

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See instructions on page 2)

To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
 WASHINGTON, DC 20408

1. From (Agency or establishment)
 U.S. Government Accountability Office

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
 Carol Brock

5. TELEPHONE
 202/512-3435

LEAVE BLANK (NARA use only)

JOB NUMBER
 71-411-06-2

DATE RECEIVED
 9/6/2006

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
 1/27/07

ARCHIVIST OF THE UNITED STATES
 Allen W. ...

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 7/29/06
~~8/12/04~~

SIGNATURE OF AGENCY REPRESENTATIVE
Carol Brock

TITLE
 Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached schedule for Mission.		

... ..



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.
Washington, DC 20548

October 5, 2015

Kate Flaherty
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740

Dear Ms. Flaherty:

GAO would like to make the following changes to item 2.3 in the GAO mission records schedule, authority number N1-411-06-2:

Add a list item that reads:

"Represented the primary and only source of government-wide information and data on the results of federal agency financial audits, such as the procedures, analyses, and conclusions maintained in GAO's Financial Audit System."

Please feel free to contact Courtney Anderson (202) 512-4442 or me if you have any questions.

Sincerely yours,

A handwritten signature in cursive script, reading 'Nancy O. Hunn'.

Nancy O. Hunn, CIPP-G
GAO Records Officer



NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001
www.archives.gov

MEMORANDUM

Date: March 20, 2015
To: Memo to the file
From: Kate Flaherty, Supervisor, Appraisal Team 3
Subject: Updates to the N1-411-06-2 Flexible Schedule

In January of 2014, GAO contacted NARA to make several updates to their big bucket records schedule that was approved in 2007. Some of these updates required a new records schedule as they were being moved from one bucket schedule to another or were entirely new electronic systems that could not be fit into existing bucket descriptions.

These series include Special Investigations, originally contained in the Administrative bucket (N1-411-06-1, item 1.2) and the FraudNet system, originally contained in the Policy bucket (N1-411-06-3, item 3.2) that have now being shifted to the Mission bucket with the approval of this schedule. Also included in this schedule are two new electronic series, Mission-related Data Sets and Engagement Management Systems.

All four of these Mission Bucket series have now been approved under DAA-0411-2015-0001.



1/17/14
NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001
www.archives.gov

MEMORANDUM

Date: January 17, 2014
To: Memo to the File
From: Kate Flaherty, Supervisor, Appraisal Team 3, ACNR
Subject: Updates to the N1-411-06-2 Flexible Schedule

GAO would like to make several updates to the Mission Records Retention Schedule, authority number N1-411-06-2, to reflect changes in GAO's business processes and organizational structure that have occurred since the big bucket schedules were approved in 2007.

Following is a summary of the updates to the schedule. The full revised Mission schedule and crosswalk that details the changes being made are attached.

- Updated description of Audit Documentation (item 2.1), and clarified exception for Engagement Confidential Respondent Identification Files.
- Special Investigations, including engagements with an investigative component, are now scheduled as Mission records, item 2.4.
- FraudNet records are now scheduled as Mission records, item 2.5.
- Added two new record types to the Mission bucket: Mission-related Data Sets (item 2.6), and Engagement Management Systems (item 2.7).

GAO Records Retention Schedules - 2014 Revision

Schedule 2: Mission Schedule (N1-411-06-2)

The mission of the GAO is to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. GAO performs a wide-range of audits in the agency's work and the majority of these engagements are conducted in response to congressional mandates or requests. The engagements include evaluations of federal programs and performance, financial and management audits, and policy analyses. GAO policies and procedures define the records that make up the Mission Schedule. They include audit documentation, data collected from the agencies, research tools, and systems to track and inventory the engagement process and product as well as communications with Congress.

As these records are created and maintained in different media and formats, this records schedule is written to authorize the disposition of the records in any media (media neutral). GAO would maintain these records throughout their life cycle. Those engagements that are historically significant will be transferred to NARA when 20 years old. If the Archives accepts the transfer as an accession, the information would be transferred to NARA electronically.

Item 2.1: Audit Documentation and Engagement Management

Records that include all relevant material (excluding the final report) obtained or developed in connection with managing and conducting an audit assignment, including the evidence (evidentiary files) and documentation to support findings, actions taken, steps and analyses performed, conditions encountered, conclusions reached, recommendations made, and follow-up activities. The records are comprised of two pieces – evidentiary files and the Engagement Management Product Files (EMPF). Engagement documentation may consist of electronic and paper documents, data, databases, data models, artifacts, audio or video materials, photographs, maps, and other evidentiary items.

