARC at end of FY; offer to NARS when 20 years old. (In 5 year increments)

015-22 SPEECHES FILES

Copies of the speeches of Comptroller General, Deputy CG and Assistant CG.

TEMPORARY

Destroy when no longer needed.

(NOTE: Copies are sent to OISS for entry into the GAO Document Data Base, and microfilmed as a part of the permanent microfiche set of GAO Documents ~~071-12-~~)  
063-06a)

see pages 102a and 102b  
for this item

015-24 GAO HISTORY FILES

These files include records collected, created, or extracted from other GAO files for, or during the projects established to compile historical accounts of the functioning of GAO and/or its components, covering the entire or any specific period of GAO's existence. Records may consist of copies of correspondence, memoranda, speeches, testimony, reports, organizational charts, interview notes or oral history tapes, trip reports, memoirs, etc.

These files include:

a. History Report Files

The record of the finished report of the history for which the project was established, the original manuscript, and the successive substantive revisions. Arranged chronologically within each chapter of the proposed outline of the finished report and maintained by the History Project Office.

PERMANENT (ECV lcf Estimated additional accumulation by completion of project 4cf)

Cut off and transfer to GAO Records Holding Area upon the completion of the project; transfer to FARC at end of FY when 2 years old, or upon the closing of the Project Office, whichever is sooner; offer to NARS when 20 years old. (In 5 year increments)

b. Background and workpaper files.

Records extracted from other GAO files, trip reports, interview notes and transcripts, oral history tapes, memoirs, and other materials collected or created for or during the project, arranged chronologically and maintained by the History Project Office. Dispose of as follows:

(1) Materials used and cited in the history report: retain with the History Report Files in the Project Office.

PERMANENT (ECV 8 1/2cf Estimated additional accumulation by completion of project 4cf)

Cut off and transfer to GAO Records Holding Area at the completion of the project; transfer to FARC at end of FY when 2 years old, or upon the closing of the Project Office, whichever is sooner; offer to NARS when 20 years old. (In 5 year increments)

(2) Oral History Tape Files

~~Included here are only those tapes which, because of the persons involved or for other reasons, are considered of permanent value.~~

(NOTE: Tapes which are prepared only as a convenience to take notes, may be erased or reused after the notes have been transcribed and verified.)

*Includes tapes prepared in 1-time projects covering a 15-year period coincident with the term of the Comptroller-General. GAO officials will organize tapes on the basis of the existence or non-existence of related transcripts and the position of the officials involved prior to offering to NARS.*

*per NNV  
10/26/81*

PERMANENT (ECV 2cf Estimated additional  
accumulation by completion of project 2cf)

Cut off and transfer to GAO Records Holding

Area at the completion of the project; ~~transfer~~

~~to FARC at end of FY when 2 years old; offer to~~

*5 years thereafter or when no longer needed,*  
~~to NARS when no longer needed for GAO's use or~~  
*whichever is sooner.*  
~~after 20 years whichever is sooner. (In 5 year~~  
~~increments)~~

(3) Records duplicated elsewhere and not cited  
in the History Report.

TEMPORARY

Cut off at the completion of the project; destroy

~~when 1 year old.~~ *after completion of project*

(4) Records not duplicated elsewhere nor cited in  
the History Report.

TEMPORARY

Cut off at the completion of the project; transfer

*2 years after completion of project,*  
to FARC at end of FY when ~~2 years old~~, or upon the

closing of the Project Office, whichever is sooner;

*10 years after completion of project*  
destroy ~~when 10 years old~~, unless, in the meantime,

these records have been or are being used for another  
project; if so, follow the retention requirements  
of the new project.

RTB  
sm  
1/28/82

per  
NAV  
10/26/81

015-24 INTERNAL HISTORY FILE

This file consists of records collected, created, or extracted from other GAO files for the project established within GAO to compile the internal history GAO 1966-1981: An Administrative History. The book, which was published by GPO, is a record of the development of GAO from 1966 to 1981, the period during which Elmer B. Staats was Comptroller General. Records include copies of correspondence, memoranda, speeches, clippings, articles, testimony, reports, organizational charts, interview notes, oral history tapes and related transcripts, trip reports, memoirs, etc., in the following series:

*1 copy of the published history, plus*

- a. *^* The final draft (ca. December 3, 1980) and the first complete manuscript (ca. October 29, 1980) from which the final draft was compiled. Arranged by date. Ca. 5".

PERMANENT. Transfer to FARC upon completion of project. Offer to NARS 20 years after completion of project.

- b. Written comments of Comptroller General Staats and Deputy Comptroller General Heller on the October 29, 1980, draft. Arranged by reviewer. Ca. 5".

PERMANENT. Transfer to FARC upon completion of project. Offer to NARS 20 years after completion of project.

- c. Background and workpaper files

- (1) Source documents extracted from other GAO files, trip reports, memoirs, and other materials collected during the project, and used in the history. Arranged in folders by chapter, thereunder by chapter topic. Ca. 5 cu.ft.

PERMANENT. Transfer to FARC upon completion of project. Offer to NARS 20 years after completion of project.

- (2) Collection of Comptroller General Statements, 1966-1975. Arranged chronologically. 1 cu.ft.

PERMANENT. Transfer to FARC upon completion of project, Offer to NARS 20 years after completion of project.

- (3) Interviews

Written interviewes with GAO officials and others related to GAO. Arranged by name of interviewee. Ca. 6".

PERMANENT. Transfer to FARC upon completion of project. Offer to NARS 20 years after completion of project.

- (4) Oral history tapes and related transcripts. Arranged by name. 65 tapes. 4" of transcripts (generally, only the tapes of Staats have been transcribed.) Talks with Elmer Staats and other present and former top GAO officials. Most tapes are of discussions with Staats. Not all tapes have been transcribed. Tapes include much information that was not included in the final draft.

per  
10/26/81

PERMANENT. Offer to NARS 5 years after completion of project or when no longer needed, whichever is sooner.

(NOTE: Tapes which were prepared only as a convenience to take notes may be erased or reused after the notes have been transcribed and verified.)

(5) All other records

Destroy in agency when project is completed, or return to office which provided materials.

NOTE: For other internal histories which may be done in the future, submit SF 115 for individual appraisals.

020. POLICY AND PROGRAM PLANNING

[These records relate to the development of agency-wide policy, accounting and audit standards, and the planning or formulation of GAO programs. Also included here are the records relating to the Freedom of Information Act.]

021 Policy Files

022 Program Planning Files

## 021 POLICY FILES

(These files relate to development and maintenance of the Comprehensive Audit and Report Manual formal review of the GAO reports before they are approved by the CG for issuance and FOIA.)

021-02 MANUAL and General Policy Manual, and General Project Manual  
COMPREHENSIVE AUDIT AND REPORT MANUAL FILES

- a. Record set including a copy of the ~~finished product~~ <sup>manuals</sup> as well as superseded, revised, or cancelled sections.

<sup>by manual, thereunder</sup>  
~~Arranged numerically and maintained in the Office of~~  
<sup>by manual section,</sup>

~~Policy.~~ The Comprehensive Audit Manual <sup>is an internal GAO manual that</sup> contains the offi-

cial policies and standards for conducting audit studies

and issuing audit reports; <sup>and Project Manual to</sup> ~~the Comprehensive Audit and Report Manual.~~ <sup>are successors to</sup>

~~PERMANENT (EGW 58cf EAW 10cf) 0-14/gm~~

Cut off at end of FY; transfer to FARC when 5 years old;

offer to NARS when 10 years old. (In 5 year increments)

- b. <sup>Background + working papers for the manuals - Destroy in agency when 5 years old.</sup>  
~~(Att. chronologically) 28 cu ft~~  
REFERENCE MASTER SET OF COMPREHENSIVE AUDIT MANUAL AND  
REPORT MANUAL FILES

Reference copy of the Comprehensive Audit and Report Manual containing latest changes and updated material.

### TEMPORARY

Destroy individual sections <sup>in agency</sup> as they are superseded, discontinued or cancelled.

021-06 SPECIAL POLICY PROJECTS FILES

Documents relating to the development of policy matters including workpapers and backup files (includes working notes, drafts and related correspondence).

### Volume:

- 1) Comprehensive Audit and Report Manual (1952-1981)  
 25 binders, 4" each.

No longer being created

- 2) General Policy Manual & Project Manual - now exist.

3" each, ~~repe~~

No estimate on yearly increase, because there are new records.

- 3) Report Manual 021-04  
 vol. since 1958 is 4 binders,

4" each. (concerns processing of audit reports).



TEMPORARY

Cut off at the end of FY in which project is completed;  
destroy when no longer needed for administrative or  
reference purposes, or ~~when 10 years old whichever is~~ *10 years after project is completed,*  
*whichever is sooner.*  
~~sooner.~~

✓ 021-08 REPORTS REVIEW FILES

A chronological record of all GAO reports received  
by the Office of Policy for review.

TEMPORARY

~~Cut off when log is completed;~~ Destroy 2 years  
after the last entry in the log.

✓ 021-10 REVIEW COMMENTS ON GAO REPORTS FILES

Comments on GAO Reports including Office of Policy's copy  
of GAO Form 11-7 and related documents.

- a. Form 11-7 or equivalent maintained by Office of  
Policy

TEMPORARY

Cut off at end of FY; destroy 2 years later.

- b. Record copy

TEMPORARY

Retain with Master Report Folder (See 073-12).

- c. Background and other documents

TEMPORARY

Cut off at end of FY in which report was issued;  
destroy when 5 years old.

✓ 021-12 REVIEW COPIES OF GAO REPORTS FILES

Reference files of GAO reports reviewed by Office of Policy.

TEMPORARY

Destroy <sup>in agency</sup> when no longer needed for administrative or reference purposes by the Office of Policy.

✓ 021-14 POLICY WORK PROJECTS FILES

Office of Policy's projects other than those reviewing reports and not related to the Comprehensive Audit and Report Manual.

TEMPORARY

Cut off at end of FY in which project is closed/completed; destroy when 3 years old.

✓ 021-16 FREEDOM OF INFORMATION ACT (FOIA)  
REQUESTS FILES

Files created in response to requests for information under the 4 C.F.R. Part 81 "Public Availability of General Accounting Office Records," consisting of the original request, a copy of the reply thereto, references to related supporting files, and control documents.

TEMPORARY

~~Cut off at end of FY, destroy when 2 years old.~~

See General Records Schedule 14, Items 16, 17, 18, 19, and 20  
For appropriate  
dispositions

RTB  
SAM  
10/15/81

021-18

Indexes of working papers, audit programs and reports, showing retention and disposal information, control copies of work programs, audit guide lines, and all other reference background material.

superseded  
GAO/Sched  
7/2  
(some  
deposition)

Destroy after 3 years  
or when their purpose  
has been served,  
whichever is later.

021-20

General Accounting Office Policy and Procedures Manual for Guidance of Federal Agencies.

Record set of manual including superseded, revised, or cancelled sections. This is an historical file of changes to and development of this manual, which provides guidance to Federal agencies in accounting principles, standards, requirements; uniform procedures for use by Federal agencies; regulations governing the relationships of GAO with other Federal agencies & with individuals and private concerns doing business with the Government. Areas covered

include "the U.S. General Accounting  
office," "Accounting," "Audit,"  
"Claims," "Transportation," "Pay, Leave,  
and Allowances," "Fiscal Procedures,"  
and "Records Management." This  
manual is not included in the  
microfiche series of Item 063-06,  
Arranged by section (titles) Vol = ca. 2"/yr.

PERMANENT. Cut off at end of FY.  
Transfer to FARC when 5 years old;  
offer to NARS when 10 years  
old (in 5-year increments).

ok  
per P. Smith  
2/23/82

## 022 PROGRAM PLANNING FILES

(These files relate to the agency-wide planning of GAO's programs and issue areas.)

### ✓ 022-02 PROGRAM PLANNING POLICIES AND PROCEDURES FILES

Methods and procedures for establishing, maintaining, and implementing programs required to carry out the assigned responsibilities and mission of GAO. Also includes records relating to planning function in GAO and PPMA files. Arranged chronologically and maintained by OPP.

RTB  
Saa  
1/28/82

~~PERMANENT~~ (ECV 20cf EAA 4cf)

Cut off at end of FY when superseded, revised, cancelled or obsolete; transfer to FARC ~~when 5 years old; offer to~~ <sup>after superseded, revised, cancelled, or obsolete;</sup> ~~NARS when 20 years old.~~ <sup>after superseded, etc.</sup> (In 5 year increments) <sup>Destroy</sup>

### ✓ 022-03 BUDGET COMMITTEE MEETING MINUTES

Minutes of the Budget Committee Meetings relating to the review of organizational and program resource requirements for budget formulation, staff year resource allocation and budget status, and CG's statement for appropriation hearings. This file is maintained chronologically in the Office of Program Planning.

PERMANENT (ECV 2/12cf EAA 1/12cf)

Cut off at end of FY; transfer to FARC when 5 years old; offer to NARS when 20 years old. (In 5 year increments)

✓ 022-04 PROGRAM PLANS FILES

~~Copies of~~ Records relative to division program plans, including OPP's input to division program plans and PPC deliberations, *including individual issues areas.*

- a. Program Plans <sup>& Issue Areas.</sup> Files *Arranged by name of issue area.*

PERMANENT (ECV ~~301~~ <sup>14 enft.</sup> EAA <sup>2 en ft.</sup> ~~1/4 en ft.~~  
(1974-present)

Cut off at end of FY when superseded, revised,

cancelled or obsolete; transfer to FARC ~~when~~

*after cutoff;*  
5 years ~~old~~; offer to NARS ~~when~~ *after cutoff.* 20 years ~~old.~~

(In 5 year increments)

- b. Supporting and background materials *not considered substantive.*

TEMPORARY

Destroy when the corresponding program plan file

is cut off or when no longer needed for reference or

administrative purposes.

*Note: Published program plans & audit reports are input into the "GAO Documents" system made permanent under Item 063-06 of this schedule.*

✓ 022-06 PLANNING/BUDGETING FILES

Documents related to the implementation of GAO's programs and the projection of resources required.

TEMPORARY

Cut off at end of FY; destroy when 5 years old.

✓ 022-08 ASSIGNMENT REVIEW FILES

Records relating to assignment reviews including agenda and minutes of the Assignment Review Group meetings.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 022-10 COORDINATION WITH OTHER LEGISLATIVE  
BRANCH AGENCIES FILES

Files containing data, memoranda, and correspondence relating to GAO's coordination of its programs with Congressional Research Service, Office of Technology Assessment, and Congressional Budget Office, including Research Notification System instructions and records.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

022-12 ISSUE AREA FILES

Correspondence regarding individual issue areas including the list of issue areas with codes and descriptions.

TEMPORARY

Destroy when superseded, obsolete or no longer needed.

withdrawn,  
1/28/82  
Combined  
with item  
022-04a)

✓ 022-14 SPECIAL PROJECTS AND STUDIES FILES

Documents relating to projects analyzing office-wide job management and similar projects.

TEMPORARY

Cut off at end of FY in which the project was closed/  
completed; destroy ~~when 3 years old~~ after project closed/completed.

030 BUDGET AND FINANCIAL MANAGEMENT

[Records dealing with finance and fiscal functions of GAO. It does not include office housekeeping copies of finance records maintained by individual offices incidental to an office's primary function. (NOTE: No record should be destroyed if involved in claim by or against the government unless the claims have been settled and the retention requirements satisfied.)]

- 031 Budget Planning Files
- 032 Travel Accounting Files
- 033 Payroll Files
- 034 Accounting Files



### 031 BUDGET PLANNING FILES

(These are the official files of agency-wide budget planning and resource activities).

#### 031-02 BUDGET POLICY FILES

The ~~Office of Budget and Financial Management (OBFM)~~ <sup>Office</sup> Files documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. *Arr. by budget year.*

PERMANENT (ECV 10cf EAA 1/2cf)

Cut off at end of FY when superseded; transfer to FARC

~~when~~ 5 years <sup>later,</sup> ~~old;~~ offer to NARS ~~when~~ 20 years <sup>later,</sup> ~~old.~~

*GRS 5/1  
oh  
supersedes  
GAO/Schal/  
11/1*

#### 031-03 SPECIAL BUDGET STUDIES AND LONG TERM PLANNING FILES

- a. Special studies on budget issues, budget projects, and related records.

##### TEMPORARY

Cut off at end of FY in which the study is completed; destroy when 5 years old.

- b. Five years or other long term plans for agency's budgeting of programs.

##### TEMPORARY

Destroy when superseded, obsolete or no longer needed for reference or after 3 years as appropriate.

#### 031-04 BUDGET ESTIMATES AND JUSTIFICATIONS FILES

- a. Copies of budget estimates and justifications prepared or consolidated in <sup>*The Budget office*</sup> ~~OBFM~~ for submission to

the Congress. Included are appropriate language sheets, narrative statements, and related schedules and data.

GRS 5/2a  
sh

~~PERMANENT~~ (ECV 70cf EAA 2cf)

*covered by the budget.*  
Cut off at end of FY <sup>1</sup> transfer to FARC when 5 years old. ~~Offer to NARS when 20 years old. (In 5 year increments)~~  
*Destroy*

*supersedes*  
GAO/Sched/  
11/2

RTB  
SAA  
6/16/82

✓ b. Working papers and background materials

GRS 5/2b  
sh

TEMPORARY

Cut off at end of FY covered by the budget;  
destroy 1 year later.

✓ 031-06 BUDGET CORRESPONDENCE FILES

Correspondence files pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 5  
Item 3 sh

✓ 031-08 BUDGET BACKGROUND FILES

*supersedes*  
GAO/Sched/11/  
3

Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in item 031-04b.

TEMPORARY

Cut off at end of FY; destroy 1 year after the close of the fiscal year covered by the budget.

GRS 5  
Item 4 sh

*supersedes*  
GAO/Sched/  
11/4

✓ 031-10 BUDGET REPORTS FILES

Periodic reports on the status of appropriation accounts and apportionment.

- a. Annual report (end of fiscal year)

TEMPORARY

Cut off end of FY; destroy when 5 years old.

GRS 5  
Item 5a *oh*  
*supersedes GAO/Sched/*  
*11/5a*

- b. All other reports

TEMPORARY

Cut off end of FY; destroy when 3 years old.

GRS 5  
Item 5b *oh*  
*supersedes GAO/Sched/*  
*11/5b*

✓ 031-12 BUDGET APPORTIONMENT FILES

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

TEMPORARY

Cut off end of FY; destroy ~~when~~ 2 years ~~old~~ *later.*

GRS 5  
Item 6 *oh*  
*supersedes*  
*GAO/Sched/*  
*11/6*

✓ 031-14 REPROGRAMMING AND SUPPLEMENTAL FILES

Documents relating to requested additions, changes, or adjustments to approved budgets.

TEMPORARY

Cut off end of FY; destroy when 4 years old.

✓ 031-16 MANPOWER AUTHORIZATION FILES

Records pertaining to the allotment of personnel slots in GAO and the management of staff years.

TEMPORARY

Cut off at end of FY; transfer to FARC when 5 years old; destroy when 15 years old.

## 032 TRAVEL ACCOUNTING FILES

(These files are related to the accounting of funds in connection with travel by GAO employees and transportation services. Also included here are the accounting files relative to the control of imprest monies.)

### ✓ 032-02 TRAVEL ORDER FILES

Travel order files arranged by travel order number, blanket travel orders, trip authorizations, and GAO Form 176 or equivalent *(travel administrative office files)*

#### TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 9  
Item 4a oh  
*supersedes*  
GAO/Sched/ 14/  
4a

### ✓ 032-04 TRAVEL FILES

Travel vouchers and related supporting documents, maintained by name of traveler.

