

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0490-2024-0002

Status: APPROVED
Date Approved: 04/14/2026

General Information

Agency or Establishment	Peace Corps
Record/Scheduling Group	0490 - Records of the Peace Corps
Records Schedule Applies To	Agency-wide
Schedule Subject	Enterprise Risk Management and Compliance Records
Additional Schedule Information	<p>Mandated by the Office of Management and Budget (OMB) to have an Enterprise Risk Management (ERM) program. ERM can help an agency focus on priorities, increase transparency, and promote better understanding by leadership of agency operations. The ERM program is intended to help organizations manage security and privacy risk, and to satisfy the requirements in the Federal Information Security Modernization Act of 2014 (FISMA), the Privacy Act of 1974, OMB policies, and Federal Information Processing Standards, among other laws, regulations, and policies. The Peace Corps uses the ERM process to support the identification and management of risks. Risk can be categorized at high level, medium level, or low level and actions taken to avoid, monitor, mitigate, and/or accept risks identified.</p> <p>The Office of the Chief Compliance Officer was established to develop and coordinate the Peace Corps' compliance system with Inspector General reports, Congressional mandates, and other regulations and laws.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No - the records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 7

Number of Temporary disposition items: 7

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0490-2024-0002

Item #	Title	Disposition
0001	Risk Register	Temporary
0002	Annual Assurance Statements	Temporary
0003	Enterprise Risk Management Program – Agency Risk Review Records	Temporary
0004	Enterprise Risk Management Working Files	Temporary
0005	Compliance Analysis Spreadsheets	Temporary
0006	Compliance Analysis Resources and Materials	Temporary
0007	Compliance Working Files	Temporary

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Records Schedule Items

DAA-0490-2024-0002-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Risk Register	
Item Description	The agency-wide risk register is a data collection log of risks that each Peace Corps office uses to proactively identify, analyze, and manage risks in a disciplined way. This risk register helps to inform strategic and operational plans and priorities, while providing assurance to the agency that the most significant risks to office-level objectives are being appropriately managed.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Cut off at end of Fiscal year.	
Retention Period	Destroy 6 year(s) after cutoff	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0490-2024-0002-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Annual Assurance Statements	
Item Description	Every year each office reviews the risk register for its office and can indicate if there are any changes. The statements may indicate actions taken or proposed for risks identified in that office. The Annual Assurance Statements are signed by the senior director / manager for the office and sent to Chief Financial Office (CFO). The CFO summarizes that information reported in the Annual Assurance Statements and includes that summary in the annual agency financial statement.	
Is this item media neutral?	Yes	

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Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Fiscal year.
Retention Period	Destroy 6 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0490-2024-0002-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Enterprise Risk Management Program – Agency Risk Review Records
Item Description	Records include a periodic statement of the macro-level risks to agency objectives and the agency's risk appetite for each category of risk. The agency Enterprise Risk Profile represents a prioritized set of risks that leadership has identified as the most significant risks threatening agency-wide objectives. This risk profile helps inform agency-wide strategic and operational priorities. The agency Risk Appetite Statement provides guidance on the amount of risk an organization is willing to accept in pursuit of its mission/vision. The risk appetite statement is established by the Peace Corps' most senior level leadership and serves as the guidepost to set strategy and select objectives.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	

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Final Disposition	Temporary
Cutoff Instructions	Cut off when superseded
Retention Period	Other: Destroy 6 years after cutoff but longer retention is authorized if needed for business purposes.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0490-2024-0002-0004	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Enterprise Risk Management Working Files
Item Description	Records related to the organization and administration of the Enterprise Risk Management (ERM) program . Records include but are not limited to ERM Council meeting agendas and meeting minutes, background materials, taskers, and decision memoranda etc. These records are required as part of an annual audit process with the Inspector General’s office and outside auditing entities to ensure that risks are identified, and appropriate actions are taken.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Fiscal year.
Retention Period	Other: Destroy 6 years after cutoff but longer retention is authorized if needed for business purposes
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0490-2024-0002-0005	STATUS: Active
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ITEM GENERAL INFORMATION	
Item Title	Compliance Analysis Spreadsheets
Item Description	The Compliance Analysis Spreadsheets track and record both quantitative and qualitative data related to the operations of the Compliance program for the Peace Corps. The spreadsheets include the relevant data to track and ensure compliance with internal and external agency requirements or use for analysis purposes.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
DAA-0490-2015-0001-0001	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Fiscal year.
Retention Period	Destroy 10 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0490-2024-0002-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Compliance Analysis Resources and Materials
Item Description	These resources and materials analyze the data tracked and recorded from Compliance Analysis Spreadsheets, as well as external spreadsheets and data resources of other agency offices, to consolidate, identify, list, and visualize common recurring, systemic issues and trends affecting the Peace Corps. The Compliance Analysis Resources and Materials developed for Overseas Posts and Headquarter offices include dashboards and reports which contain graphs and charts of analyzed data from the original sources.

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Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
DAA-0490-2015-0001-0002	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Fiscal year.
Retention Period	Other: Destroy 6 years after cutoff but longer retention is authorized if needed for business purposes.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0490-2024-0002-0007	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Compliance Working Files
Item Description	Consists of documents collected to respond to the Office of Inspector General's (OIG) financial audits, management alerts, program evaluations or investigations. Working files include correspondence between the Compliance Office and headquarters' offices or among the Compliance Office, overseas posts and Regions. An additional working file is the Compliance Office's Agency response memo, which becomes an appendix to the OIG final report.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation

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DAA-0490-2015-0001-0003	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off after close of recommendation or close of OIG case/recommendation.
Retention Period	Other: Destroy 6 years after cutoff but longer retention is authorized if needed for business purposes.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Edward Forst (Acting Archivist)	04/14/2026



Office of the Chief
Records Officer for the
U.S. Government

This schedule was signed outside of the ERA system using Standard Form 115.

NARA staff updated ERA to reflect this approval, moving the record schedule into an approved status. The approved status allows for generation of a PDF indicating that the schedule has been approved, and allows an agency to use the schedule in ERA to create transfer requests. The approved date in the system and on the PDF version of the records schedule reflects the system actions.