In addition, GAO follows up on federal agency actions in response to GAO recommendations, and creates case files supporting the accomplishment reports.

Disposition: **TEMPORARY.** Destroy or delete 5 years after engagement is closed.

NOTE: Records for audits that include an investigative component are retained for 10 years (see Item 2.4).

Exception:

Engagement Confidential Respondent Identification Files, consisting of the identity of individuals or organizations providing very sensitive personal or commercial information to GAO in audits where respondents have been given an assurance of confidentiality and any findings, conclusions, and reports will be made at an aggregated level so that no information is attributable to any individual.

Disposition: **TEMPORARY.** Upon verification of non-identifiable information relevant to the audit, the identifying information will be destroyed. (N1-411-03-1, approved 9/23/03)

Item 2.2: Congressional Relations

2.2.a: Records documenting interaction with Congress, such as engagement request and acceptance letters, other correspondence with members and committees, staff details to Congress, schedules of hearings and testimony, and the systems that track significant contact and activities.

Disposition: **TEMPORARY.** Destroy or delete after 7 years.

2.2.b: Records documenting scheduled GAO appearances at Congressional Hearings.

Disposition: **TEMPORARY.** Destroy or delete after 10 years.

Item 2.3: Historically significant engagements, based on the following criteria –

- Established a primary source of information on an issue of far-reaching national or international importance;
- Collected information on matters that are less far-reaching but significant to America's heritage or culture;
- Had a significant impact on GAO, pioneered GAO's entry into an issue of national importance, or laid the groundwork for applying new and/or advanced evaluation methodologies;
- Resulted in extensive national media attention; or
- Resulted in the approval of new legislation by Congress, or substantive changes to existing legislation.
- Special investigations files selected based on significant Comptroller General, public, and/or Congressional scrutiny.

Disposition: **PERMANENT.** Retain for 20 years, then transfer to the National Archives in 5 year blocks when the most recent record in the block is 20 years old, in accordance with regulations and procedures in place at the time of transfer.

ITEM MOVED FROM ADMINISTRATIVE TO MISSION SCHEDULE – old 1.2

Item 2.4: Special Investigations

Investigative case files relating to special investigations of fraud, waste, and abuse; evaluations of security vulnerabilities; and other investigative services. Also included are audit documentation records for engagements that include an investigative component. Records include, but are not limited to, requests from Congress, investigation plans, background checks, correspondence, memorandums, reports, background materials, case disposition or referral, and related records.

Disposition: **TEMPORARY.** Destroy or delete 10 years after case is closed.

Disposition authority number DAA-0411-2015-0001-0001

KF 3/20/15

*ITEM MOVED FROM POLICY TO MISSION SCHEDULE – Old 3.2 and part of 3.3*Item 2.5: FraudNet

Records relating to the FraudNet hotline for reporting allegations of fraud, waste, and abuse, including mismanagement of federal funds. Records include information related to individual complaints or matters, as well as tracking information, reports, correspondence, and other records that support the management and operation of FraudNet.

Disposition: **TEMPORARY.** Destroy or delete after 5 years.

Disposition authority number DAA-0411-2015-0001-0602

NEW ITEM:Item 2.6: Mission-related Data Sets

Mission-related data obtained from agencies or other entities that are maintained by GAO for data analysis that support multiple engagements, longitudinal studies, or other long-term engagement-related analytical studies.

Disposition: **TEMPORARY.** Destroy or delete data 5 years after termination of data use.

NOTES:

(1) Original data sets obtained from agencies for use in a specific engagement and are no longer needed should be returned to the originating agency.

(2) Survey-based data issued with GAO products as Technical Appendices or E-Supplements are Permanent records (see Schedule 3, Item 3.6).

Disposition authority number DAA-0411-2015-0001-0003

NEW ITEM:Item 2.7: Engagement Management Systems

Management information systems that support the lifecycle of GAO's engagement process, from Congressional request and acceptance, through product issuance and engagement closeout.

Disposition: **TEMPORARY.** Destroy or delete 10 years after engagement is closed, or when associated engagement documentation has been dispositioned, whichever is later.