#### TEMPORARY

Cut off at end of FY; destroy when 3 years old or after audit, whichever is sooner.

GRS 9/4a  
oh  
*supersedes*  
GAO/Sched/  
14/4a

### ✓ 032-06 ADVANCE OF TRAVEL FUNDS FILES

Documents relating to the advancement of funds for travel, including any supporting papers.

#### TEMPORARY

Cut off at end of FY; destroy when 3 years old or after audit, whichever is sooner.

GRS 9/4a  
oh  
*supersedes*  
GAO/Sched/  
14/4a

### ✓ 032-08 TRANSPORTATION REQUEST FILES

Transportation requests and related supporting documents, including vouchers, tickets, listings, etc.

GRS 9/3a  
oh

TEMPORARY

Cut off at end of FY; destroy when 3 years old  
or after audit, whichever is sooner.

*supersedes GAO/Schell/  
14/3a*

✓ 032-10 TRAVEL AND TRANSPORTATION SERVICE FILES

Documents relating to transportation and travel services not described elsewhere, including vouchers for use of freight forwarders, temporary storage of personal affects and similar material.

TEMPORARY

Cut off at end of FY; destroy 6 years and 3 months later.

GRS 6  
Item 1 *oh*

✓ 032-12 CASHIER DESIGNATION AND IMPREST CONTROL FILES

Documents designating (or requesting designation of) cashiers changes in imprest funds, and related documents controlling imprest monies.

TEMPORARY

Cut off at end of FY; destroy when 3 years old or after audit, whichever is sooner.

032-14 TAPE MASTER FOR TRAVEL AND MISCELLANEOUS  
PAYMENTS SYSTEM (TAPEMAST)

*ok  
NWR  
7/12/82* This magnetic tape file is a continuous collection of all vendors maintained by purchase order number and amount, any payment received from or made to that vendor, and the charged division. The file contains such data elements as the purchase order number, vendor

number, budget object class, appropriation, division, obligation, and payments.

TEMPORARY

The tape is updated daily and each tape is maintained for 180 days.

032-16 SUSPENSE TAPE FOR TRAVEL AND MISCELLANEOUS  
PAYMENTS SYSTEM (TAPESUSP)

ok  
NNR  
7/12/82

This magnetic tape file links the Vendor's Master Record to the Travel Voucher Master Record by a common transportation request number. Important data elements include transportation request number, vendor identification, social security number, travel order number, division and responsibility area, budget object class, job code, appropriation, original batch, batch last action, transportation request amount and travelers last name.

TEMPORARY

The tape is updated daily and each tape is maintained for 180 days.

032-18 VENDOR FILE FOR TRAVEL AND MISCELLANEOUS  
PAYMENTS SYSTEM (TAPEVEND)

ok  
NNR  
7/12/82

This magnetic tape file contains vendor names and addresses controlled by a vendor number. The file contains such data elements as the vendor number, social security number, vendor name, vendor address, date established and last action date.

TEMPORARY

The tape is updated daily and each tape is maintained for 180 days.

032-20 STATISTICS FILE FOR TRAVEL AND MISCELLANEOUS  
PAYMENTS SYSTEM (TAPESTAT)

2  
NMR  
7/12/82

This magnetic tape file accumulates travel statistics for the monthly travel costs and statistics report. The file contains such data elements as appropriation, division, budget object class, miles, mileage amount, per diem days, and date of last action.

TEMPORARY

The tape is updated daily and each tape is maintained for 180 days.

### 033 PAYROLL FILES

(These files relate to the pay, leave, and allowance records for GAO employees.)

#### ✓ 033-02 INDIVIDUAL ACCOUNTS FILES

Individual earning and service cards, such as Standard Form 1127 or equivalent.

##### TEMPORARY

Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri.

GRS 2  
Item 1 *oh*  
*supersedes*  
*GAO/Sched 5/*  
*-16*

(a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF.

(b) If not in or filed adjacent to the OPF, destroy 56 years after the date of the last entry on the card.

#### 033-04 EMPLOYEE MASTER PAYROLL FILES

*oh*  
*NNR*  
*7/12/82*  
This magnetic tape file consists of personnel data on all GAO employees. Some of the data received is in the form of personnel actions such as promotions. It also includes step increases and mailing addresses for pay. Contains data elements reflecting social security number, name, state and Federal tax deductions, salary rates, leave data, position and occupation data, classification data, and appointment and allotment information.



TEMPORARY

Tapes are updated every pay period. When personnel are separated they are transferred from current tapes to the Employee History Payroll Files. Data on separated employees is maintained for 2 years after separation.

033-06 EMPLOYEE HISTORY PAYROLL FILES

*dl*  
*NNR*  
*7/12/82*  
The magnetic tape file contains payroll information on all employees employed by GAO. The file contains such data elements as name, social security number, pay period number and date, State and Federal deductions, leave usage and balances and charges to object class codes for accounting purposes.

TEMPORARY

This magnetic tape history file is updated every pay period. When payroll data becomes 2 years old it is dropped from the new history tape. The old history tape is maintained for an additional 365 days.

✓ 033-08 PAYROLL CORRESPONDENCE FILES

Correspondence files maintained by payroll unit pertaining to payroll preparation and processing.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 033-10 TIME AND ATTENDANCE REPORTS FILES

Forms such as GAO Form 484, 485, Form 14 or equivalent. Payroll preparation and processing copies.

GRS 2  
Item 2 *ah*  
*supersupers GAO/*  
*Sched 5/17*

(NOTE: For other copies, see 011-72 under Office Administration)

TEMPORARY

Cut off at end of CY; destroy after GAO audit or when 3 years old, whichever is sooner.

GRS 2  
Item 3a *ok*  
*superseded*  
GAO-Sched/5/18A

✓ 033-12 INDIVIDUAL AUTHORIZED ALLOTMENTS FILES

U.S. Savings Bond Authorization, Standard Form 1192 or equivalent, and authorization for individual allotment to the Combined Federal Campaign.

- a. If record is maintained on earning record card.

TEMPORARY

Destroy when superseded or after separation of employee. If employee transfers within an agency or between agencies, these authorizations must also be transferred.

GRS 2  
Item 4a(1) *ok*  
*superseded*  
GAO/Sched/5/19a(1)

- b. If record is not maintained elsewhere.

TEMPORARY

Cut off when superseded or upon separation of employee; destroy 3 years after supersession or 3 years after separation of employee.

GRS 2  
Item 4a(2) *ok*  
*superseded*  
GAO/Sched/5/19a(2)

✓ 033-14 BOND REGISTRATION FILES

Issuing agent's copies of bond registration stubs.

TEMPORARY

Cut off end of FY; destroy when 2 years old.

GRS 2  
Item 5 *ok*  
*superseded*  
GAO/Sched/5/20

✓ 033-16 BOND RECEIPT AND TRANSMITTAL FILES

Receipts for and transmittals of U.S. Savings bonds and checks.

TEMPORARY

Destroy 3 months after date of receipt.

GRS 2  
Item 6 *ok*

*supersedes*  
*GAO/Sched/*  
*5/21*

✓ 033-18 BOND PURCHASE FILES

Reports and forms of deposits and purchases of bonds with related papers.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 2  
Item 7 *ok*

*supersedes*  
*GAO/Sched/5/22*

✓ 033-20 LEAVE RECORD FILES

Leave record cards maintained separately from pay and earnings records, including SF 1130 when used as a leave record.

- a. Pay or fiscal copies

TEMPORARY

Cut off end of FY; destroy when 3 years old.

GRS 2  
Item 9a *ok*

*supersedes* *GAO/Sched/*  
*5/24a*

- b. Other copies

TEMPORARY

Destroy 3 months after the end of the period covered.

GRS 2  
Item 9b *ok*

*supersedes*  
*GAO/Sched/*  
*5/24b*

✓ 033-22 LEAVE DATA FILES

Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3.

- a. Original copy of SF 1150

TEMPORARY

File on right side of official personnel

folder (see Item 051-02 of this schedule)

b. Agency copy

GRS 2  
Item 10a *ok*

*supersedes*  
*GAO/Sched/*  
*5/25a*

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 2  
Item 10b *ok*

*supersedes*  
*GAO/Sched/*  
*5/25b*

✓ 033-24 NOTIFICATION OF PERSONNEL ACTION FILES

Copies of SF 50 or equivalent for use in payroll administration, not filed in the Official Personnel Folder.

TEMPORARY (*Pay or fiscal copy*)

Cut off end of CY; destroy when related pay records are audited or when 3 years old, whichever is sooner.

GRS 2  
Item 11a *ok*

*supersedes*  
*GAO/Sched/*  
*5/26a*

✓ 033-26 PAYROLL CONTROL FILES

Payroll control registers such as SF 1125A.

TEMPORARY

Cut off at end of CY; destroy after audit or when 3 years old, whichever is sooner.

GRS 2  
Item 14 *ok*

*supersedes*  
*GAO/Sched/*  
*5/27*

✓ 033-28 PAYROLL CHECK LISTS AND CERTIFICATION FILES

Memorandum copies of payrolls, checklists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents.

a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.

TEMPORARY

Destroy after the second subsequent payroll or checklist covering the same payroll unit has been received.

GRS 2  
Item 13a *ok*

*supersedes*  
GAO/Sched/  
5/28a

b. All other copies

(1) If earning record card is maintained.

TEMPORARY

Cut off at end of CY; destroy after audit or when 3 years old, whichever is sooner.

(2) If earning record card is not maintained.

GRS 2  
Item 13b(1) *ok*  
*supersedes*  
GAO/Sched/  
5/28b(1)

TEMPORARY

Transfer to NPRC St. Louis, Missouri, when 3 years old; destroy when 10 years old.

GRS 2  
Item 13b(2) *ok*  
*supersedes*  
GAO/Sched/  
5/28b(2)

✓ 033-30 PAYROLL CHANGE FILES

Payroll change slips, exclusive of those in Official Personnel folders. such as SF 1126.

a. Copy used in audit.

TEMPORARY

Cut off at end of CY; destroy when related pay records are audited or when 3 years old, whichever is sooner.

GRS 2  
Item 15a *ok*  
*supersedes*  
GAO/Sched/  
5/29a

b. Copy used by disbursing officer in preparing checks.

TEMPORARY

Destroy after preparation of check.

GRS 2  
Item 15b *ok*  
*supersedes*  
GAO/Sched/  
5/29b

- c. All other copies.

TEMPORARY

~~Cut off at end of each month; Destroy 1~~  
month after the end of the pay period.

GRS 2  
Item 15c *ok*

*supersedes GAO/  
Schad/5/  
29c*

✓ 033-32 FISCAL SCHEDULE FILES

Memorandum copies of fiscal schedules used in payroll processing.

- a. Copy used in audit

TEMPORARY

Cut off at end of CY; destroy after audit  
or when 3 years old, whichever is sooner.

GRS 2  
Item 16a *ok*  
*supersedes GAO/Schad/  
5/30a*

- b. All other copies

TEMPORARY

~~Cut off at end of each month; Destroy 1 month~~  
after the end of the pay period.

GRS 2  
Item 16b *ok*  
*supersedes  
GAO/Schad/  
5/30b*

✓ 033-34 ADMINISTRATIVE PAYROLL REPORTS FILES

Administrative reports, statistics and data relating to payroll operations and pay administration.

- a. Reports and data used for workload and personnel management purposes.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 2  
Item 17a *ok*  
*supersedes GAO/Schad/  
5/31a*

- b. All other reports and data

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 2  
Item 17b *ok*  
*supersedes  
GAO/Schad/  
5/31b*

✓ 033-36 TAX FILES

Withholding tax exemption certificates, such as Internal Revenue Form W-4, and similar state tax exemption forms.

TEMPORARY

Cut off at end of CY; destroy 4 years after form is superseded or obsolete.

GRS 2  
Item 18a *ok*  
*supersedes*  
GAO/Sched/  
5/32

✓ 033-38 INCOME TAX RETURN FILES

Returns on income taxes, such as Internal Revenue Form W-2.

TEMPORARY

Cut off at end of CY; destroy when 4 years old.

GRS 2  
Item 18b *ok*  
*supersedes*  
GAO/Sched/  
5/33

✓ 033-40 TAX REPORT FILES

Reports of withheld Federal taxes, such as IRS Form W-3 with related papers, including records relating to income and social security taxes.

TEMPORARY

Cut off at end of CY; destroy when 4 years old.

GRS 2  
Item 18c *ok*  
*supersedes*  
GAO/Sched/  
5/34

✓ 033-42 OTHER MISCELLANEOUS PAYROLL AND ADMINISTRATIVE REPORTS FILES

Other miscellaneous administrative reports not listed elsewhere.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 033-44 RETIREMENT FILES

- a. Reports, registers or other control documents, and records relating to the retirement, such as SF 2807 or equivalent.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 2  
Item 21a *ah*  
*supersedes GAO/Sched/*  
*5/35a*

b. Assistance Files

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

TEMPORARY

~~Cut off at end of FY; Destroy when 1~~  
year old.

GRS 2  
Item 21b *ah*  
*supersedes GAO/Sched/*  
*5/35b*

✓ c. Deduction Files

SF 2806 or equivalent and other records used to document retirement deductions of individual employees.

TEMPORARY

Send to Office of Personnel Management in accordance with FPMR Supplement 831-1, Subchapter 522-3.

GRS 2  
Item 21c *ah*  
*supersedes*  
*GAO/Sched/*  
*5/35c*

✓ 033-46 INSURANCE DEDUCTION FILES

Reports of insurance deductions and related papers, including copies of vouchers and schedules of payment.

TEMPORARY

Cut off at the end of CY; destroy when 3 years old.

✓ 033-48 LEVY AND GARNISHMENT FILES

Levy and garnishment records, including official notices, change slips, workpapers, correspondence, release and other forms, and other records relating to charge against

GRS 2  
Item 22 *ah*  
*supersedes*  
*GAO/Sched/5/*  
*36*



retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

TEMPORARY

Cut off at end of CY; destroy when 3 years old.

✓ 033-50 WAGE SURVEY FILES

Wage survey files consisting of wage survey reports and data, working papers and related correspondence concerning area wages paid for each employment class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorization wage schedules and wage survey recapitulation sheets).

TEMPORARY

Destroy after completion of second succeeding wage survey.

033-52. Original civilian & military payrolls (other than skeletonized payrolls), subsequent to 1900.

Destroy 56 years after the date of the accounts in which they were submitted.

033-54. Pay cards (such as Form S. and A. 500) of officers & enlisted personnel of the U.S. Coast Guard. These are original records & are sole record copies.

Destroy 10 years after date of separation from the service.

GRS 2  
Item 23 *oh*

*supersedes GAO/Sched/  
5/37*

GRS 2  
Item 24 *el*

*supersedes  
GAO/Sched/  
5/38*

*supersedes  
GAO/Sched/  
5/1*

*supersedes  
GAO/Sched/  
5/13*

## 034 ACCOUNTING FILES

(These files relate to the maintaining of an accounting system for GAO financial operations and to related reports reflecting the status of funds, and accounts other than payroll and travel.)

### ✓ 034-02 GENERAL ACCOUNTING LEDGERS FILES

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

#### TEMPORARY

Cut off at end of FY; destroy 10 years after the close of the fiscal year involved.

GRS 7

Item 2 *ok*

*supersedes GAO/  
Schd 12/2*

### ✓ 034-04 APPROPRIATION ALLOTMENT FILES

Records showing the status of obligations and allotments under each authorized appropriation.

#### TEMPORARY

Cut off at end of FY; destroy 10 years after the close of the fiscal year involved.

GRS 7

Item 3 *ok*

*supersedes  
GAO/Schd 12/3*

### ✓ 034-06 EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule. Includes ledger trial balance files, ledger posting and control files, and cost and obligation status report files.

#### a. Original records

#### TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 7

Item 4a *ok*

*supersedes  
GAO/Schd 12/4a*

b. Copies

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 7

Item 4b

oh

*supersedes GAO/Schud/  
12/4b*

✓ 034-08 PAYABLES FILES

Records showing money that has been paid for bills accrued, obligated or paid. Includes batch control sheets, payment coding sheets, and invoices, covers training requests (GAO Form 314), vendors, contractors, imprest funds, bills of lading, GSA bills, rentals, etc. Current year and past FY records are kept in original and then put on microfiche.

a. Paper Records

TEMPORARY

Destroy after it is ascertained that the microfiche copy is made in accordance with GSA regulations and is an adequate substitute for paper records.

b. Microfiche Record

TEMPORARY

Cut off at end of FY; destroy 6 years, 3 months after period covered by account. This certifies that the records described in this item will be

GRS 6

Item 1a

oh

microfilmed in accordance with the standards  
set forth in 41 CFR 101-11.506.

✓ 034-10 VOUCHERS AND SCHEDULES OF PAYMENTS FILES

Accounting and accomplished copies of vouchers and  
schedules of payments (SF 1166, 1081, 1098, or equi-  
valent) documenting the disbursement of agency funds  
by the U.S. Treasury. Includes cancelled checks.

TEMPORARY

Cut off at end of FY, destroy 6 years 3 months after  
period covered by account.

GRS 6  
Item 1a

✓

✓ 034-12 GENERAL FUND FILES

Records relating to the availability, collection, cus-  
tody and deposit of funds including appropriations,  
warrants, and certificates of deposit (SF 201,209,219),  
other than those records covered elsewhere in this  
schedule.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 6  
Item 4

ok

supersedes GAO/Sched/  
1/23

✓ 034-14 REPORTS TO THE TREASURY FILE

Periodic status reports and other financial reports  
generated by GAO to the Treasury and related files.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 034-16 FOREIGN ACCOUNTS FILES

Documents relating to the administration of GAO foreign accounts.

TEMPORARY

Cut off at end of FY; destroy when 3 years old, or after audit, whichever is sooner.

✓ 034-18 COLLECTION FILES

Documents relating to collections made as a result of claims settled by the GAO Claims Group/AFMD. (All original documentation is kept with the claims files.)

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

NN-165-110, Item 1  
of  
(same)

034-20 CURRENT PROPERTY MASTER FILE (MASTWICH #)

This magnetic tape file maintains control over current capitalized property by physical location of each property item purchased and computes depreciation on active and retired records. The file contains such data elements as the control number, organization, building, room number, useful years, manufacturer's name, depreciation, and serial number.

ok  
NNR  
7/12/82

TEMPORARY

The tape is updated monthly and each tape is maintained for 420 days.

034-22 RETIRED PROPERTY MASTERS (RETMASTS)

ok  
NWR  
7/12/82

This magnetic tape file maintains control over capitalized property that has been retired within the current fiscal year. The file contains such data elements as the control number, organization, building, room number, useful years, manufacturer's name, depreciation, and serial number.

TEMPORARY

The tape is updated monthly and each tape is maintained for 420 days.

034-24 CUMULATIVE RETIREMENT PROPERTY FILES (CUMRETMS)

ok  
NWR  
7/12/82

This magnetic tape file maintains a cumulative listing of all retired capitalized property. The file contains such data elements as the control number, organization, room number, building, useful years, manufacturer's name, depreciation, and serial number.

TEMPORARY

The tape is updated monthly and each tape is maintained for 420 days.

040 ORGANIZATION, HUMAN RESOURCES AND DEVELOPMENT,

AND PLANNING

040 ORGANIZATION, HUMAN RESOURCES AND DEVELOPMENT,  
AND PLANNING FILES

[ These files relate to the organization development, agency wide management studies, internal review, planning (except program planning, see 022) and human resource management functions in GAO.]

