

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2017-0008

Status: APPROVED
Date Approved: 10/21/2017
Last Modified: 11/04/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	General Records Schedule 5.7: Agency Accountability Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>This schedule covers records about agency accountability to itself, external oversight authorities, and to a limited extent the public, on administrative matters.</p> <p>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 6

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 3

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Outline of Records Schedule Items for DAA-GRS-2017-0008

Item #	Title	Disposition
0001	Internal administrative accountability and operational management control records.	Temporary
0002	Internal control review, response, and mitigation management records.	Temporary
0003	Administrative directives and notices.	Temporary
0004	Records about authorizing and managing report requirements and parameters.	Temporary
0005	Mandatory reports to external Federal entities regarding administrative matters.	Temporary
0006	Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.	Temporary

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Records Schedule Items

DAA-GRS-2017-0008-0001		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Internal administrative accountability and operational management control records.	
Item Description	<p>Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office’s (GAO) Standards for Internal Control in the Federal Government (the “Green Book”); and similar requirements or directives. Includes:</p> <ul style="list-style-type: none"> • copies of internal and external directives outlining management control policy • management control plans and records of the planning process • records of management reviews • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • risk analyses and risk profiles • internal controls over reports • feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) • records tracking assignments, tasks, and responsibilities • administrative correspondence <p>Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).</p> <p>Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p>Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.7, item 010	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-GRS-91-005 / 1/A	No
N1-GRS-91-005 / 1/B	No
N1-GRS-91-005 / 1/C	No
N1-GRS-91-005 / 1/D	No
N1-GRS-98-002 / 23	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-GRS-2020-0001-0001 on 05/30/2023.	
Final Disposition	Temporary
Retention Period	Other: Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2017-0008-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Internal control review, response, and mitigation management records.
Item Description	Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions. Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.7, item 020
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-GRS-91-005 / 1/F/1	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2017-0008-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Administrative directives and notices.
Item Description	Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development. Exclusion: Documents related to mission activities (agencies schedule these separately).
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.7, item 030
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
NC1-GRS-81-005 / 3/C	No
NC1-GRS-81-005 / 3/D	No

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when superseded, obsolete, or no longer needed for business, whichever is later.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2017-0008-0004		STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION			
Item Title	Records about authorizing and managing report requirements and parameters.		
Item Description	Processing and submission files on reports an agency creates or proposes. Includes copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
MANUAL CITATION			
Agency Code	GRS 5.7, item 040		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
NC1-GRS-80-007 / 1	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
DO NOT USE. Superseded By: DAA-GRS-2020-0001-0002 on 05/30/2023.			
Final Disposition	Temporary		
Retention Period	Other: Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.		

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ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2017-0008-0005	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Mandatory reports to external Federal entities regarding administrative matters.
Item Description	<p>Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements and the FAIR Act. Examples include:</p> <ul style="list-style-type: none"> • Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent • Annual Performance Plan, Annual Performance Report, or equivalent • Statement of Assurance (per FMFIA), or equivalent • Information Collection Budget • report on financial management systems' compliance with requirements (per FMFIA), or equivalent • information collection clearances • report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) • EEOC reports • Analysis and Action Plans and other reports required by EEOC's MD 715 • No FEAR Act reports • service organization auditor report, or equivalent • annual strategic review • identified material weaknesses and corrective actions report • improper payments report • premium class travel report • report on property provided to nonfederal recipients, schools, and nonprofit educational institutions

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- feeder reports to the Status of Telework in the Federal Government Report to Congress
 - feeder reports to GSA fleet reports
 - E-Government status and compliance report (per PRA)
- Includes ancillary records such as:
- background and research records
 - submission packets and compilations
 - related files

Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.

Exclusion 2: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040 cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080 covers these).

Is this item media neutral? Yes

Is this item a Big Bucket?

MANUAL CITATION

Agency Code GRS 5.7, item 050

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities? Yes

Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
GRS 13, dated 1952, item 6a	No	
GRS 13, dated 1952, item 6b	No	
N1-GRS-05-002 / 18/A	No	
N1-GRS-05-002 / 18/B	No	
N1-GRS-87-016 / 1	No	
Is this item a deviation from the GRS?	No	

DISPOSITION INSTRUCTION

DO NOT USE. Superseded By: DAA-GRS-2020-0001-0003 on 05/30/2023.

Final Disposition Temporary

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

ADDITIONAL INFORMATION

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GAO Approval Required	No

DAA-GRS-2017-0008-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.
Item Description	<p>Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof.</p> <p>Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).</p> <p>Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.7, item 060
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
Retention Period	Other: Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.

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ADDITIONAL INFORMATION	
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Are any of the records covered by this item national security classified?	
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GAO Approval Required	No
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Signatory Information

Action	User	Date
Approve	David Ferriero	10/21/2017