Disposition authority number DAA-0411-2015-0001-0004

2014 MISSION SCHEDULE CROSSWALK (N1-411-06-2)

Current Schedule Item	Current Description	Disposition	Change/Revision	Description	Disposition
Item 2.1	Audit documentation and engagement management	TEMPORARY. Destroy or Delete after 5 years.	<i>Add clarification of audit documentation formats, from GAO Policy Manual.</i>	After the sentence "The records are comprised of two pieces – evidentiary files and the Engagement Management and Product File (EMPF)," add: Audit documentation may consist of electronic and paper documents, data, databases, data models, artifacts, audio or video materials, photographs, maps, and other evidentiary items.	No change
Item 2.1	Audit documentation and engagement management-Engagement confidential respondent identification files		<i>Identify as an exception to 5-year retention. As written, the retention exception is not clear.</i>	<u>Exception:</u> Engagement confidential respondent identification files , consisting of the identity of individuals or organizations providing very sensitive personal or commercial information to GAO in audits where respondents have been given an assurance of confidentiality and that any findings, conclusions, and reports will be at an aggregated level so that no information is attributable to any individual or organization.	TEMPORARY. Upon verification of non-identifiable information relevant to the audit, the identifying information will be destroyed. (N1-411-03-1, approved 9/23/2003)

2014 MISSION SCHEDULE CROSSWALK (N1-411-06-2)

Current Schedule Item	Current Description	Disposition	Change/Revision	Description	Disposition
Item 1.2 (Administrative schedule)	Special Investigations	TEMPORARY. Destroy or Delete after 10 years.	<i>Move from Administrative to Mission schedule to reflect restructure of FAIS as a mission team, effective March 1, 2011.</i> <i>Also include engagements with an investigative component.</i>	Item 2.4: Special Investigations Investigative case files relating to special investigations of fraud, waste, and abuse; evaluations of security vulnerabilities; and other investigation services. Also included are audit documentation records for engagements that include an investigative component.	No change
Item 2.3	Historically significant engagements	PERMANENT. Transfer to the National Archives in 5 year blocks when the most recent record in the block is 5 years old, in accordance with regulations and procedures in place at the time of transfer.	<i>Move historically significant Special Investigations from Administrative schedule, Item 1.8, to Mission schedule, Item 2.3.</i> <i>Update transfer instructions to 20 years</i>	Add: • Special investigations - files selected based on significant Comptroller General, Public, and/or Congressional scrutiny.	PERMANENT. Retain for 20 years , and then transfer to the National Archives in 5 year blocks when the most recent record in the block is 20 years old, in accordance with regulations and procedures in place at the time of transfer.
Item 3.2 (Policy schedule)	Fraud	TEMPORARY. Destroy or Delete after 7 years.	<i>Move from Policy to Mission schedule and add series description</i> <i>Per the business owner, FraudNet records (referrals, summary reports, etc.) are organized and managed in DM by engagement code, with a new code every year. The records are managed as mission workpapers with the standard retention requirement of 5 years.</i>	Item 2.5: FraudNet Records relating to the FraudNet hotline for reporting allegations of fraud, waste, and abuse, including mismanagement of federal funds. Records include information related to individual complaints or matters, as well as tracking information, reports, correspondence, and other records that support the management and operation of FraudNet.	TEMPORARY. Destroy or delete after 5 years.

2014 MISSION SCHEDULE CROSSWALK (N1-411-06-2)

Current Schedule Item	Current Description	Disposition	Change/Revision	Description	Disposition
<i>NEW</i>			<i>Add new item</i>	<p>Item 2.6: Mission-related Data Sets</p> <p>Mission-related data obtained from agencies or other entities that are maintained by GAO for data analysis that support multiple engagements, longitudinal studies, or other long-term engagement-related analytical studies.</p> <p>NOTES:</p> <p>(1) Original data sets obtained from agencies for use in a specific engagement and are no longer needed should be returned to the originating agency.</p> <p>(2) Survey-based data issued with GAO products as Technical Appendices or E-Supplements are Permanent records (see Schedule 3, Item 3.6).</p>	TEMPORARY. Destroy or delete data 5 years after termination of data use.
<i>NEW</i>			<i>Add new item</i>	<p>Item 2.7: Engagement Management Systems</p> <p>Management information systems that support the lifecycle of GAO's engagement process, from Congressional request and acceptance, through product issuance and engagement closeout.</p>	TEMPORARY. Destroy or delete 10 years after engagement is closed, or when associated engagement documentation has been dispositioned, whichever is later.