- 041      Organization, Management, and Planning Files
- 042      Employee Development and Counseling Files
- 043      Training and Education Files
- 044      Audio Visual Files



041 ORGANIZATION, MANAGEMENT, AND PLANNING FILES

(These files relate to internal audit studies, organization development projects and supporting papers.)

041-02 ORGANIZATION DEVELOPMENT PROJECTS FILES

Project files related to improving GAO's productivity and organizational structure. Included in these files are case documents reflecting request or authorization to conduct the study, working papers, interviews, charts, checklists, survey questionnaires, and related materials. Interview records are regarded as confidential. Findings and conclusions are usually reported to the appropriate top management through oral briefings or presentations. The files are arranged by division, office, or region *studied*, ~~and maintained by the Organization Development Staff of OOHG.~~

- RTB Jan 1/28/82*
- a. Record copy of *project file* — ~~substantive or comprehensive survey or review of an office, division, or a region.~~

~~PERMANENT (ECV 12cf EAA 4cf)~~

Cut off upon the completion of the project; *Destroy on completion of next comparable study or when 5 years old, whichever is sooner.* ~~transfer to FARC when 5 years old; offer to NARS when 20 years old. (In 5 year increments)~~

- b. ~~Other documents (including non substantive surveys)~~ *All other copies —*  
TEMPORARY

~~Cut off upon the completion/closing of the project; transfer to FARC when 2 years old; destroy on~~

*Destroy in agency when no longer needed.*

~~completion of next comparable survey or when  
5 years old, whichever is sooner.~~

c. Survey Background/Workpapers

Documents used in the collection of data for or during the project and accumulated in the office conducting or participating in the project. Included are notes, statistical data, copies of organizational charts, functional charts, personal data, and similar material collected for fact-finding and back-up purposes and documents reflecting preliminary arrangements incidental to specific project.

TEMPORARY

Cut off upon completion of the project; destroy *3 years later*.  
~~when 2 years old.~~ (All confidential documents must be destroyed in accordance with the applicable security regulations).

✓ 041-04 SYSTEMS AND PROCEDURES ANALYSIS FILES

Case files relating to simplification, streamlining and improvement of individual functions, activities or operational procedures thereof. Individual studies may range in scope from implementing a new word processing system affecting the entire agency to a study of one particular procedure, process, or method of a particular phase of an operation/activity. Included are documents reflecting the proposal, request, or authorization to conduct the study, work distribution charts, flow process charts,

work counts and statistics, observation data, layout studies, action taken on proposals, and similar documents.

TEMPORARY

Cut off upon completion/closing of the case; transfer to FARC ~~when 2 years old;~~ <sup>2 years after cutoff.</sup> Destroy ~~when 5 years old.~~ <sup>after cutoff.</sup>

✓ 041-06 ORGANIZATIONAL AND FUNCTIONAL CHARTS FILES

Official record copy of organizational and functional charts reflecting the organization of GAO. Arranged chronologically and maintained by the Office of Program Planning.

GRS 16/13a  
(ok-same)

<sup>Duplicate copies of</sup>  
(NOTE: <sup>^</sup> Charts ~~reflecting the organizational structure of individual offices/divisions are retained in the office concerned.~~ are maintained in individual offices.)

PERMANENT (ECV 4cf EAA 1/12cf)

Cut off when superseded or revised; transfer to FARC ~~when 5 years old;~~ <sup>after cutoff;</sup> offer to NARS ~~when 20 years old.~~ <sup>after cutoff.</sup>

(In 5 year increments)

✓ 041-08 Internal Audit Studies and Reports Files

Project files related to audit and investigations (by the Office of Internal Review) of the GAO's activities, programs, procedures, and their implementation. Included in these files are documents reflecting the initiation of the project, working papers, interview notes, checklists, survey questionnaires, and related materials. The files are arranged subjectively and by division, office, or region, and maintained by the Office of Internal Review.

RTB  
Snn  
1/25/82

all studies —

- a. Record copy of ~~substantive or comprehensive audit studies of~~  
~~an office, division, region, or a major GAO function/activity.~~

PERMANENT (~~ECV 11cf EAA 3cf.~~)

Cut off upon completion of the project; ~~transfer to FARG when~~ *Destroy on completion of next comparable study or when 5 yrs. old, whichever is sooner.*  
~~3 years old; offer to NARS when 20 years old. (In 5 year increments)~~

- All copies —  
b. ~~Other documents~~ (including non-substantive studies).

TEMPORARY

*Destroy in agency when no longer needed.*  
~~Cut off upon the completion of the project; transfer to~~  
~~FARG when 2 years old; destroy on completion of next com-~~  
~~parable study or when 5 years old, whichever is sooner.~~

- c. Study Workpapers

Documents used in the collection of data for or during the project. Included are notes, statistical data, charts, and similar material collected for fact finding and back-up purpose and documents reflecting preliminary arrangements incidental to a specific project.

TEMPORARY

Cut off upon completion of the project; destroy ~~when~~ *after completion of project in* 3 years ~~old in~~ accordance with the applicable security regulations.

042 EMPLOYEE DEVELOPMENT AND COUNSELING FILES

(Documents relating to the counseling of GAO employees and related programs.)

✓ 042-02 PERSONNEL COUNSELING REPORTS FILES

a. Counseling files

Reports of interviews, analyses and related records.

TEMPORARY

Cut off at termination of counseling; destroy 3 years later.

GRS 1  
Item 27a *oh*  
*supersedes GAO/Sched/*  
*8/27a*

b. Alcohol and Drug Abuse Programs

Records created in planning, coordinating and directing an alcohol and drug abuse program.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 1  
Item 27b *oh*  
*supersedes*  
*GAO/Sched/*  
*8/27b*

043 TRAINING AND EDUCATION

(Files relating to programs which provide training and allow for the development of employees.)

✓ 043-02 TRAINING AIDS

- (1) One copy of each manual, syllabus, textbook, and other training aids developed by the agency.

TEMPORARY

Destroy when superseded, obsolete, or no longer needed.

- (2) Training aids from other agencies or private institutions.

TEMPORARY

Destroy <sup>in agency</sup> when superseded or obsolete.

✓ 043-04 GENERAL FILES OF AGENCY-SPONSORED TRAINING

- (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

TEMPORARY

Cut off upon completion of training program; destroy ~~when~~ 5 years <sup>later.</sup> old.

- (2) Background and workpapers

GRS 1/30a(1)  
ok - submit  
115

supersedes  
GAO/Sched  
8/30a(1)

GRS 1  
Item 30a(2) oh  
supersedes GAO/Sched/  
8/30a(2)

GRS 1  
Item 30b(1)  
supersedes  
GAO/Sched/8/  
30b(1) oh

TEMPORARY

GRS 1  
Item 30b(2) *oh*

~~Cut off upon completion of training program;~~

~~Destroy~~ when 3 years old.

*supersedes GAO/Sched/8/  
30b(2)*

✓ 043-06 EMPLOYEE TRAINING FILES

Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other Government agencies or non-Government institutions.

TEMPORARY

GRS 1  
Item 30c *oh*

Cut off upon completion of training program; destroy when 5 years old or when superseded or obsolete, whichever is sooner.

*supersedes  
GAO/Sched/  
8/30c*

✓ 043-08 COURSE ANNOUNCEMENT FILES

Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by Government or non-Government organizations.

TEMPORARY

*in agency*  
Destroy <sup>in agency</sup> when superseded or obsolete.

GRS 1  
Item 30d *oh*

*supersedes  
GAO/Sched/  
8/30d*

## 044 AUDIOVISUAL

(These relate primarily to still pictures files, motion pictures files, video cassettes, as well as to audiovisual materials used in conducting GAO training classes.)

### 044-02 STILL PICTURE FILES

Color slides and prints of GAO activities, personalities, and programmatic responsibilities. These records are made and utilized in the course of GAO business and are used primarily in conducting GAO training classes, or for counseling purposes.

Destroy in agency when no longer needed for administrative purposes.

### 044-04 MOTION PICTURE FILES

#### a. Films acquired or purchased by GAO

Return to AV for re-use when no longer needed. AV dispose of when no longer needed.

#### b. Films internally produced by GAO

If and when such items are created (none are in existence at this time), submit SF-115 to VARS to schedule them.

### 044-06 VIDEO CASSETTE RECORDINGS FILES

Video recordings of significant programmatic events, procedures, conferences, meetings, operations, and other recordings which are distributed and intended to inform and teach within the agency. Also includes camera original tapes, edited intermediate tapes and duplicate copies of master sets.

#### a. Master sets--video cassettes internally produced by GAO--arranged by FY thereunder numerically by Job Code, and maintained by the Audio Visual unit.

PERMANENT. (ECV 48cf EAA 6cf)

Cut off at end of FY in which no longer needed for administrative use. Offer to VARS when 10 years old.

#### b. Sets acquired or purchased from commercial or training sources, or duplicate copies of master sets.

Return to AV for re-use when no longer needed. AV dispose of when no longer needed.



050 PERSONNEL

[Records relating to all official personnel folders, service records cards, position classification, recruitment and placement, labor management and employee relations (including employee awards, EEO, grievances, disciplinary and adverse actions, compensation and benefits).]

051 General Personnel Program Files

052 Position Classification Files

053 Recruitment & Placement Files

054 Labor Management and Employee Relations Files

Employee Awards Files

Equal Employment Opportunity Records

Grievance, Disciplinary and Adverse Action Files

051 GENERAL PERSONNEL PROGRAM FILES

(These files relate to the general personnel program within GAO, including the Official Personnel Folders and related records.)

✓ 051-02 OFFICIAL PERSONNEL FOLDERS FILES

Records filed on the right side of the Official Personnel Folder (OPF). (See GRS 1, Item 10 for disposal of papers on the left or "temporary" side of the OPF.) Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Service for permanent retention.

a. Transferred employees

TEMPORARY

Forward to gaining Agency's Personnel Office.

*supersedes  
GAO/Sched/ 8/1a*

b. Separated employees

TEMPORARY

Transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.

GRS 1  
Item 1b(2)

*at*

*supersedes  
GAO/Sched/ 8/1b*

051-04 STAFF RESOURCES SYSTEM

oh  
NNR  
7/12/82

These magnetic tape files serve as historical reference

for GAO Employee Personnel Data from 1977-August 1979.

The file is used to support information requests from

Personnel and EEO concerning GAO employees. Some of the

important data elements include employee name, social

security number, grade, series, organization, birthdate,

and other personnel data. Since August 1979 the Automated

Personnel Accounting System has superseded this system.

TEMPORARY

Retain until no longer needed for administrative purposes.

051-06 AUTOMATED PERSONNEL ACCOUNTING SYSTEM (APAS)

oh  
NNR  
7/12/82

These magnetic tape files are backup masters created as emergency backup for data retained on a U.S. Army file.

The file contains such data elements as personnel actions, individual awards, training education, position classification, within-grade increases and promotions. (Supersedes the Staff Resources System - August 1979.)

TEMPORARY

The tapes are updated monthly. The monthly payroll reports are kept 60 days before purging. All other cycles are purged after 30 days. Semi-annual cycles are created on a U.S. Army file and retained in their disaster storage.

✓ 051-08 SERVICE RECORD CARDS FILES

Service Record Card (Standard Form 7 or its equivalent).

- a. Cards for employees separated or transferred  
on or before December 31, 1947.

TEMPORARY

Transfer to NPRC (CPR) St. Louis, Missouri;  
destroy 60 years after earliest personnel  
action date.

GRS 1,  
Item 2a *oh*

*supersedes*  
*GAO/Sched 18/2a*

- b. Cards for employees separated or transferred  
on or after January 1, 1948.

TEMPORARY

Destroy 3 years after separation or transfer of  
employee.

GRS 1,  
Item 2b *oh*

*supersedes*  
*GAO/Sched 18/2b*

✓ 051-10 POSITION IDENTIFICATION STRIPS FILES

Such as SF 7D to provide summary data on each position  
occupied.

TEMPORARY

Destroy when position is canceled or a new strip is  
prepared.

GRS 1  
Item 11 *oh*

*supersedes*  
*GAO/Sched 18/10*

✓ 051-12 NOTIFICATIONS OF PERSONNEL ACTION FILES

(Exclusive of those in Official Personnel Folders)

- a. Chronological file copies, including face  
sheets maintained in personnel offices.

TEMPORARY

Cut off at end of FY; destroy when 2 years  
old.

GRS 1  
Item 14a *oh*

*supersedes*  
*GAO/Sched 18/14a*

b. All other copies maintained in personnel offices.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 1  
Item 14b *oh*  
*supersedes*  
GAO/Sched/8/14b

✓051-14 STATISTICAL REPORTS FILES

Reports in operating personnel office and subordinate units relating to personnel.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 1  
Item 16 *oh*  
*supersedes*  
GAO/Sched/8/16

✓051-16 CORRESPONDENCE AND FORMS FILES

Correspondence and forms in operating personnel office relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.

a. Correspondence and forms relating to pending personnel actions.

TEMPORARY

Destroy when action is completed.

GRS 1  
Item 17a *oh*  
*supersedes* GAO/Sched/  
8/17a

b. Retention registers

(1) Registers from which reduction-in-force actions have been taken.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 1  
Item 17b(1) *oh*  
*supersedes* GAO/Sched/  
8/17b(1)

(2) Registers from which no reduction-in-force actions have been taken.

TEMPORARY

Destroy when superseded or obsolete.

GRS 1  
Item 17b(2) *oh*  
*supersedes*  
GAO/Sched/  
8/17b(2)

c. All other correspondence and forms.

TEMPORARY

Destroy when 6 months old.

GRS 1  
Item 17c *ah*  
*supersedes GAO/Sched/*  
*8/17c*

✓ 051-18 PERFORMANCE RATING FILES

a. Certificates of performance rating

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 1  
Item 23a *ah*  
*supersedes GAO/Sched/*  
*8/23a*

b. General or case files of forms, memoranda,  
and correspondence.

TEMPORARY

Destroy when 3 years old.

GRS 1  
Item 23b  
*supersedes GAO/Sched/ah*  
*8/23b*

c. Memoranda, correspondence and other records  
relating to employee appeals of performance  
rating.

TEMPORARY

Cut off when case is settled; destroy ~~when~~ 3 years ~~old~~.

GRS 1  
Item 23c *ah*  
*later*  
*supersedes*  
*GAO/Sched/*  
*8/23c*

✓ 051-20 MOTOR VEHICLE OPERATION FILES

(see 014-72 under Safety Files)

## 052 POSITION CLASSIFICATION FILES

(These files relate to the classification and description of positions within GAO, and to pay and allowances authorized for these positions.) (NOTE: For actual payroll files see 033.)

### 052-02 POSITION CLASSIFICATION STANDARDS FILES

1. Standards, developed under the GAO Personnel Law of 1980, determining title, series, and grade based on duties, responsibilities and qualifications requirements.

*new item*

- a. Official record copy arranged numerically by series and maintained by the Personnel Office (Position Classification Unit).

~~PERMANENT (ECV 3cf EAA 1 cf)~~

*RB  
2/22/82*

Cut off when superseded, revised, or cancelled;  
transfer to FARC ~~when 2 years old, offer to NARS~~ *after cutoff. Destroy 20 years*  
~~when 20 years old. (In 5 year increments)~~ *after cutoff.*

- b. Other copies used within the Personnel Office.

#### TEMPORARY

Destroy when superseded, obsolete or no longer needed.

2. Memoranda, correspondence and other records relating to the development of standards for classification of positions *developed under the GAO Personnel Law of 1980.*  
~~peculiar to GAO.~~

- a. Case file

#### TEMPORARY

Cut off when position is abolished or description superseded; destroy 5 years later.

~~GRS 1  
Item 7a(2)(a) (same)~~  
*supersedes  
GAO/Sched/  
8/7a(2)(a)  
(same)*

✓ b. Review file

TEMPORARY

Cut off when review is complete; destroy

~~GRS-1~~  
~~Item 7a(2)(b)~~ oh  
supersedes  
GAO/Sched/8/  
7a(2)(b)

Note: For records relating to standards developed prior to the  
GAO Personnel Law of 1980, use GRS 1, Item 7 dispositions.  
2 years later.  
✓ 052-04 POSITION DESCRIPTION FILES

Record copies of position descriptions, describing es-  
tablished position including information on title, series,  
grade, duties, and responsibilities. (Included are OF-8C  
Position Description and similar or related documents.)

TEMPORARY

Destroy 5 years after position is abolished or de-  
scription is superseded.

GRS 1  
Item 7b(1) oh  
supersedes  
GAO/Sched/  
8/7b(1)

✓ 052-06 POSITION CLASSIFICATION SURVEY FILES

Documents connected with classification surveys, in-  
cluding records of finding, individual position evalu-  
ations, review of position management aspects of the  
Unit under survey, and periodic reports.

a. Survey Reports

TEMPORARY

Cut off at end of FY; destroy when 3  
years old.

GRS 1  
Item 7c(1)(a) oh  
supersedes GAO/Sched/  
8/7c(1)(a)

b. Inspection, Audit and Survey Files

Includes correspondence, memoranda, reports



and other records relating to inspections, surveys, desk audits, and evaluations.

TEMPORARY

Destroy when superseded or obsolete.

GRS 1  
Item 7c(1)(b) *oh*  
*supersedes GAO/Sched/*  
*8/7/c(1)(b)*

✓ 052-08 APPEALS FILES

Case files relating to classification appeals.

TEMPORARY

Cut off when case is closed; destroy 3 years later.

GRS 1  
Item 7d *oh*  
*supersedes*  
*GAO/Sched/*  
*8/7d*

### 053 RECRUITMENT AND PLACEMENT FILES

(These files relate to the recruitment and hiring of personnel, and to related employment files including merit promotion, competitive selection, reduction in force, and career intern programs.)

#### ✓ 053-02 EMPLOYMENT APPLICATIONS FILES

Applications for employment such as (SF 171) and related papers, EXCLUDING (a) records relating to appointments requiring Senatorial confirmation, and (b) application resulting in appointment filed in the Official Personnel Folder.)

GRS 1/15  
ok  
supersedes  
GAO/Sched/  
8/15

##### TEMPORARY

#### ✓ 053-04 INTERVIEW FILES

Cut off at end of FY; destroy when 2 years old, *providing the requirements of the Federal Personnel Manual, Ch. 333, Section A-4, are observed.*

Correspondence, reports and other records relating to interviews with employees.

##### TEMPORARY

Cut off <sup>upon</sup> ~~after~~ transfer or separation; destroy 6 months later.

GRS 1  
Item 8 ok  
supersedes  
GAO/Sched/  
8/8

#### ✓ 053-06 CERTIFICATES OF ELIGIBLES FILES

Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

##### TEMPORARY

~~Cut off when selection is made;~~ Destroy when 2 years old.

GRS 1  
Item 5 ok  
supersedes  
GAO/Sched/  
8/5

✓053-08 OFFERS OF EMPLOYMENT FILES

Correspondence, letters, and telegrams offering appointments to potential employees.

a. Accepted offers

TEMPORARY

Destroy immediately.

GRS 1  
Item 4a *ok*  
*supersedes GAO/Sched/*  
*8/4a*

b. Declined offers

(1) When name is received from certificate of eligibles.

TEMPORARY

Return to Source with reply and application.

GRS 1  
Item 4b(1) *ok*  
*supersedes GAO/Sched/*  
*8/4b(1)*

(2) Temporary or excepted appointment

TEMPORARY

File inside application (*see item 053-02 of this schedule*)

GRS 1  
Item 4b(2) *ok*  
*supersedes GAO/Sched/*  
*8/4b(2)*

(3) All others

TEMPORARY

Destroy immediately.

GRS 1  
Item 4b(3) *ok*  
*supersedes*  
*GAO/Sched/*  
*8/4b(3)*

054 LABOR MANAGEMENT AND EMPLOYEE RELATIONS FILES

(These files relate to many areas of management including employee awards files, equal employment opportunity, grievances, disciplinary and adverse action files and personal inquiries.)

✓ 054-02 EMPLOYEE AWARDS FILES

a. General awards records

(1) Case files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency sponsored cash and non-cash awards such as within-grade merit increases, suggestions, and outstanding performance.

TEMPORARY

Cut off after approval or disapproval; destroy 2 years later.

GRS 1  
Item 12a(1) *ah*  
*supersedes GAO/Sched/*  
*8/12a(1)*

(2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 1  
Item 12a(2) *ah*  
*supersedes*  
*GAO/Sched/*  
*8/12a(2)*

✓ 054-04 LENGTH OF SERVICE AND SICK LEAVE AWARDS FILES

Records including correspondence, memoranda, reports, computations of service and list of awardees.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 1  
Item 12b *ah*  
*supersedes*  
*GAO/Sched/*  
*8/12b*

✓ 054-06 LETTERS OF COMMENDATION AND APPRECIATION FILES

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder. (NOTE: Retain record copy with OPF.)

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 054-08 LIST OR INDEXES TO AGENCY AWARD NOMINATIONS FILES

Lists of nominees and winners, and indexes of nominations.

TEMPORARY

Destroy when superseded or obsolete.

✓ 054-10 GAO-WIDE AWARDS FILES

Records relating to awards made at the agency level.

TEMPORARY

Cut off at end of FY; destroy when 5 years old.

✓ 054-12 INCENTIVE AWARDS PROGRAM REPORTS FILES

Reports pertaining to the incentive awards program.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

054-14 EEO GENERAL PROGRAMS FILES

Policies and procedures and related documents pertaining to EEO programs, namely, the Handicapped Program, Federal Women's Program, etc., also includes material pertaining

GRS 1  
Item 12c

*oh*  
*supersedes GAO/Sched 8/12c*

GRS 1  
Item 12d

*oh*  
*supersedes GAO/Sched 8/12c*

*GRS 1/12c*  
*(submit 115-oh)*

*supersedes GAO/Sched 8/12c*

GRS 1  
Item 13

*oh*  
*supersedes GAO/Sched 8/13*

*withdrawn, 10/23/81- same as item 054-28*

to EEO legal information, Federal women's legal rights, and human rights.

TEMPORARY

Destroy when superseded, obsolete or no longer needed.

✓ 054-16 EQUAL EMPLOYMENT OPPORTUNITY FILES

Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings and other records, necessary in resolving cases handled by GAO Appeals Board.

GRS 1/  
26a(1)  
oh

TEMPORARY

Cut off when case is resolved; destroy 4 years later.

supersedes  
GAO/Sched/  
8/26a(1)

✓ 054-18 RESERVED

✓ 054-20 BACKGROUND FILES

Background records not filed in the Official Discrimination Complaint Case Files.

TEMPORARY

Cut off when case is resolved; destroy 2 years later.

GRS 1  
Item 26c oh

✓ 054-22 COMPLIANCE FILES

1. Compliance Review Files, including reviews, background papers and correspondence relating to contractor employment practices.

supersedes  
GAO/Sched/  
8/26c

TEMPORARY

Cut off at end of FY; destroy when 7 years old.

GRS 1  
Item 26d(1) oh  
supersedes GAO/Sched/  
8/26d(1)

2. EEO compliance reports, reviews, background papers and correspondence relating to EEO employment practices.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 1  
Item 26d(2) *oh*  
*supersedes GAO/Sched/*  
*8/26 d (2)*

✓054-24 EMPLOYEE HOUSING REQUESTS FILES

Forms requesting agency assistance in housing matters,  
such as rental or purchase.

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

GRS 1  
Item 26e *oh*  
*supersedes GAO/Sched/*  
*8/26 e*

✓054-26 EMPLOYMENT STATISTICS FILES

Employment statistics relating to race and sex.

TEMPORARY

Cut off at end of FY; destroy when 5 years old.

GRS 1  
Item 26f *oh*  
*supersedes GAO/Sched/*  
*8/26 f*

✓054-28 EEO GENERAL FILES

General correspondence and copies of regulations with  
related records pertaining to the Civil Rights Act of  
1964, the EEO Act of 1972, and any pertinent future  
legislation; and agency EEO Committee meeting and  
records including minutes and reports.

TEMPORARY

Destroy when 3 years old, or when superseded or  
obsolete, whichever is applicable.

GRS 1  
Item 26g *oh*  
*supersedes GAO/Sched/*  
*8/26 g*

✓054-30 EEO AFFIRMATIVE ACTION PLANS (AAP) FILES

1. Agency copy of consolidated AAP(s).

TEMPORARY

Cut off at end of FY; destroy 5 years from  
date of plan.

2. Agency feeder plan to consolidated AAP(s).

GRS 1  
Item 26h(1) *oh*  
*supersedes GAO/Sched/*  
*8/26 h(1)*

TEMPORARY

Cut off at end of FY; destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

GRS 1  
Item 26h(2) *oh*  
*supersedes GAO/Sched*  
*8/26h(2)*

✓054-32 STANDARDS OF CONDUCT FILES

Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.

TEMPORARY

*in agency*  
Destroy when superseded or obsolete.

GRS 1  
Item 28 *oh*  
*supersedes*  
*GAO/Sched/8/*  
*28*

✓054-34 LABOR MANAGEMENT RELATIONS FILES

- a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups, located in the office negotiating agreement.

TEMPORARY

Cut off at end of FY; destroy when 5 years old.

GRS 1  
Item 29a(1) *oh*  
*supersedes GAO/Sched/8/*  
*29a(1)*

- b. Labor Arbitration General and Case Files. Correspondence, forms and background papers relating to labor arbitration cases.

TEMPORARY

Cut off when case is resolved; destroy 5 years later.

GRS 1  
Item 29b *oh*  
*supersedes GAO/Sched/*  
*8/29b*

✓054-36 EEO TRAINING MATERIALS

Includes films and video cassettes used in EEO training classes.



TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or when no longer needed. Return films and video cassettes and other audio visual materials to the source, if necessary, or to GAO Audio Visual Unit for disposal.

✓ 054-38 GRIEVANCE AND APPEALS CASE FILES

Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision related correspondence and exhibits.

TEMPORARY

Cut off when case is closed; destroy 3 years later.

✓ 054-40 ADVERSE ACTION REVIEW CASE FILES

Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, within-grade denial) against an employee. The file includes a copy of the proposed adverse action with supporting papers, statements of witnesses, employee's reply, hearing notices, reports and decisions, reversal of action, and appeal records, EXCLUDING letters of reprimand.

TEMPORARY

Cut off when case is closed; destroy 4 years later.

GRS 1  
Item 31a oh

*supersedes*  
GAO/Sched/8/31a

GRS 1  
Item 31b oh

*supersedes*  
GAO/Sched/  
8/31b

✓ 054-42 PERSONAL INJURY FILES

Forms, reports, correspondence and related medical and  
investigatory records relating to on-the-job injuries,  
whether or not a claim for compensation was made,  
EXCLUDING copies filed in the Official Personnel Folder  
and copies submitted to the Department of Labor.

TEMPORARY

Cut off at end of FY; destroy when 5 years old.

GRS 1  
Item 32 *oh*

*supersedes*  
*GAO/Sched 1*  
*8/32*

## 060 INFORMATION AND RECORDS MANAGEMENT

[These records relate to the agency-wide management of information resources of GAO and include information policy, ADP and documents systems, records management and directives and forms management.]

061 Information Policy and Planning Files

062 ADP Systems and Services Files

063 Document Systems and Services Files

064 Library Files

065 Records Management Files

066 Directives and Forms Management Files

061 INFORMATION POLICY AND PLANNING FILES

(These files relate to the formulation of agency wide information policy, including the minutes of the Information Policy Committee and long-range planning for information resource management.)

061-02 INFORMATION POLICY DEVELOPMENT FILES

~~Documents, including the Minutes~~ of the Information Policy Committee (IPC), relating to the development of information policy within GAO maintained by the secretary to the IPC and arranged chronologically.

- ✓ a. <sup>Minutes-</sup> ~~Formal issuances of the IPC, including its minutes.~~

GRS 16/126C1/6  
Submit 115  
oh

RTB  
San  
1/28/92

~~PERMANENT~~ (ECV 1/12cf EAA 1/12cf)

Cut off at end of FY; ~~transfer to FARC when 5 years old; offer to NARS when 20 years old.~~ Destroy when 20 years old.

(In 5 year increments)

- ✓ b. Background and workpapers

GRS 16/126C1/6  
oh

TEMPORARY

Cut off at end of FY; destroy when 3 years old or when no longer needed for reference, whichever is sooner.

✓ 061-04 LONG RANGE PLANNING FILES

Documents relating to the development of long range plans for ADP services and facilities for GAO.

TEMPORARY

Cut off when the plans are superseded, modified, or dropped; destroy 3 years later.

## 062 ADP SYSTEMS AND SERVICES FILES

(These files relate to the provision of ADP services and the development of agency-wide computer based information systems.)

### 062-02 ADP PROCUREMENT FILES

Documents pertaining to the procurement of ADP services, including policies, procedures, and guidelines, both GSA and those developed by GAO. Also included here are files relating to "umbrella contract" for ADP services. (Records relating to contractor services for a specific project should be retained with the project files.)

- a. Policy, procedures, and guidelines files.

#### TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed.

- b. Contract Monitoring Files

Included here are contractor/vendor selection files, including copies of RFP, winning proposal together with all amendments, contract management reports, contract liaison, memos, and related documents. (NOTE: These are only reference/convenience copies; record copies are retained in the Procurement Branch.)

#### TEMPORARY

Destroy individual documents when superseded, obsolete or no longer needed. Cut off entire file at the close of contract; destroy 1 year later.



062-04 ADP SERVICES AND EQUIPMENT FILES

Documents relating to the requesting and provision of ADP services and equipment to GAO offices/divisions, by OISS. Included here are GAO Forms 557 "Request for ADP Services", and GAO Form 560 "Request for ADP Equipment" or equivalent. Also, handbooks, brochures etc., used to describe the procedures.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

062-06 ADP FUNDS ACCOUNTING AND CONTROL SYSTEM (AFACS)

*NNR*

The ADP Funds Accounting and Control System (AFACS) is used primarily as a tool to assist in the maintenance of data regarding automatic data processing (ADP) throughout GAO. The system provides for records associated with ADP projects, budgets, obligations, and expenditures for both ADP services and equipment.

TEMPORARY

A history file is created at the end of the FY reflecting all actions throughout the year and retained until it is no longer needed for administrative purposes.

062-08 ASSIGNMENT MANAGEMENT AND PLANNING SYSTEM (AMPS)

*NNR*

These magnetic tape files are used to effectively staff and control over 1,000 assignments that are underway in GAO at any time. It provides GAO management with a timely, accurate flow of information detailing

personnel assignment, budget allocations, actual resource utilization, milestone plans, and accomplishment, status and other key parameters. The time and attendance information captured as part of AMPS data collection process also feeds the Payroll system. The data is entered directly from the GAO divisions and offices.

The AMPS Computer system now supports the following categories of services:

- Input by GAO administrative staff of detailed bi-weekly time and attendance data.
- Input of the status of audits (authorizations, plans, and accomplishments).
- Input of personnel-related data based on formal personnel actions.
- Maintenance of a complex data base.
- Biweekly generation of a magnetic tape containing transactions that are input to GAO's Payroll system run at the Department of Justice.
- Production of numerous periodic reports for management, including reports for audit managers, division management, and top-level administrators of GAO.
- Facility for interactive ad hoc queries from all terminal sites.

AMPS data is maintained in a single centralized data base using SYSTEM 1022 data base management

software. This ensures that information about a particular audit assignment is entered only once into the system and is stored in an integrated set of files accessible to all divisions and regional offices. The AMPS data base encompasses two types of data elements: (A) those which identify and describe the basic components of an audit assignment (items 1 - 12 below) and (B) those which support system operations (items 13 - 14 below) (e.g., validation tables and process control data).

Information which describe the assignments at their outset, establishes the performing organizations and individuals, and sets resource levels and milestone accomplishments are entered by the regions and other performing organizations.

The outputs of the system consist of a tape which drives the payroll system; regular reports, and ad hoc or special reports which are designed and often implemented by the users.

The AMPS data base consists of the following 14 files.

1. JOBMAS--The job master file enables management to monitor the progress and time expended on an audit. It contains the basic information such as job code, assignment type, priority, programming division, assignment title, operating group program category, request source type, issue areas, assignment started and



terminated dates, and leadership code for each audit assignment.

2. PERORG--The performing organization file enables management to track the audits for each performing organization assigned to the job. It contains job related information for a single organizational unit assigned to or charging time to a specific assignment.

3. JOBPERS--The job person file enables management to monitor the individuals assigned to the audit and the progress of the audit. It contains jobs related information for a single individual assigned to or charging time to an assignment.

4. JSTONE--The job milestone file enables management to track the stages of and analyze the progress of each job. It contains information for each single milestone or product related to a specific assignment.

5. PERSON--The PERSON file enables management to track employees working on assignments and compare estimated versus actual effort spent for each job. It contains all staff data for a single individual on each audit.

6. DIVISION--The DIVISION file allows management to enter annual budget allocations for the divisions and regions and then produce reports which present budget versus actual expenditures. It contains payroll and limited budget information for a single division or region.

7. TRAVEL--The TRAVEL file enables management to track the amount of travel performed by their employees and how often the average regional office employee is on travel status. It contains all travel information entered by the regional offices.
8. TA, TALEAV, TAPERM, TAOFFC files contain information related to the time charged by one individual to an audit during a single recent pay period. It enables management to track the hours spent per job code for each audit.
9. SYPF--The SYPF file contains information such as fiscal year, division/region code, estimated attritions, estimated accessions, actual hours worked, grouped by various object classes and employee types--for each division or region and allows the user to enter values to perform a "what if" analysis for future staff projections.
10. BATCTL, ADJUST, LEAVE, TANDA--This intermediate time sheet processing file contains individual divisions'/regions' biweekly time and attendance records. It enables management to track the hours worked on the audits.
11. BUDGET--The BUDGET file contains budget information for a single issue area and a single division/region receiving a budget allocation for that issue area.
12. CHANGE--The CHANGE file contains the before and after values of key job elements. It enables the Office of Program Planning to see all the job data items that have changed since the last data entry and update cycle.

13. VALID, VALID 2--These files contain the validation tables run by AMPS to store acceptable values for coded attributes in other AMPS data bases, as well as the textual description of each code.

14. ORACLE--The ORACLE file is a process control file and is used by the Data Base Update Program in ensuring the integrity of the data entry and the use of the system.

TEMPORARY

Review when 5 years old; at that time the programming office will recommend if further retention is required. Destroy upon determination that further retention is not required.

## 063 DOCUMENT SYSTEMS AND SERVICES FILES

(These files include the development and implementation of systems for managing GAO's issued documents, including audit reports, memoranda, letter reports, speeches, testimonies, opinions, CG's decisions, and related services.)

### 063-02 DOCUMENT SYSTEMS AND SERVICES FILES

Records pertaining to the planning, design, and development of bibliographic and document systems and services for organizing, cataloging, storing, and distributing documents and administering services derived from such systems and services.

- a. Disapproved proposed system or service

#### TEMPORARY

Cut off when the first action on the system is taken; destroy one year after final action.

- b. Approved terminated system or service

#### TEMPORARY

Cut off upon termination of the system or service; forward all documentation needed to support payment of invoice to the Procurement Office to be filed with the contract file. Retain other documents until no longer needed for administrative purposes.

- c. Approved continuing systems or services

#### TEMPORARY

Retain with the other systems files.

063-04 INFORMATION HANDLING AND SUPPORT FACILITY (IHSF) FILES. The IHSF is an

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

1. 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 on-line data base for search, retrieval, and report preparation of this information. Requests for copies of GAO documents and reference research on the GAO Documents Bibliographic Data Base are fulfilled at this facility. User files, inventory control of document stocks, automated report production, and the GAO Thesaurus are also maintained by this facility.

2. CISID/LAPIS Data Services. This is part of the GAO/PAD continuing program to develop and maintain inventories of current Federal reporting requirements: Federal evaluation studies; Federal information systems and services; and legislative authorization, program, and budget information. This activity provides for the collection and classification of data and the update and maintenance of data files which are used for analysis and the production of periodic publications.

3. Library Services. This activity provides for the development of automated systems to assist the GAO libraries in the acquisition, ordering, purchasing, claiming, processing, cataloging, and control of library materials, including books, serials, and periodicals. Specific automated systems assist financial management processes, provide an on-line catalog of holdings and circulation and interlibrary loans control, and produce regular and ad hoc reports. Assistance is provided to the Law Library for the processing and microfiching of legislative histories and preparing for automated systems to index and aid retrieval of these legislative histories.

4. Records Management Support. This program provides automated assistance in classification, storage, and retrieval of information about forms and directives, and records disposal. In addition, systems are provided to assist GAO in response to requests for contracts under the Miller Act and to serve as a repository for confidential financial statements.

5. 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 data base and supplied in response to requests to the DHIS.

6. Correspondence Control. This provides for a correspondence control system used to track correspondence going through the Office of the General Counsel, the Office of Congressional Relations, and the Office of the Comptroller General. (Option which may be exercised under the contract) Included are records pertaining to the administering of the IHSF, technical monitoring of the contract and the contractor performance, day-to-day liaison with the contractor, and related activities. (NOTE: These records are not the record set, but are maintained for the convenience and reference of the Contracting Officer's Technical Representative (COTR), and may contain copies of those records created or required in the day-to-day monitoring of the contract)

a. Contract Files

*oh  
NMR  
7/2/82*

Copies of RFP, winning proposal, and all documents which are incorporated into the contract document, amendments to the contract, correspondence to and from the contractor documenting affecting operational procedures, contract deliverables and related material. Also included are the periodic management reports

submitted by the contractor.

TEMPORARY

Cut off upon termination of the contract; forward all documentation needed to support payment of the contract to the Procurement Office when no longer needed for administrative purposes to be filed with the contract file. Retain other documents until no longer needed for administrative purposes, then destroy.

b. Contractor Contact Files

Memos or logs of phone calls or other contacts with the contractor. Also included are the logs and receipts of materials sent to the contractor.

TEMPORARY

Destroy upon the completion of the contract or when no longer needed, whichever is sooner.

c. Shipment Control Files

Materials used in shipping documents to the contractor such as daily logs, printouts, logs for shipping headers to micrographics, etc.

TEMPORARY

Destroy when superseded, obsolete, or no longer needed.

063-06 GAO DOCUMENTS/PUBLICATIONS FILES

GAO documents (audit reports, program plans, Annual Report of the Comptroller General, The GAO Review, memoranda, CG's decisions, testimonies, opinions, letters, speeches) and other publications entered into the GAO Documents Data Base.

a. Microfiche

(1) Unclassified

PERMANENT. Offer first increment upon approval of this schedule. Thereafter, transfer original silver negative and one diazo copy to NARS at the end of each FY when microfiche has been verified. (Reference copies may be retained for GAO use.) This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

per  
NNH  
11/6/81

(2) Classified

PERMANENT. Transfer original silver negative and one diazo copy to the Washington National Records Center at the end of each FY when microfiche has been verified. (Reference copies may be retained for GAO use.) Offer to NARS when 20 years old and microfiche has been reviewed and declassified. This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506. *First inspection will be in September, 1982, & every 2 yrs. thereafter.*

b. Original Paper Copy

Destroy in agency upon verification that microfiche copies have been made in accordance with GSA regulations and are adequate substitutes for the paper records.

063-08 GAO DOCUMENTS DATA BASE

GAO documents data base on machine-readable tapes as well as printed copies of GAO Documents, containing catalog data on all GAO documents.

a. GAO Documents\* (paper copy)

Published monthly. Arranged chronologically.

per  
NNH  
11/5/81

Cut off at close of FY. Destroy when no longer needed for administrative use.

b. Camera copy of GAO Documents

Destroy in agency when printing is completed and copies are no longer needed. (NOTE: Artwork may be recycled.)

*\* Note: should GAO decide to microfiche GAO Documents in the future, submit SF-115 to NARS*



c. Data Bases

There are two data bases, BIBCIT and BIBRES.

*gh*  
*NNR*  
*7/12/82*  
BIBCIT contains bibliographic data on unrestricted GAO documents only; while BIBRES contains the restricted documents.

TEMPORARY

These data bases are continuously updated. *Destroy after 3rd update cycle.*

✓ 063-10 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.

TEMPORARY

*in agency*  
Destroy <sup>in agency</sup> when entered on data base.

✓ 063-12 GAO THESAURUS FILES

GAO Thesaurus listing all acceptable index terms, cross references, scope notes, broader terms, narrower terms, related terms, etc.; documents pertaining to the history and review of terms for entry into the Thesaurus; magnetic tape of the Thesaurus; and related documents.

a. Paper copy of Thesaurus \*

*per*  
*NNH*  
*11/5/81*  
*Destroy when no longer needed for administrative purposes.*  
~~PERMANENT (ECV 1/12ef EAA 1/12ef)~~  
~~Offer to NARS when each new Thesaurus is published.~~

b. Automated file is continuously updated. *Destroy after 3rd update cycle.*

\* *Note: should GAO decide to microfiche The Thesaurus in the future, submit SF-115 to NARS.*

TEMPORARY

~~Programming office will review every 5 years to determine if further retention is required.~~

- ✓ c. Documents pertaining to the review of terms for entry in the Thesaurus.

TEMPORARY

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NVR  
7/12/82*

*in agency*  
Destroy when no longer needed.

063-14 DOCUMENTS REQUEST PROCESSING FILES

Documents, including machine readable records, pertaining to the processing of requests for GAO documents.

- a. Paper Files (These files sometimes contain additional data that is not always captured on the data base.)

TEMPORARY

Cut off at end of each week; destroy *in agency* when no longer needed for administrative purposes.

- b. User Data Base

TEMPORARY

*ol  
NVR  
7/12/82*  
The data base is continuously updated and oldest data is dumped to tape as needed.

✓ 063-16 SPECIAL OUTPUTS PROJECTS FILES

Documents pertaining to special outputs on a one-time or periodic basis, from the GAO data base. Included here also are the files pertaining to the preparation of the Reports Supplement to the GAO Annual Report.

- a. Projects involving one-time output.

TEMPORARY

Cut off on the closing or completion of the project; destroy one year later.

- b. Projects involving multiple or periodic output production cycle.

TEMPORARY

Destroy when one year old or on the completion of the next output production cycle, whichever is sooner.

## 064 LIBRARY FILES

(These files relate to the functioning and operation of libraries.)

### ✓ 064-02 LIBRARY POLICIES AND PROCEDURES FILES

Documents pertaining to Library policies and procedures;  
also includes relevant memoranda and correspondence.

#### TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

### ✓ 064-04 LIBRARY MATERIALS PROCUREMENT FILES

Documents pertaining to selecting and procuring books,  
periodicals, and other library materials including  
requests for obtaining materials, reviews, and ap-  
provals.

#### TEMPORARY

Cut off at end of FY; destroy when 3 years old.

### 064-06 SERIALS DATA BASE FILES

*ju*  
*NNR*  
*7/12/82* This file is an on-going listing of all magazines,  
periodicals, serials, etc., maintained in both the Law  
and Technical libraries. Some of the data elements  
include title code, action required, record type, place-  
ment number, category, frequency of publication, availa-  
bility of periodical, subject code, beginning and ending  
volumes, retention, copy type, and completion code.

#### TEMPORARY

Destroy when no longer needed for administrative purposes.

### ✓ 064-07 SERIALS KARDEX FILES

Card system containing data on all issues of serials

received for the Technical Information Sources and Services Branch.

TEMPORARY

Destroy <sup>in agency</sup> when no longer needed for administrative purposes.

✓ 064-08

CATALOG FILES

Catalog cards/lists listing holdings by title, subject, author, or other identifier. Includes shelf list records.

TEMPORARY

Destroy individual cards <sup>in agency</sup> as they become superseded, obsolete, or when the records represented by them are removed.

✓ 064-10

REFERENCE FILES

Documents relating to providing reference services, including literature searches (Lockheed, SDC, etc.).

TEMPORARY

Cut off at end of FY in which the service was provided; destroy ~~when~~ 2 years ~~old~~ later.

✓ 064-12

LOAN FILES

Documents used to maintain control over all materials loaned out from the library area, including charge-out cards and similar materials.

TEMPORARY

Destroy <sup>in agency</sup> when the charge-out card is filled or when materials are withdrawn from the Library collection.

064-14 INTER-LIBRARY LOAN FILES

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

TEMPORARY

~~Transfer files at end of CY in which the loans were trans-~~  
~~acted; Destroy~~<sup>in agency</sup>~~when 6 years old.~~

## 065 RECORDS AND INFORMATION MANAGEMENT FILES

(These files relate to the management of maintenance, transfer and disposition of GAO records as well as action taken in the records disposition schedules submitted by other Federal Agencies.)

### ✓ 065-02 GAO FILES MANAGEMENT CASE FILES

Case files containing all GAO offices of record file plans and changes thereto. Copies of all material reflecting any activity of the individual office of record maintained in these case files, includes copies of survey forms, letters of exception, records liaison officer designation, etc.

#### TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

### ✓ 065-04 RECORDS INFORMATION POLICY AND PLANNING FILES

Documents, related correspondence and instructions which provide guidance and direction for the management of GAO records and information. Arranged subjectively and maintained in RMS.

#### TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

### ✓ 065-06 RECORDS AND INFORMATION MANAGEMENT EVALUATION FILES

Studies, analyses or summaries created in the comprehensive review of organizational records management structure, procedures, standards and related areas.

TEMPORARY

Cut off at end of FY in which the study is completed;

transfer to FARC 5 years <sup>after cutoff;</sup> ~~later~~; destroy <sup>10</sup> ~~20~~ years <sup>after cutoff</sup> ~~later~~.

RB  
2/4/83  
E. Forster

✓ 065-08 GENERAL RECORDS MANAGEMENT REPORTS FILES

General reports made on records management actions or status, and not otherwise described in this subfunction.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 065-10 INFORMATION REQUEST FILES

Documents relating to requests from outside GAO for access to specific records.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 065-12 RECORDS RETIREMENT FILES

Documents relating to the retirement of records to a holding area or records center, including correspondence, forms and related materials.

TEMPORARY

Destroy when related records are destroyed, or when no longer needed for reference or administrative purposes.

GRS 16

Item 3 *ok*

*supersedes*  
GAO/Sched/  
20/7a

✓ 065-14 RECORDS DISPOSITION AUTHORITY FILES

Documents relating to the evaluation of GAO records and development of disposition schedules.



TEMPORARY

GRS 16  
Item 3a *ok*

Destroy when related records are destroyed, or when no longer needed for reference or administrative purposes.

✓ 065-16 RECORDS TRANSFER FILES

Documents relating to the transfer of records to the National Archives or other government agencies.

TEMPORARY

GRS 16  
Item 3a *ok*  
*supersedes*  
GAO/Sched/  
20/7a

Destroy when related records are destroyed, or when no longer needed for reference or administrative purposes.

✓ 065-18 RECORDS STORAGE AREA FILES

Documents relating to the administrative management of the holding area for records in GAO.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 065-20 RECORDS DISPOSITION FILES

Documents relating to disposition matters in general and not described in other items of the subfunction.

TEMPORARY

GRS 16  
Item 3a *ok*  
*supersedes*  
GAO/Sched/  
20/7a

Destroy when related records are destroyed, or when no longer needed for reference or administrative purposes.

✓ 065-22 REFERENCE REQUEST FILES

Documents relating to the retrieval of records from storage for temporary use.

TEMPORARY

Destroy <sup>in agency</sup> when documents have been returned to storage.

✓ 065-24 DISPOSAL REQUEST FILES (GAO RECORDS)

Documents relating to the approval or disapproval of requests to dispose of records, including approval for records in a records center or records holding area, or special type record.

TEMPORARY

Destroy when related records are destroyed or when no longer needed for administrative or reference purposes.

GRS 16  
Item 3a *oh*  
*supersedes*  
*GAO/Sched 1*  
*20/7a*

✓ 065-26 OTHER SPECIAL RECORDS MANAGEMENT CASES

Documents relating to special projects created in response to litigation, i.e. AT&T, IBM, etc.

TEMPORARY

Cut off at end of FY when case is closed; destroy ~~when~~ 5 years *old. later.*

✓ 065-28 RECORDS EQUIPMENT AND SUPPLY FILES

Documents relating to the status of equipment in GAO, and review of requests for records equipment or supplies.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 065-30 VITAL RECORDS FILES

Documents relating to the identification and protection of records vital to the operation of the agency, including operating records and rights and interest records.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

066 DIRECTIVES AND FORMS MANAGEMENT FILES

(These files relate to issuance and maintenance of the GAO-wide orders, directives and forms.)

066-02 RECORD SET OF GAO DIRECTIVES

Copies of the finished product, the original manuscript, clearances, and documents pertaining to the preparation of each directive. (Arranged by directive number and maintained by OISS/RMS/DFS)

*see following page for disposition*

*RTB  
Sum  
10/23/81*

PERMANENT (ECV 24cf EAA 3cf)

~~Cut off upon supersession or revision; transfer to FARC 1 year later; offer to NARS 30 years later. (In 5 year increments)~~

✓ 066-04 DIRECTIVES MASTER SET

Master reference set of GAO Operations Manual and other directives.

TEMPORARY

Destroy individual directives <sup>*in agency*</sup> as they are superseded, discontinued or cancelled.

✓ 066-06 DIRECTIVES WORKPAPERS AND BACKGROUND MATERIALS

Includes working notes, drafts and related correspondence not covered under schedule 066-02.

TEMPORARY

Destroy <sup>*in agency*</sup> when no longer needed for administrative reference purposes.

- a. Issuances related to agency program functions

PERMANENT. Offer to NARS in 5-year blocks when 20 years old (e.g., offer 1970-4 block in 1995). .75 cu ft in existence; 1 1/2" per year.

- b. Case files related to (a) above which document important aspects of the development of the issuance.

Destroy when issuance is transferred to NARS.

- c. Issuances related to routine administrative functions (payroll, procurement, personnel, etc.)

Destroy in agency when superseded or obsolete.

- d. Case files related to (c) above which document aspects of the development of the issuance.

Destroy when issuance is destroyed.

superseded GAO/Sched /  
20/5

✓ 066-08 DIRECTIVES MANAGEMENT STUDIES/SURVEYS/PROJECTS

Documents relating to surveys or studies of directives and related practices, projects or sources. *less than 1 cu. ft./yr.*

GRS  
16/11  
ok

TEMPORARY

~~Cut off at end of FY when study is complete; transfer to FARC when 5 years old; destroy when 20 years old.~~ *Destroy when 6 yrs. after completion of study.*

✓ 066-10 DISTRIBUTION CODES FILE

Documents related to the issuing/distributing of directives and other publications, including inputs needed to develop the master set of cards which are physically located in the Distribution Services Section.

RTB  
EF  
2/22/82

TEMPORARY

*in agency*  
Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

✓ 066-12 DIVISION/OFFICE ORDERS

Reference set of the internal orders issued by individual GAO divisions and offices maintained by DFS.

TEMPORARY

*in agency*  
Destroy individual orders <sup>in agency</sup> as they are superseded, discontinued, cancelled, or no longer needed for reference purposes.

✓ 066-14 GAO TELEPHONE DIRECTORY FILES

- a. Record set of GAO Telephone Directories

TEMPORARY

~~Cut off at end of FY; transfer to FARC when 5 years old; destroy when 20 years old.~~

*Destroy in agency when no longer needed for reference.*

RTB  
2/4/82  
E. Forster

- ✓ b. Workpapers, inputs and notes used in compiling/  
updating the telephone directory.

TEMPORARY

Destroy <sup>in agency</sup> after the next issue of the Telephone  
Directory has been published.

✓ 066-16 FORMS REPORTS FILES

Documents relating to reports made on the forms manage-  
ment program, including statistical data.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

✓ 066-18 GAO NUMERICAL FORMS FILES

- ✓ a. Case files relating to all standard and optional  
forms for which GAO is the promulgating office  
and GAO forms, including copies of forms, their  
justification, design, and other actions taken  
to control forms and their effectiveness. Ar-  
ranged by form number and maintained by OISS/RMS/  
DFS.

GRS 16/4a  
oh  
supersedes  
GAO/Sched/  
20/8a

RtB  
See  
1/28/82

~~PERMANENT (ECV 13 1/2cf EAA 1cf)~~

Cut off at end of FY following discontinuance or  
obsolescence; transfer to FARC ~~when~~ 1 year <sup>later,</sup> old; Destroy  
~~offer to NARS when 20 years old.~~  
<sup>5 years later,</sup>

- ✓ b. Workpapers, background material, requisitions,  
specifications, processing data, and control  
records.

TEMPORARY

Destroy when related form is discontinued, superseded, or cancelled.

GRS 16  
Item 4b

ok

supersedes GAO/Schol/  
20/8b

GRS 16/4a  
ok

✓ 066-20 DIVISION/OFFICE NUMERICAL FORMS FILES

Case files relating to individual division/office forms, their justification, design, and other actions taken to control forms and their effectiveness.

TEMPORARY

Cut off at end of FY following discontinuance or obsolescence; transfer to FARC ~~when~~ 1 year <sup>later,</sup> ~~old;~~ destroy <sup>later.</sup> ~~when~~ 5 years ~~old.~~

✓ 066-22 EXTERNAL NUMERICAL FORMS FILES

Copies of forms created by other agencies and instructions for their use.

TEMPORARY

Destroy <sup>in agency</sup> when discontinued, superseded or no longer needed for reference or administrative purposes.



070 PUBLISHING AND DISTRIBUTION

(These records relate to printing and duplication, mail and messenger services, distribution, and graphic services.)

071 Printing and Duplication Files

072 Mail and Messenger Services Files

073 Distribution Files

074 Graphics Files

071 PRINTING AND DUPLICATION FILES

(These files relate to the printing and duplication services, including fast copy.)

✓ 071-02 PRINTING ADMINISTRATION CORRESPONDENCE FILES

Correspondence files pertaining to the printing, binding, duplication, distribution, and related papers.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 13

Item 2 *ok*

*supersedes*  
GAO/Sched/18/  
2

✓ 071-04 PROJECT JOB FILES

Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.

- a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (1) requisitions of the Public Printer and related records; and (2) records relating to services obtained outside the agency.

TEMPORARY

Cut off upon completion of job; destroy 1 year later.

GRS 13

Item 3a *ok*

*supersedes* GAO/Sched/  
18/3a

- b. Files pertaining to planning and other technical matters.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 13

Item 3b *ok*

*supersedes*  
GAO/Sched/  
18/3b

✓ 071-06 CONTROL FILES

Control registers pertaining to requisitions and work orders.

TEMPORARY

Cut off at end of FY or when register is full, whichever is applicable; destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.

GRS 13  
Item 4

ok

superseded  
GAO/Sched 1  
18/4

✓ 071-08 REPORTS TO CONGRESS AND RELATED FILES

GAO reports to Joint Committee on Printing regarding operation of Class A and B plants and inventories of printing, binding, and related equipment in Class A and B plants or in storage.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

GRS 13  
Item 6a

ok

superseded  
GAO/Sched 1/18/6a

✓ 071-10 INTERNAL MANAGEMENT FILES

Records relating to internal management and operation of the GAO Printing Branch.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

GRS 13  
Item 7

ok

superseded GAO/  
Sched 1/18/7

071-12 MICROGRAPHICS FILES

Record microfiche set of all GAO audit reports, speeches, program plans, Annual Report of the Comptroller General, The GAO Review, and other publications entered into GAO Documents Data Base and prepared in accordance with GSA regulations for permanent retention in lieu of paper

withdrawn  
1/28/82  
C now part of  
063-06

copies maintained by the Micrographics Section in OPS and arranged alphabetically/numerically.

a. Original paper copy records

TEMPORARY

Destroy after it is ascertained that the microfiche copies has been made in accordance with GSA regulations and are adequate substitute for the paper records.

b. Microfiche

PERMANENT (ECV 26cf EAA 2cf)

Transfer original silver negative and one diazo copy to the National Archives at the end of each FY when microfiche has been verified. (Reference copies for GAO use may be retained at GAO.)

This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

✓ 071-14 FAST COPY SERVICE FILES

Documents relating to reproduction of documents on fast copy equipment.

TEMPORARY

~~Cut off at end of FY.~~ Destroy when 1 year old.

072 MAIL AND MESSENGER SERVICE FILES

(These files relate to the mail (postal as well as private carrier), and messenger services.)

✓ 072-02 POSTAL RECORDS

Post Office forms and supporting papers, exclusive of records held by the United States Postal Service.

- a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 12  
Item 5a

*supersedes GAO/Sched/17/5a*

- b. Application for postal registration and certificate of declared value of matter subject to postal surcharge.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 12  
Item 5b

*supersedes GAO/Sched/17/5b*

- c. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 12  
Item 5c

*supersedes GAO/Sched/17/5c*

✓ 072-04 MAIL AND DELIVERY SERVICE CONTROL FILES

Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Services, excluding both

those covered by 072-10, below and those used as indexes to correspondence files.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 12

Item 6a *oh*

*supersedes GAO/Sched/  
17/6a*

✓ 072-06 POSTAGE USAGE FILES

Statistical reports of postage used on outgoing mail and fees (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).

TEMPORARY

~~Cut off at end of the month;~~ Destroy when 6 months old.

GRS 12

Item 6b *oh*

*supersedes GAO/  
Sched/17/6b*

✓ 072-08 ACTIVITY REPORTS FILES

Statistical reports and data relating to handling of mail and volume of work performed.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 12

Item 6d *oh*

*supersedes GAO/  
Sched/17/6d*

✓ 072-10 CHECKS AND CASH FILES

Records relating to checks, cash, and packages received through the Official Mail and Messenger Service.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 1 year old.

GRS 12

Item 6e

*supersedes GAO/Sched/  
17/6e*

✓ 072-12 OFFICIAL MAIL AND MESSENGER SERVICE FILES

Records of and receipts for mail and packages received through the Official Mail and Messenger Services.

TEMPORARY

~~Get off at end of the month;~~ Destroy when  
6 months old.

GRS 12  
Item 6f *ah*

*supersedes*  
*GAO/Sched/*  
*17/6f*

✓ 072-14 GENERAL MAIL DELIVERY FILES

General files including correspondence, memoranda,  
directives, indexes and other records relating  
to mail delivery to individuals.

TEMPORARY

Destroy when 1 year old or when superseded or obso-  
lete whichever is applicable.

GRS 12  
Item 6g *ah*

*supersedes*  
*GAO/Sched/*  
*17/6h*

✓ 072-16 LOCATOR FILES

Locator cards, (copies of GAO Form 410 or equivalent),  
directories, indexes, relating to mail delivery to  
individuals.

a. Card Files

TEMPORARY

Destroy 2 weeks after the computer printout has  
been received, tested, and accepted.

b. Computer Printouts

TEMPORARY

Destroy after the second printout has been re-  
ceived, tested and accepted.

✓ 072-18 PENALTY MAIL REPORT FILES

Official penalty mail reports and all related  
papers.

TEMPORARY

Cut off at end of FY; destroy when 6 years old.

GRS 12

Item 7 *ok*

*supersedes GAO/Sched/*  
*17/7*

✓ 072-20 POSTAL IRREGULARITIES FILE

Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

TEMPORARY

Cut off when investigation is complete; destroy 3 years later.

GRS 12

Item 8 *ok*

*supersedes*  
*GAO/Sched/*  
*17/8*



### 073 DISTRIBUTION FILES

(These files relate to the initial distribution of GAO publications and the retention of the official GAO publications, including the Master Report Folder. NOTE: For records pertaining to the secondary distribution and on-demand request processing by the GAO Documents Handling and Information Service Facility (DHISF), see schedule 063 - Documents Systems and Services Files.)

✓ 073-02 DISTRIBUTION POLICY & PRECEDENT FILES

*Non-record copies of*

Documents and guidelines relating to the distribution of GAO publications.

TEMPORARY

Destroy <sup>*in agency*</sup> when superseded, obsolete or no longer needed.

✓ 073-04 PUBLICATION INITIAL DISTRIBUTION FILES

Documents accumulated for the automatic distribution of Publications.

TEMPORARY

Destroy <sup>*in agency*</sup> after supersession or cancellation; changes may be destroyed after posting to the current distribution list.

✓ 073-06 GENERAL DISTRIBUTION FILES

Documents reflecting the general administration and fulfillment of requests for GAO publications.

TEMPORARY

~~Cut off at end of FY,~~ Destroy when 1 year old.

✓ 073-08 SPECIAL DISTRIBUTION PROJECT FILES

Documents relating to distribution projects, which because of their complexity or importance, are handled separately.

TEMPORARY

Cut off at end of FY in which the project is accomplished; destroy ~~when~~ 1 year ~~old~~ *later*.

✓ 073-10 STATISTICAL REPORTS OF DISTRIBUTION

Documents relating to summary activities of distribution unit including special accomplishment reports.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

✓ 073-12 MASTER REPORT FOLDER FILES

Master Report Folder of accounting, auditing, and investigative reports, maintained in OPS, including all drafts, review sheets, report processing forms and related records.

TEMPORARY

Cut off at end of FY in which the report is issued; transfer to FARC ~~when~~ 1 year ~~old~~ *after report issued*; destroy ~~when~~ 15 years ~~old~~ *after report issued*.

✓ 073-14 DISTRIBUTION COPIES FILES

Stock copies in distribution of publications, posters, charts, directives, regulations, booklets, speeches, forms, press releases, and similar material to fill

NN-173-191

*ok - same  
supersedes  
GAO-Sched 17/3*

requests from GAO or outside. (This item does not cover copies and related program material retained in originating office.)

TEMPORARY

GRS 13  
Item 16

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

073-16 MAILING LISTS AND RELATED MATERIAL

- ✓ a. Correspondence request forms and other records relating to changes in mailing lists.

TEMPORARY

Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier.

GRS 13  
Item 5a

*oh*  
*supersedes GAO/*  
*Sched/18/5a*

- ✓ b. Card lists

TEMPORARY

Destroy individual cards when canceled or revised.

GRS 13  
Item 5b

*oh*  
*supersedes*  
*GAO/Sched/*  
*18/5b*

- ✓ c. Plate or stencil mailing lists

TEMPORARY

Destroy plates or stencils when cancelled or revised.

GRS 13  
Item 5c

*oh*  
*supersedes*  
*GAO/Sched/*  
*18/5c*

073-18 KEY WORD OUT OF CONTEXT (KWOC)

These magnetic tape files are created to provide a source to identify GAO reports by key words, date, subject area or title. The file contains such data elements as title, date of publication, issue area, publication number, and B-number. The file covers all GAO reports issued from 1967 to present.

*oh*  
*NVR*  
*7/2/82*

- ✓ a. Magnetic tape

TEMPORARY

The tapes are updated bi-weekly, combined semi-annually and annually and retained until no longer needed for administrative use.

- ✓ b. Printouts

TEMPORARY

The printouts are retained until an update is received.

- ✓ c. Source documents (source information taken from GAO Audit Reports and put on GAO Form 462, GAO Documents Input Sheet Updates, for entry into system.)

TEMPORARY

Cut off at end of FY; destroy when 1 year old.

- ✓ d. Microfiche (Printouts are microfiched bi-weekly, semi-annually and annually.)

TEMPORARY

~~Retained until~~ <sup>Destroy when</sup> no longer needed for administrative use.

074 GRAPHICS FILES

(These files relate to the graphics and illustrations prepared for GAO publications and other graphics.)

✓ 074-02 REQUEST LOG FILES

Control registers pertaining to requisitions and work orders for graphic arts or audio visual services.

TEMPORARY

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.

GRS 13  
Item 4 *oh*  
*superseded*  
*GAO/Sched/*  
*18/4*

✓ 074-04 PRINTING PURCHASE ORDER/VENDOR FILES

Documents relating to work contracted out.

TEMPORARY

Cut off when job is completed; destroy ~~when~~ 2 years *later*  
~~old~~.

074-06 PHOTOGRAPHIC NEGATIVE FILES

Negatives created during the processing of GAO publications.

- a. Special Publications (including the GAO Review, the Annual Report, Food Update, and the Policy and Procedures Manual).

TEMPORARY

Destroy 2 years after date of publication.

*superseded*  
*GAO/Sched/*  
*18/8a*  
NC1-217-78-1,  
Item 1a  
(same)  
*oh*

- b. Audit Reports and other printed material

TEMPORARY

Destroy 6 months after date of publication.

074-08 PHOTOGRAPH FILES

Still photographs, consisting of negatives of all pictures taken by GAO photographers, color and black and white; including contacts and proofsheets that have limited administrative use or interest. Such photographs might depict athletic events, social gatherings, administrative staff functions, ceremonial activities, award presentations, commendations, or other activities not directly related to GAO operations or responsibilities.

TEMPORARY

Cut off at end of each month; destroy when 6 months old. (Note: Photographs of significant GAO activities have permanent value and are maintained by the Audio Visual Unit under 044-02.)

NCL-217-78-1, Item  
1b (same)-ok  
supersedes GAO/Schub/  
18/8b

withdrawn  
10/27/81-  
could not  
be located  
for  
appraisal

080 PUBLIC INFORMATION FILES

080 PUBLIC INFORMATION FILES

(These files relate to GAO's relations with the public and media and includes inquiries, replies, press releases and related documents.)

✓ 080-02 INFORMATION FILES

Complete set of formal informational releases ~~and~~  
~~publications~~, such as press releases, press conference  
transcripts, official speeches, and indexes thereto.  
*by type of document, thereunder*  
Arranged chronologically and maintained by the Infor-  
mation Office.

GRS 14/  
1a + b  
ok

*supersedes*  
GAO/Sched/  
19/1

PERMANENT (ECV 1/4cf EAA 1/8cf)

Cut off at end of FY; transfer to FARC when 3 years  
*in 5-year blocks*  
old; offer to NARS when 20 years old.

~~(In 5 year increments)~~

✓ 080-04 RESERVED

✓ 080-06 INFORMATION REQUESTS FILES

Requests for information and copies of replies there-  
to, involving no administrative actions, no policy  
decisions, and no special compilations or research;  
and requests for and transmittals of publications,  
photographs and other informational literature.

TEMPORARY

Destroy 3 months after transmittal or reply.

GRS 14  
Item 3

*supersedes* GAO/Sched/  
19/3

✓ 080-08 ACKNOWLEDGEMENT FILES

Acknowledgement and transmittals of inquiries and  
requests that have been referred elsewhere for reply.



TEMPORARY

Destroy 3 months after acknowledgement and referral.

GRS 14

Item 4 *oh*

*supersedes GAO/  
Sched/19/4*

✓ 080-10 PRESS CLIPPINGS FILES

Compilation of clippings from newspapers and similiar materials of interest to GAO.

TEMPORARY

Destroy when 6 months old.

✓ 080-12 INFORMATION PROJECT FILES

Informational services project case files maintained in the Information Office.

TEMPORARY

Cut off when project is completed or closed; destroy 1 year later.

GRS 14

Item 6 *oh*

*supersedes GAO/  
Sched/19/6*

✓ 080-14 COMMENDATION/COMPLAINT CORRESPONDENCE FILES

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

TEMPORARY

Destroy when 3 months old.

GRS 14

Item 7 *oh*

*supersedes GAO/  
Sched/19/7*

✓ 080-16 INDEXES AND CHECK LISTS FILES

Bibliographies, check lists, and indexes of GAO publications and releases, except those used as indexes to formal informational releases, including

The Monthly List of GAO Publications (requested by the Congress).

- a. Paper copies, Monthly List of GAO Publications

TEMPORARY

Destroy after it is ascertained that the microfiche copy is made in accordance with GSA regulations and is an adequate substitute for paper records.

- b. Microfiche Master Set of Monthly List of GAO Publications

TEMPORARY

Cut off at end of FY; transfer to FARC when 5 years old; destroy when 20 years old.

This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

- ✓ c. Backup material

TEMPORARY

Cut off when publication is issued; destroy 6 months after the publication of the issue to which the material is related.

- ✓ d. Materials not covered by a and c above.

TEMPORARY

Destroy <sup>in agency</sup> when superseded or obsolete

*superseded  
GAO/Sched/  
19/8*

*ok  
per  
NWHP  
+ bloom,  
2/4/82*

080-18 GAO MANAGEMENT NEWS

ok  
per  
NNH  
11/6/81

GAO Management News and backup material, published weekly by the Information Office as the communication of official news to GAO staff. (See also 011-54)

- ✓ a. Master set of GAO Management News. Arranged chronologically and maintained by the Information Office.

PERMANENT (ECV lcf EAA 1/12cf)

Cut off at end of FY; transfer to FARC when 5 years old; offer to NARS when 30 years old. (In 5 year increments)

- ✓ b. Backup materials

TEMPORARY

Cut off when publication is issued; destroy 6 months after the publication of the GAO Management News.

090 AUDIT AND SPECIAL STUDIES FILES

090 AUDITS AND SPECIAL STUDIES FILES

(These files relate to all audits and studies, not covered elsewhere, undertaken to achieve the program objectives of GAO including the workpapers generated, and the history of each job.)

✓ 090-02 ISSUE AREA OPERATIONAL PLANS FILES

Issue area operational plans prepared by each division/office for review and approval by the Program Planning Committee and the related documents, including resource projections needed to accomplish the program plans.

✓ a. Program Plans

TEMPORARY

*in agency*  
Destroy when superseded, obsolete or no longer needed.

~~(NOTE: Copies are sent to OISS for entry into the GAO Document Data Base, and microfilmed as a part of the permanent microfiche set of GAO Documents, 071-12.7)~~

~~-663-06-~~

✓ b. Background/Workpapers

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 090-04 ASSIGNMENT AUTHORIZATION FILES

The document providing authority to start new assignments, including all documents revising the original Form 100 such as the J-1.

TEMPORARY

Cut off when report is issued; destroy ~~when~~ *later,* 3 years ~~old.~~

✓ 090-06 JOB SCHEDULING/FIRM ASSIGNMENT LISTS

Short-range planning document prepared by headquarters divisions to be used by regional offices to assist them in staffing assignments.

TEMPORARY

Cut off at end of FY; destroy ~~when~~ 2 years <sup>later.</sup> ~~old.~~

✓ 090-08 INDIVIDUAL JOB FOLDER FILES

This folder may include copies of the Form 100, Work Progress Reports (GAO Form 133), all correspondence with the agencies, contact memoranda, trip reports, etc.

TEMPORARY

Cut off when report is issued; destroy ~~when~~ 3 years <sup>later,</sup> ~~old,~~ or when working papers are destroyed, whichever is later.

✓ 090-10 RESERVED

✓ 090-12 AGENCY COMMENTS FINAL REPORTS

Copy of agency's response to Congress on actions taken in response to GAO recommendations. Usually sent to GAO with a cover letter to CG or division director.

Record copy is included in the Master Report folder, <sup>Item 073-12 of this schedule.</sup>

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 090-14 STATUS OF REPORTS FILES

Summary of activity on each active and issued report in auditing divisions.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 090-16 WORKPAPERS, AUDIT PROGRAMS AND REPORTS

Workpapers (manual and automated) generated by the General Accounting Office in connection with its accounting, auditing and investigative programs. These consist of tabulating machine runs or adding machine tapes; magnetic tape, punched cards, etc.; confirmation letters obtained in the verification of account balances; copies of interoffice correspondence relating to GAO assignments; copies of GAO work programs; workpapers supporting payroll audit reports, regional letter reports, and close out letter reports. (NOTE: Does not include data bases described in 090-18).

a. Paper records

TEMPORARY

Hold for 1 year after completion of assignment; transfer to FARC; destroy when 3 years old.

b. Machine-readable records

Routine processing files not included in 090-18.

TEMPORARY

Erase when 3 years old.

090-18 INFORMATION DATABASE FILES

Unique data bases, machine readable or otherwise, created during the audit process/studies as a part

*supersedes both*  
NCI-217-80-4  
Item 1a  
(same)  
and  
GAO Schol 7/1  
NCI-217-80-4  
Item 1b  
(same)

*et*  
*7/24/72*

*et*  
*NNR*  
*7/24/72*

of the information gathering task and reported on GAO Form 100, where the interest in the data may transcend the needs of the specific study.

(NOTE: For housekeeping, routine administrative and workpaper files, see 090-16.)

a. Paper files not converted to machine readable format. Enter into the GAO Documents Data Base and microfilm as a part of the permanent microfiche set of GAO documents (see 071-12).

b. Paper files converted to machine readable format.

TEMPORARY

Destroy when the machine-readable records have been verified and accepted as adequate substitute.

c. Machine-Readable Files

PERMANENT

*OK*  
*NNR*  
*7/12/62*  
Offer to NARS with accompanying documentation upon publication of the report. (NOTE: Retain a copy for GAO's reference use, if necessary.)

✓ 090-20 ACCOMPLISHMENT REPORTS FILES

Accomplishment reports (GAO Form 82) showing any action which results in dollar savings or improvements in Government operations.

TEMPORARY

Cut off at end of fiscal year in which accomplishment was reported; destroy ~~when~~ 5 years <sup>later</sup> old.

090-22 FOOD, AGRICULTURE AND NUTRITION INVENTORY (FANI) DATA BASE

*NNR*  
FANI is a data base of Federal food related (such as land, soil, water, energy, etc.) programs in 28 dif-



Department of Agriculture (USDA), the Office of Management and Budget, and 27 other agencies cooperated with GAO to develop a method and build the prototype inventory of food, agriculture, and nutrition-related programs.

FANI can be compared to a card catalog in a library that helps locate different types of materials; for example, a certain subject would be found in the subject index, or a certain author would be listed in the author index. In this same way, FANI can be used to find which food, agriculture, and nutrition programs would affect a certain subject (such as food stamps), a certain function (such as regulation), or a specific user group (such as the elderly). Just as a card catalog makes library materials easily accessible, FANI will put the tremendous volume of information on food programs within easy reach.

Examples of questions FANI can answer are:

- How much money does the Federal Government spend in nutrition research and development?
- Which agencies are involved in the production or consumption of fish?
- What groups are affected by the regulation of foodstuff safety?

What congressional committees have oversight  
over the Federal programs that set food policy?

The basic information contained in the inventory includes program title; administering body; catalog of Federal domestic assistance number; Office of Management and Budget/Treasury account number(s); statutory authority; financial data (budget authority, obligations and outlays, and staff-years); narrative description of objectives, accomplishments, and target users; keywords describing the program; program description codes (the complete list of codes is contained in the GAO report "Inventory of Federal Food, Agriculture and Nutrition Programs" CED-79-125, September 11, 1979); congressional committee jurisdiction; related programs; program reports; and agency contact point.

*Rob  
SA  
7/19/82*  
PERMANENT  
~~Offer to NARS upon each update.~~  
090-24 CONGRESSIONAL INFORMATION SOURCES INVENTORIES AND

*Destroy when no longer  
needed for administrative  
purposes*

#### DIRECTORIES

These magnetic tape files are developed and maintained by the General Accounting Office under authority of Title VIII of the Congressional Budget and Impoundment Control Act of 1974 (P.L. 93-344), which assigned the Comptroller General the responsibility to identify congressional information needs as

*NNR*

expressed in legislative requirements; to monitor the various reporting requirements of the Congress; to identify congressional needs for fiscal, budgetary, and program-related information; and to maintain a central file or files of fiscal and budgetary information. The data base consists of the following four files:

1. Inventory of Federal Evaluations (E-file)

This file contains an inventory of program and management evaluation reports produced by and for most of the departments, agencies, and various commissions of the Federal Government.

2. Inventory of Information Sources (I-file)

This file contains an inventory of information sources such as clearinghouses, libraries, and data centers.

3. Inventory of Requirements for Reports to the Congress (R-file)

This file describes requirements for recurring and one time reports to the Congress for the executive, legislative, and judicial branches of the Federal Government.

4. Inventory of Federal Information Systems (S-file)

This file describes Federal systems maintained by Federal agencies, which contain fiscal, budgeting and program-related information.

The information for these inventories is collected through the use of a series of four especially designed forms filled in and submitted by the various Federal agencies. Entries in the data base provide the user with a full range of information, such as the title, agency maintaining the system or issuing the report, relevant statutory or non-statutory authorities, Congressional relevance, affected programs, OMB ID codes, agency contacts, and descriptive abstracts. The I, R, and S files are cumulative (new records are merged with the old ones in the established sequence). A separate new file is created at each inventory cycle for the E-File.

R, S and I File

PERMANENT

Offer to NARS upon each update. At that time the old tape may be destroyed.

*Destroy when no longer needed for administrative purposes.*

E-File

PERMANENT

Offer to NARS whenever a new volume is added.

*Destroy when no longer needed for administrative purposes.*

090-26

LEGISLATIVE, AUTHORIZATION, PROGRAM AND BUDGET INFORMATION SYSTEM (LAPIS)

These magnetic tape files are developed and maintained under the authority of Title VIII of the 1974 Budget Act to meet the needs of the Congress for fiscal, budgetary, and program-related information.

LAPIS currently includes basic authorizing and budgetary data on most Federal agency programs. The following data elements are available for each program, activity or project listed in LAPIS:

- Administering agency and bureau, or independent commission,
- Budget function and subfunction,
- Citation of the law that authorizes the program, including the public law name and the relevant title and section of the U.S. Code,
- Name of program, activity, or item,
- Type of record (program, administrative, financial),
- Appropriation account number, fund code, and transmittal type,
- House and Senate authorizing committee jurisdiction,
- House and Senate authorizing subcommittee jurisdiction for selected committees,
- Amounts authorized, if specified, and/or narrative description of funding limitations,
- Expiration and reauthorization dates for programs,
- Related budget authority, outlays, and obligations for the past, current, and budget years.

- Specialized data for individual committees,  
including outlays for current year budget  
authority. Unobligated balances and loan  
levels,
- Oversight review dates,
- Senate/House policy areas,
- Special Program areas, e.g., for use in iden-  
tifying special Government-wide programs such  
as:
  - disaster assistance programs
  - entitlement programs
  - research and development programs

The LAPIS is maintained as an on-going system. Continued revisions to the system are made due to re-programmings, new legislation, changes in committee jurisdictions, new budget function classifications, and various other factors. The system continues to expand, update and refine the program inventory to ensure its effectiveness in meeting GAO's legislative mandate.

#### PERMANENT

*ok  
NNR  
7/12/82* The master file is updated annually after release of the President's budget. A history file is pulled before any update is performed on the master file. The history file must be retained for 5 years.

Offer to NARS, both current as well as historical  
tapes, upon each annual update.

100 CONGRESSIONAL RELATIONS FILES



## 100 CONGRESSIONAL RELATIONS FILES

(These files relate to relations with Congress and its members.

NOTE: OFFICIAL RECORD COPIES (PERMANENT RETENTION) are retained in the offices of directors for eventual offer to NARS for permanent retention. (see item 011-46)

### ✓ 100-02 CONGRESSIONAL CORRESPONDENCE—MEMBER FILES

Documents consisting of copies and some originals of letters or memoranda addressed to or from members of the U.S. Senate and the House of Representatives, including matters pertaining to constituent problems or requests.

#### TEMPORARY

Cut off at end of member's term; transfer to FARC 2 years later; destroy 6 years later.

### ✓ 100-04 CONGRESSIONAL CORRESPONDENCE—COMMITTEE FILES

Correspondence with committees of Congress, or members of the Congress acting for the Committee, or offices of the Congress. Also includes correspondence with other congressional offices, such as Secretary of the Senate, Speaker of the House, President of the Senate, Sgt. of Arms, etc. Copies of routine letters from Congress, commendations, thank you notes, sent to Personnel and Divisions.

#### TEMPORARY

Cut off at end of each Congressional session; transfer to FARC 2 years later; destroy 6 years later.

~~AGS~~  
NN-173-190,  
Item 1,  
(same)  
supercedes  
GAO-Sched/20/4

~~AGS~~  
NN-173-190,  
Item 1 (same)  
E.F.  
11/2/81

supercedes  
GAO-Sched/20/4

✓ 100-06 CONGRESSIONAL REQUEST CONTROL FILES

GAO form 437 and related records generated to keep track of the Congressional requests.

TEMPORARY

Cut off when action on the request is completed; destroy 2 years later.

✓ 100-08 CONGRESSIONAL INFORMATION FILES

Information concerning the Congress' organization and membership.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

110 LEGAL SERVICES AND DECISIONS FILES

## 110 LEGAL SERVICES AND DECISIONS FILES

(These files relate to the legal affairs at GAO. The history of each case and the decisions rendered by the Comptroller General are handled by the Office of the General Counsel. Reference materials are maintained by the Legal Information and Reference Services Section, Office of Information Systems and Services.)

### 110-02 A/B-FILES

Case files arranged numerically by A/B number and maintained by Legal Information and Reference Services, including memoranda, correspondence, reports, draft audit reports, General Counsel and Comptroller General opinions, briefs, CG decisions, Congressional requests for reports and audits, draft memoranda and correspondence related to claims, contracts, relations with other federal agencies, legislation, etc. Also included are documents relating to bid protests, interpretation of statutes regarding the right of agencies to expend funds on programs and projects, and a wide variety of legal financial questions covering nearly all of the federal activities

DISPOSAL NOT AUTHORIZED AT THIS TIME.

**DISPOSITION  
NOT  
AUTHORIZED**

### 110-04 REFERENCE CARDS FOR A/B Files

Index cards providing access and retrieval to the B-Files. Records (kept up-to-date by the Correspondence Control File since Sept. 1978). Retain with A/B files.

DISPOSAL NOT AUTHORIZED AT THIS TIME.

**DISPOSITION NOT  
AUTHORIZED**

110-06 CORRESPONDENCE CONTROL MASTER FILE

ol  
NWR  
7/12/82

These disk files record vital information about case related correspondence within the Office of the General Counsel. It also serves as a record of all activity leading to Comptroller General decisions, index to the B-files, and a legal research tool for GAO. The system was started in September 1978.

Key identifiers and summary of the text are extracted from the correspondence sent to and from OGC. The file provides assistance in the tracking of the law cases and congressional requests. Some of the information in the system is subject to privacy restrictions.

TEMPORARY

Review when 5 years old. At that time the programming

office will determine if further retention is required. *Destroy when determination is made that further retention is not required*

✓ 110-08 LEGISLATIVE HISTORY FILES

Arranged chronologically by Congress and thereunder numerically by public law number.

Materials relating to the legislative history of bills passed by Congress. From 1921-30, only legislation related to GAO was included. Beginning in 1931, histories of all enacted laws were compiled. The materials in each history are divided into three groups:

- 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 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 private interest groups, internal memoranda, newspaper clippings, Comptroller General decisions, and reports on legislation prepared by GAO and other agencies.
- Printed hearings which are too bulky to be included in the Congressional materials segment described above.

(a) Original paper records *that are filmed* :

TEMPORARY

Ascertain that the microform copies are adequate substitutes. Transfer to the GAO law library in two year accumulations. Destroy <sup>in agency</sup> when the General Counsel has determined that all administrative needs for the records have ended.

NC1-217-80-5  
Item 1a  
(same)

(b) Microform copies.

PERMANENT (ECV 1cf EAA 3/4cf silver negative 1/4cf diazo).

NC1-217-80-5  
Item 1b  
(same)

<sup>OFFER</sup>  
Transfer original silver negative and one diazo copy to NARS at end of FY when microfiche has been verified.

Maintain silver negative and two diazo copies at  
GAO in adequate storage facilities.

This certifies that the records described in this item  
will be microfilmed in accordance with the standards set  
forth in 41 CFR 101-11.506. [See following page for Item (c)]

110-10 MACHINE READABLE DATA BASE

NNR

This magnetic tape file is a cumulative listing of the  
microfiched legislative histories of public laws of the  
United States. The file contains the public law numbers,  
the title derived from the statutes at large, indicators  
to cross-reference laws which are amended by other laws  
or which amend other laws and a listing of the number of  
fiche and number of pages in each of the three categories  
of fiche (Congressional, GAO, and Hearing).

The file is used for inventory control of the micro-  
fiche and production of photocomposed catalogs which  
indicate the relationships of the elements entered in the  
data base. It is anticipated that the magnetic tape will  
be used as an interface for automatic retrieval of the  
microfiche.

OK  
7/14/82

PERMANENT

Transfer 2 copies of the magnetic tape and input docu-  
mentation to NARS at the end of each FY along with  
with the microfiche. Maintain 2 copies at GAO in  
in adequate storage facilities.

NC1-217-80-5  
Item 2 (same)

110-08 (continued)

- (c) Original paper records that are NOT filmed: These include any paper legislative histories, 1931-present, that are not filmed because file is known to be incomplete.

PERMANENT. Offer to NARS when all administrative needs for the records are met.



✓ 110-12 LEGISLATIVE HISTORY FILES ON BILLS

Compilation of legislative histories on bills containing all versions of the bills, committee reports, documents, hearings, and Congressional Record extracts not only on the present bill but related bills from prior Congresses assembled chronologically as the action occurred starting with the introduced bill. Contains GAO letters, decisions and memoranda filed by Congress and bill number. Arranged by source (S or HR), thereunder by Bill #, thereunder by type of Bill (e.g., straight bill, resolution, joint resolution, etc.)

TEMPORARY

- (a) When a bill becomes law, transfer the affected record to "Legislative History File (110-08)" <sup>for disposition;</sup> Transfer to FARC at end of FY 2 <sup>years after end of related Congress,</sup> ~~years after the last activity in a folder.~~ <sup>All other files</sup>

Review for destruction <sup>every</sup> 8 years. <sup>later.</sup> Destroy records when administrative need ceases.

✓ 110-14 LEGISLATIVE HISTORY SUBJECT FILES

Legislative materials used pertaining to a bill or law, newspaper clipping, Congressional Record extracts arranged alphabetically by subject and chronologically thereunder.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete or no longer needed for reference purpose.

✓ 110-16 <sup>subject</sup> INDEX CARD FOR LEGISLATIVE HISTORY MATERIALS

~~Hierarchical indexes~~ <sup>3 x 5 cards listing</sup> of subject and law citation; ~~on 3 x 5~~  
~~color-coded cards~~ containing bill or law number, sponsor, title of bill or law, prior history information, whether request was received from Congressional committee to report on the legislation. Arr. by subject. (30,000 cards per year; 240 trays now full; each tray = ca. 1/2 cu ft.)

~~TEMPORARY~~ **PERMANENT.** Offer to NARS when no longer needed for administrative purposes.

Retain with Legislative History Files.

**NOTE:** Individual cards may be destroyed in agency (NOTE: Destroy individual cards as they become superseded, when information on them is consolidated onto other cards.) obsolete, or no longer needed for reference purposes.)

110-18 RESEARCH MATERIALS FOR GAO ISSUANCES  
PREPARED BY OGC STAFF

Manuscript volumes of issuances transmitted by Index-Files of decisions, plus background, Section; containing full texts, ~~arranged chronologically,~~

DISPOSITION  
NOT  
AUTHORIZED

~~and then by B File number, and maintained by the Legal~~ and maintained by the Legal Information and Reference Services. These files are

used for reference and all records are duplicated in

A/B Files. <sup>Volumes are</sup> Arr. chronologically by year. Decisions are arranged within volumes by B-number. (All decisions are given a "B" case #) 480 cu ft. since 1921; ca. 9 cu. ft./yr.

~~TEMPORARY~~ Destroy when superseded, obsolete, or no longer needed

~~for reference, in accordance with imposed restrictions~~

110-20 INDEX CARDS TO RESEARCH MATERIAL FILES **DISPOSITION NOT AUTHORIZED. TRANSFER TO FRC**  
**NOT AUTHORIZED**

DISPOSITION  
NOT  
AUTHORIZED

- a. ~~Collection of cards which index digests of all decisions in the~~  
~~Subject cards on digests cross-referenced with~~  
with legal principles covered by the decisions.  
manuscript volumes, and in the case of procure

Arr. by year, thereafter by legal principles. 2 - 8 cu ft/  
ment cases cross-referenced with the Comptroller 5 years.

~~General's Procurement decisions~~

TEMPORARY

Retain with 110-18. **DISPOSITION NOT AUTHORIZED. TRANSFER TO**

- b. ~~Collection of cards which link particular US Code, E.O., regulation,~~  
~~Citation cards cross-referenced with manuscript~~  
etc., cited in a decision with digest of the decision. D.N.A.  
~~volumes by United States Code, various regulations;~~

Reflect all CG decisions which have cited a given  
~~executive orders, circulars, manuals, etc.~~ Arranged by regulation,  
Code, regulation, etc. code, E.O., circular,  
etc., cited, Ca. 15 cu.

TEMPORARY

Retain with 110-18. **DISPOSITION NOT**  
**AUTHORIZED. TRANSFER**  
**TO FRC NOT AUTHORIZED.**

yr.  
ft. since 1921, ca. 1 cu ft.

110-22.

Decisions of the Comptrollers General of the United States. Published volumes, printed by GPO, produced annually from 1921 to the present. Decisions included in these volumes are presented in full text and represent about 10% of the total number of decisions rendered annually. Decisions in these volumes are selected for publication on the basis of their future value as precedent and on the widespread applicability of the issues involved. Arr. numerically by volume #.  
Ca. 1"/year.

- a. Record set-  
PERMANENT. Offer to NARS when  
5 years old, with all related published indexes.  
b. All other copies-  
Destroy in agency when no longer needed.

110-24. Quarterly Digests of Unpublished  
Decisions of the Comptroller General  
of the United States. Contains in digest  
form the Comptroller General's decisions  
on the 90% of cases heard in a year but  
not included in Decisions of the Comptroller  
General of the United States. Arranged by  
category, such as "transpotation," "personnel law,"  
etc. Ca. 2"/yr. (Not included on microfiche, item 063-06)

a. Record set-

ok  
per  
NWHP  
3/2/82

PERMANENT. Offer to NARS when 5  
years old.

b. All other copies.

Destroy in agency when no longer  
needed.

120 CLAIMS SETTLEMENT AND DEBT COLLECTION FILES

120 CLAIMS SETTLEMENT AND DEBT COLLECTION FILES

(These files relate to claims by, for, or against the United States Government.)

✓ 120-02 GENERAL CLAIMS FILES

Settled files of general claims filed by or against the United States, excluding those involving Indian Tribal claims.

TEMPORARY

Destroy 6 years and 3 months after the date of settlement.

previous  
schedule:  
NN-171-4, Id. 2;  
~~3-171-24,~~  
~~Id. 4~~  
~~2-171-24;~~  
change based on authority  
in ~~NCI-GRS-51-12~~  
~~2-171-24~~  
NCI-GRS-51-12  
supersedes GAO-  
Sched. 2/1.

✓ 120-04 INDIAN TRIBAL CLAIMS FILES

Settled files of general claims filed by Indian tribes of the United States. Arr. by case #.  
9 cu ft. in agency; ca. 34 cu ft. in FRC (3FN-M); ca. 1 cu ft.

~~GAO-4022-1~~  
(att/ete)

DISPOSITION NOT  
AUTHORIZED

✓ 120-06 DISPOSITION NOT AUTHORIZED  
LEDGER CARDS (GAO Form 4022)

Numerically filed cards and microfiche reflecting names, addresses, case numbers, dates, amounts collected and original principal amounts of debts to U.S. Government which have been referred to the General Accounting Office for collection.

a. Ledger Cards

TEMPORARY

Destroy when Claims Group has determined the microfiche to be acceptable.

b. Microfiche

NCI-217-80-2,  
Item 1a (same)

TEMPORARY

NC1-217-80-2, Item 1b  
(same)

Cut off when all active accounts have been satisfied; hold for 6 years, 3 months; then destroy.

This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

120-08 ACCOUNTS RECEIVABLE FILES

Payment records of debtors of the U.S. Government and related records.

a. Paper Copies

TEMPORARY

GRS 6  
Item 1a

Destroy 6 years, 3 months after period covered by the account.

b. Magnetic tape files

These magnetic tape files record information regarding payment records of debtors indebted to the United States Government and provides statistics with respect to debt collections.

Some of the data elements include debtor's name, claim number, mailing address, payments received, distribution of payment, and debt balance.

ok  
NNR  
7/12/82

information in this file is subject to privacy restrictions.

TEMPORARY

These magnetic tape files are erased as the paper records relating to them are destroyed.

✓ 120-10 INDEX LOCATOR FILES

Records on microfiche, showing names, addresses, Z-case numbers, SSN, agency ID, etc. on claims. Superseded since 1976 by the computer based Accounts Receivable Locator System (120-12).

a. Microfiche Records

TEMPORARY

Retain with Accounts Receivable (120-08) and Claims Files (120-02 and 120-04).

This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

b. Paper Records

TEMPORARY

Destroy after it is ascertained that the microfiche copy is made in accordance with GSA regulations and is an adequate substitute for paper records.

120-12 LOCATOR SYSTEM FOR CLAIMS FILES

*NNR*  
*7/12/82*

These magnetic tape files record information about related correspondence on claims submitted to GAO



by other agencies or claimants. It provides immediate access for associating correspondence about a particular claim or locating the claim within GAO. The file contains such data elements as claim number, claimant's name, address, social security number, submitting agency, and location of claim in GAO. Some of the information in the system is subject to privacy restrictions.

a. Magnetic Tape Files

TEMPORARY

These magnetic tape files are erased as the paper records relating to them are destroyed.

b. Printouts

TEMPORARY

Destroy in accordance with the applicable security regulations when superseded, obsolete, or no longer needed.

✓ 120-14 COLLECTIONS BY DEPARTMENT OF JUSTICE FILES

Copies of USA Form 200 showing collection information on payments made to the Department of Justice.

TEMPORARY

~~Cut off at end of FY;~~ Destroy when 5 years old.

✓ 120-16 CHECK COPIES FILES

Copies of checks deposited by Claims Group as payments made on debts to U.S. Government.

TEMPORARY

~~Cut off at end of FY; destroy when 3 years~~  
old.

120-18 COLLECTION RECORDS

Microfiche copies of information on magnetic tape concerning the status of collections made by the Claims Group.

a. Computer Tapes

TEMPORARY

*de*  
*NNR*  
*7/12/62*  
Erase after the 3rd update cycle and after the microfiche has been verified and accepted as an adequate record.

b. Microfiche

TEMPORARY

Destroy when superseded, obsolete or no longer needed for administrative purposes.

This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

✓ 120-20 OGC REFERRAL FILES

Copies of transmittal letters for cases being referred to the Office of the General Counsel for resolution of legal matters.

TEMPORARY

Cut off at end of FY; destroy when 2 years old.

120-22 CREDIT REPORT FILES

Copies of requests for commercial credit reports.

TEMPORARY

Destroy <sup>in agency</sup> in accordance with the applicable regulations,  
after the report has been reviewed and payment made.

✓ 120-24 WAIVER REGISTER FILES

Contains copies of all correspondence concerning  
waivers of indebtedness (military and civilian)  
referred to the GAO. Also includes summary sheets  
showing amount waived. Arranged chronologically *by month.*  
*File includes correspondence concerning*  
~~and maintained by the Claims Group in AFMD.~~

~~PERMANENT (ECV 4cf EAA 1/4cf)~~

*RJB*  
*San*  
*10/27/81*

*Destroy in agency 6 years after*  
Cut off at end of FY; ~~transfer to FARC when 8~~  
*cutoff.*  
~~years old; offer to NARS when 20 years old (In 5~~  
~~year increments)~~

✓ 120-26 CONGRESSIONAL CORRESPONDENCE FILES

Correspondence as it relates to claims received  
from or addressed to the members of the Congress  
on behalf of their constituents.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 120-28 PRESIDENTIAL PAY FILES

Certificates of settlement and related records  
concerning the salary of the President of the  
United States. Includes certificates, correspondence,

and related materials concerning the monthly salary of the President. Subjects include deductions, expense accounts, and any unsettled pay claims. Arranged chronologically and maintained by the Claims Group/AFMD.

PERMANENT (ECV .75cf EAA 1/12cf)

NC1-217-80-3, *Item 1*  
*(same)*

Maintain in current files; offer to NARS 6 years and 3 months after President ceases to hold office.

130 REGULATORY AND OVERSIGHT FUNCTIONS

130. REGULATORY AND OVERSIGHT FUNCTIONS

[These files relate to the regulatory and coordinating functions of GAO with respect to other agencies].

131 ACCOUNTING STANDARDS AND SYSTEMS FILES

132 ACCOUNTABLE OFFICERS' RECORDS FILES

133 RECORDS PERTAINING TO THE ENFORCEMENT OF SPECIAL LEGISLATION

134 OTHER INVESTIGATORY RECORDS

### 131 ACCOUNTING STANDARDS AND SYSTEMS FILES

(These files relate to the development and the application of Accounting and Audit Standards as well as the review and approval of agency Accounting Systems.)

#### 131-02 ACCOUNTING PRINCIPLES AND STANDARDS FILES

These files consist of statements of accounting principles and standards that have been approved, submission, approval letters, and related internal memos and summaries.

✓ a. Record Set

Including all superseded, revised, or cancelled sections. Arranged <sup>by agency, thereunder</sup> chronologically within each section, and maintained by AFMD.

RTB  
Sun  
10/15/81

~~PERMANENT (ECV 10cf EAA 1cf)~~

~~Destroy in agency~~  
~~Out off when superseded, cancelled, or withdrawn~~  
~~transfer to FARG when 5 years old; offer to NARS~~  
~~when 20 years old. (in 5 year increments)~~

✓ b. Reference Master Set

TEMPORARY

Destroy individual sections as they become superseded, obsolete, or cancelled.

✓ c. Workpapers and Related Documents

not retained with the record set.

TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 131-04 APPROVED ACCOUNTING SYSTEM DESIGNS

Executive Department and Agency accounting systems designs that have been formally submitted to GAO and approved by the Comptroller General under provisions of Title II of the GAO Policy and Procedures Manual. Included are GAO summary letters and correspondence from agencies. All records are currently being microfiched.

a. Original Paper Records

TEMPORARY

NC1-217-80-6  
Item 1a  
(same)

Destroy when ascertained that reproduced records have been made in accordance with GSA regulations and are adequate substitutes for the paper records.

b. Microfiche

TEMPORARY

NC1-217-80-6  
Item 1b (same)

Destroy when all administrative needs have ended. Maintain one diazo copy in GAO technical library and one diazo copy in GAO division records files, in adequate storage facilities.

This certifies that the records described in this item will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.

✓ 131-06 AUDIT STANDARDS--STATE CORRESPONDENCE FILES

Correspondence between GAO and various states, relating to audit standards and related matters.



TEMPORARY

Cut off at end of FY; destroy when 3 years old.

✓ 131-08 Through 131-10 RESERVED

JOINT FINANCIAL MANAGEMENT IMPROVEMENT (JFMIP) FILES

(Files and records created and maintained by the JFMIP in connection with its official business.)

[General correspondence of JFMIP is scheduled under Item 011-46 of this schedule.]

✓ 131-12 AGENCY MANUALS FILES

Various agency manuals containing policies, procedures and guidelines.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed.

✓ 131-14 JFMIP PROJECT/CASE FILES

Documents relating to the implementation of, use of, and training for the various Government programs, systems, actions, or changes.

TEMPORARY

Cut off when the case/project is completed or closed; transfer to FARC <sup>after project is completed or closed;</sup> when 3 years ~~old~~; destroy 7 years <sup>later. after completed or closed.</sup>

✓ 131-16 WORKING PAPERS ON JFMIP PROJECT/CASE FILES

Workpapers generated by JFMIP in the execution of its programs, projects, and other official business.

TEMPORARY

Cut off upon completion or close of a project/case; destroy 3 years later.

✓ 131-18 RECORD SET OF JFMIP PUBLICATIONS

One copy of each publication issued by JFMIP,  
arranged chronologically/numerically and maintained  
by the JFMIP office.

PERMANENT (ECV 3cf EAA 1/4cf)

ok  
per  
NWH  
11/13/81

Cut off at end of FY; transfer to FARC when 5 years  
old; offer to NARS when 20 years old. (In 5 year  
increments)

Note: Offer bound administrative history  
of JFMIP to NARS for appraisal  
upon approval of this schedule.

## 132 ACCOUNTABLE OFFICERS' ACCOUNT RECORDS

(These files include records held by Federal agencies for on-site audit by the General Accounting Office. These schedules are reproduced here for the benefit and convenience of the Federal agencies as well as to provide a convenient reference list for GAO auditors.)

### ✓ 132-02 BOND RECORD CARDS

Bond record cards of Accountable Officers of the United States, Section of Surety Bonds, Treasury Department.

#### TEMPORARY

Destroy 10 years after officer ceases to disburse or executes a new bond.

351-S-356

(same)

supersedes  
GAO-Sched/1/1

### ✓ 132-04 SETTLED FISCAL ACCOUNTS

Original settled fiscal accounts of Accountable Officers of the United States Government, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules and vouchers, and all other schedules used as supporting documentation, exclusive of freight and passenger transportation records and payroll records.

#### TEMPORARY

Destroy 6 years 3 months after period covered by account.

authority based on  
NC1-GRS-81-12

supersedes  
GAO-Sched/1/2

132-05

U.S. SENATE VOUCHERS

Records generated by the Office of the Secretary of the Senate which are accountable officers' accounts maintained for site audit by GAO, consisting of statements of transactions, statements of accountability, related vouchers and schedules and supporting papers.

TEMPORARY

Destroy 12 years after the close of the fiscal year in which the account was paid.

*supercedes*  
NC1-217-81-1, *et. 1*  
*(same)*

✓ 132-06 BOND ISSUANCE SCHEDULES

Original and carbon copies of Bond Issuance Schedules,  
United States Savings Bonds, Treasury Department  
Form No. 1737 or equivalent--accounts of all disburs-  
ing officers.

TEMPORARY

Destroy 3 1/2 years after the periods covered by such  
schedules.

II-NNA-2845

Item 2 (same)

*superseded*  
GAO/sched/1/3

- ✓ 132-08 Original vouchers and supporting documents covering  
freight and passenger transportation charges of  
settled fiscal accounts of Accountable Officers of  
the United States Government covering payment for  
services furnished when the charges for any single  
bill of lading or transportation request are less than  
one hundred dollars, except as shown in Item 132-12  
thru 132-20, of this schedule.

TEMPORARY

Destroy 3 years after the period of the account.

NN-170-125

Item 1 (same)

*superseded*  
GAO/sched/1/1

- ✓ 132-10 Original vouchers and supporting documents covering  
freight and passenger transportation charges of  
settled fiscal accounts of Accountable Officers  
of the United States Government covering payments  
for services furnished for interstate transportation  
by motor, household goods, carriers, express,  
pipelines, rail, bus, and freight forwarders,

other transportation such as inland waterways or coastwise traffic, and for international transportation by freight forwarders of unaccompanied baggage or privately owned vehicles shipped separate from household goods; the charges for which are published in tariffs on file with the Interstate Commerce Commission or based on tenders or quotations, pursuant to Section 22 of the Interstate Commerce Act, offering rates, fares, or charges representing a reduction from those published in tariffs lawfully on file with the Interstate Commerce Commission, when the charges for any single bill of lading or transportation request are one hundred dollars or more, except as shown in Item 132-12 thru 132-20 of this schedule.

TEMPORARY

Destroy 3 years after the period of the account.

- 132-12 Original vouchers and supporting documents covering freight and passenger transportation charges of settled fiscal accounts of accountable officers of the United States Government covering payments for services furnished as specified in Item 132-08, 132-10, and 132-14 thru 132-20, of this schedule when any one of the following conditions exist:

NN-170-125

Item 2

(same)  
superseded GAO Sch 14/5

- a. Notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved.
- b. Deduction or collection action has been taken.
- c. Voucher contains inbound transit shipment(s).
- d. Parent voucher has print of paid supplemental bill associated.
- e. Voucher has become involved in litigation.
- f. Any other condition that requires the voucher to be retained beyond the 3 year disposal period, such as, detection of an undercharge.

TEMPORARY

Destroy 10 years after period of the account.

NN-170-125  
Item 3 (same)  
supersedes GAO-Sched 1/6

132-14 Original vouchers and supporting documents and micro-filmed reproductions thereof covering freight and passenger transportation charges of settled fiscal accounts of Accountable Officers of the United States Government covering payments for services furnished by motor, household goods, express, pipeline, air, rail, bus, and water carriers and freight forwarders or for other transportation, the charges for which are published in tariffs lawfully on file with any U.S. Federal or State transportation regulatory agency or the charges for which are applicable thereto at rates, fares, and charges established pursuant to section

*new item*

22 of the Interstate Commerce Act or other equivalent contract, arrangement, or exemption from regulation, except as shown in Item 132-12 of this schedule.

a. *original transportation payment documents*  
TEMPORARY

Destroy original transportation payment documents only after clearance in the audit, (i.e., no adjustments are made in the audit or no claims or legal actions concerning those documents are of record,) ~~and~~ and when microfilm copies of the original documents or certified or authenticated reproductions of the microfilms and a means of retrieving data from the microfilms are available.

*supplied by  
GPO/Schaf*

b. *film -*  
TEMPORARY

Destroy microfilm copies of the original documents or certified or authenticated reproductions of those microfilms 6 years after the period of the account.

- ✓ 132-16 Original vouchers and supporting documents covering freight charges of settled fiscal accounts of Accountable Officers of the United States Government covering payment for services furnished for international shipments of household goods (not including separately shipped unaccompanied baggage or privately owned vehicles) moved via freight forwarders, except as shown in Items 132-12, 132-14, and 132-20 of this schedule.

*new item*



TEMPORARY

Destroy 6 years after the period of the account.

- ✓ 132-18 Original vouchers and supporting documents covering freight and passenger transportation charges of settled fiscal accounts of Accountable Officer of the United States Government covering payments for services for (1) interstate and international transportation by air and water, the charges for which are published in tariffs on file with the Civil Aeronautics Board or the Federal Maritime Commission, (2) intrastate transportation by any mode, the charges for which are published in tariffs on file with any State transportation regulatory agency, and (3) interstate and intrastate transportation, the charges for which are applicable thereto under rates, fares, and charges established pursuant to contract, arrangement, or exemption from regulation when the charges for any single bill of lading or transportation request are one hundred dollars or more, except as shown in Items 132-12 thru 132-16 of this schedule.

*new item*

TEMPORARY

Destroy 6 years after the period of the account.

132-20 Original vouchers and supporting documents and  
microfilmed reproductions thereof covering freight  
and passenger transportation charges of settled fiscal  
accounts of Accountable Officers of the United States  
Government covering payments for services between or  
wholly within foreign countries furnished by carriers  
whose rates or charges are not subject to tariffs  
lawfully on file with any U.S. Federal or State trans-  
portation regulatory agency, when the charges for any  
single bill of lading or transportation request are  
one hundred dollars or more, except as shown in Item  
132-12 of this schedule.

TEMPORARY

*new item*

- a. Destroy original transportation payment documents  
only after clearance in the audit, (i.e., no adjust-  
ments are made in the audit or no claims or legal  
actions concerning those documents are of record,) *and*  
when microfilm copies of the original documents or  
certified or authenticated reproductions of the  
microfilms and a means of retrieving data from  
the microfilm are available.
- b. Destroy original transportation payment documents  
cleared in the audit, as defined in the foregoing  
paragraph, but no microfilm copies thereof have been  
made, 6 years after the period of the account.

- ✓ c. Destroy microfilm copies of the original documents or certified or authenticated reproductions of those microfilms 6 years after the period of the account.
- ✓ 132-22 Newspapers--supporting vouchers for advertising.
- TEMPORARY
- Destroy 3 1/2 years after the periods of the accounts in which they are submitted.
- ✓ 132-24 Meal tickets--originals
- TEMPORARY
- Destroy 3 1/2 years after the periods of the accounts in which they are submitted.
- ✓ 132-26 Copies of schedules of deposits to official credit.
- TEMPORARY
- Destroy after the depository accounts to which they pertain have been reconciled.
- ✓ 132-28 Gasoline sales tickets--original sales tickets filed in support of paid invoices for credit card purchases of gasoline.
- TEMPORARY
- Destroy after audit by GAO or when 3 years old, whichever is sooner.
- ✓ 132-30 Telephone toll tickets--originals and copies of toll tickets filed in support of telephone toll call payments.

352-S-311

Item 5 (same)  
supersedes GAO/Sched/1/8

352-S-311

Item 6 (same)  
supersedes  
GAO/Sched/1/9

II-NNA-688

Item 5  
(same)  
supersedes  
GAO/Sched/1/10

GRS 6

Item 7  
(same)  
supersedes  
GAO Sched/1/11

TEMPORARY

Destroy after audit by GAO or when 3 years old, whichever is sooner.

GRS 6  
Item 8 (same)  
*superseded*  
GAO/Sched/1/12

- ✓ 132-32 Telegrams--originals and copies of telegrams filed in support of telegraph bills.

TEMPORARY

Destroy after audit by GAO or when 3 years old, whichever is sooner.

GRS 6  
Item 9 (same)  
*superseded*  
GAO/Sched/1/13

- ✓ 132-34 Copies of Internal Requisitions filed in support of adjustment vouchers, SF 1081.

TEMPORARY

Destroy after audit by GAO or when 3 years old, whichever is sooner.

GRS 6  
Item 1b (same)  
*superseded*  
GAO/Sched/1/14

- ✓ 132-36 Standard Form No. 1170, "Redemption of Unused Ticket"  
--originals and/or copies.

TEMPORARY

Destroy 1 calendar year after the calendar year in which payments of the respective items were made.

II-NN-3509  
Item 1 (same)  
*superseded*  
GAO/Sched/1/15

- ✓ 132-38 Official travel authorizations (carbon copies of travel orders) issued to civilian officers and employees of all United States Departments and Agencies.

TEMPORARY

Destroy 5 full fiscal years from date of issue.

347-S-128  
Item 1 (same)  
*superseded*  
GAO/Sched/1/16

- ✓ 132-40 Copies of travel authorizations of military dependents and attached copies of Government requests for transportation which were forwarded to the General

Accounting Office by the military establishments for use in connection with the audit of payments for passenger transportation.

TEMPORARY

Destroy 1 year after audit of the account to which they relate.

- ✓ 132-42 Savings Bond Control. (Originals)

TEMPORARY

Destroy 3 1/2 years after the periods covered thereby.

- ✓ 132-44 Records created or accumulated by the General Accounting Office in connection with the audit and settlement of accountable officers' accounts consisting of GAO copy of certificate of Exceptions Outstanding, GAO form 366, and related papers.

TEMPORARY

Destroy 3 years after:

- (1) the date of transmittal of case to the Department of Justice, or
- (2) the date of clearance of a Certificate of Settlement of Account, or
- (3) the date the case would have been referred to the Department of Justice, except that such cases does not meet the requirements of referral.

- ✓ 132-46 Accountable officers' returns, comprising memorandum copies of all supporting vouchers, schedules,

II-NNA-3098

Item 2 (same)

*supersedes GAO/Sched/  
1/17*

352-S311

Item 2 (same)

*supersedes GAO/Sched/  
1/18*

NN-172-62

Item 1 (same)

*supersedes  
GAO/Sched/  
1/19*

documents, and related papers not otherwise provided for in this schedule (exclusive of freight records and payroll records).

TEMPORARY

Destroy 3 years after the period of the account.

- ✓ 132-48 General Accounting Office notices of exception (such as GAO Form 1100 formal or informal) and related correspondence.

TEMPORARY

Destroy 1 year after exception is reported as cleared by the General Accounting Office.

- ✓ 132-50 Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.

- a. Certificate covering closed account settlements, supplemental settlement, and final balance settlements.

TEMPORARY

Destroy 2 years after date of settlement.

- b. Certificates covering periodic settlement.

TEMPORARY

Destroy when subsequent certificate of settlement is received.

- ✓ 132-52 Records relating to the availability, collection, custody and deposit of funds, including appropriation

GRS 6  
Item 1b (same)  
*supersedes GAO/Sched/1/21*

GRS 6  
Item 2 (same)  
*supersedes GAO/Sched/1/21*

*supersedes GAO/Sched/1/22a*  
GRS 6  
Item 3a (same)

GRS 6  
Item 3b (same)  
*supersedes GAO/Sched/1/22b*

warrants and certificates of deposit (SF 201, 209 and 219), other than records covered by item 132-46.

TEMPORARY

Destroy when 3 years old.

- ✓ 132-54 Administrative correspondence, reports and data relating to voucher preparation, administrative audit and other accounting and disbursing operations.

- a. Files used for workload and personnel management purposes.

TEMPORARY

Destroy when 2 years old.

- b. All other files

TEMPORARY

Destroy when 3 years old.

- 132-56 Federal personnel surety bond files.

- ✓ a. Official copies of the bond and attached powers of attorney.

- (1) Bonds purchased prior to January 1, 1956.

TEMPORARY

Destroy 15 years after bond becomes inactive.

- (2) Bonds purchased after December 31, 1955.

TEMPORARY

Destroy 15 years after end of bond premium period.

- ✓ b. Other bond files, including other copies of bonds and related papers.

GRS 6  
Item 4 (same)  
supersedes GAO/Sched/1/24

GRS 6  
Item 5a (same)  
supersedes GAO/Sched/1/25a

GRS 6  
Item 5b (same)  
supersedes GAO/Sched/1/25b

GRS 6  
Item 6a(1)  
supersedes GAO/Sched/1/26a(1)

GRS 6  
Item 6a(2)  
supersedes (same)  
GAO/Sched/1/26a(2)

TEMPORARY

Destroy when bond becomes inactive or at end of  
bond premium period.

GRS 6  
Item 6 *b*

(same)

*superseded*  
*GAO/Sched/1/26b*



133 RECORDS PERTAINING TO THE  
ENFORCEMENT OF SPECIAL LEGISLATION

(These files relate to the GAO's work in monitoring and enforcing activities under special legislation identified below.)

133-02 CLEARANCE OF INFORMATION COLLECTION CASE FILES

Records consist of submissions, under Federal Reports Act, to GAO, of any information collecting documents (forms, regulations, questionnaires, etc.) that the agency intends to send to 10 or more respondents. Includes comments received from the public and notices to the Federal Register.

TEMPORARY

Cut off after case is closed; destroy when 3 years old.

10/23/81,  
withdrawn -  
this was  
covered  
by previous  
job as a  
1-time disposal, so  
does not need  
to appear in  
this schedule.

NC1-217-80-1

✓ 133-04 PROPERTIES OF AMERICANS DECEASED ABROAD

Documentation related to all functions performed while serving in the capacity of "Custodian and Conservator" set forth in GAO order 1161.1 as required by Section 1709 of the revised statutes, as amended by the Act of July 12, 1940, 22 U.S.C. 1175.

TEMPORARY

Destroy 6 years 3 months after period covered by the account.

previous job NC1-217-  
78-3;  
based on authority a.  
NC1-GRS-81-12

✓ 133-06 DISPOSAL APPROVAL FILES

Case files of requests from other agencies for approval of proposed records disposition schedules covered under Title 8 of the GAO Manual for Guidance of Federal Agencies.

TEMPORARY

Destroy <sup>in agency</sup> when superseded, obsolete, or no longer needed for administrative or reference purposes.

✓ 133-08 REQUEST FOR CONTRACTS

Files pertaining to Miller Act, 40 U.S.C. 270a-d as amended. Contains correspondence requesting certified copies of various documents such as contracts, payment bonds, final payment vouchers, or statements of the date of final settlement. Also, there are affidavits submitted to the Comptroller General as required under 40 U.S.C. 270c, letters from various administrative offices forwarding the above mentioned documents, letters transmitting payments and/or refunds for these reproduction services, and copies of correspondence transmitting the certified copies to requestors.

TEMPORARY

Cut off at end of FY after final action; destroy 3 years later.

NC1-217-76-1,  
Item 1  
(same)  
supersedes GAO/  
Sched/  
20/3

### 134 OTHER INVESTIGATORY RECORDS

(These files relate to GAO's role as an investigatory agency with the responsibility of handling complaints on improprieties in Federal Agencies, not filed elsewhere.)

#### 134-02 FRAUD HOTLINE SYSTEM

NNR  
These disk files record the vital information about calls from the Government fraud phone hotline. The data will be analyzed to discover which types of Government programs are more open to abuse or fraud. This system is subject to privacy restrictions.

#### TEMPORARY

DISPOSAL NOT AUTHORIZED, IF, at that time, Review when 5 years old. ~~At that time the programming~~ program office recommends disposition of any information, ~~office will determine if further retention is required.~~ submit SF-115 to NARS prior to any destruction of data

JH  
RTB  
E. Foster  
7/12/82