

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on page 2)		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	721-411-06-1
1. From (Agency or establishment) U.S. Government Accountability Office		DATE RECEIVED	9/6/2006
2. MAJOR SUBDIVISION		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Carol Brock	202/512-3435	3/20/07	A. M. 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 2 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 3/29/06 8/12/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Carol Brock</i>	TITLE Records Management Officer
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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 GRS OR SUPERSEDED JOB CITATION	10.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 Administrative.		



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 1.4 Inspector General Final Reports in the GAO administrative records schedule, authority number N1-411-06-1:

Change the description to:

"Office of Inspector General's final audit, investigation, evaluation, and other final OIG reports."

Change the disposition instructions to:

"TEMPORARY Destroy or Delete after 20 years."

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

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Nancy Hunn', written over a large, faint circular stamp or watermark.

Nancy O. Hunn, CIPP/G
GAO Records Officer



GAO

Accountability * Integrity * Reliability

United States Government Accountability Office
Washington, DC 20548

May 22, 2013

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 the disposition instructions for permanent records in the GAO administrative records schedule, authority number: N1-411-06-1:

In the introductory paragraph, change the last sentence to:

“The permanent records will be transferred to NARA when 20 years old in accordance with regulations and procedures in place at the time of transfer.”

Item 1.8, change the disposition instructions to:

“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 NARA regulations and procedures in place at the time of transfer.”

Note: Publication, Graphics, and Video Services records will be transferred to NARA in 5 years in accordance with NARA regulations and procedures in place at the time of transfer.”

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

Sincerely yours,

Nancy O. Hunn
GAO Records Officer



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 N1-411-06-1 Flexible Schedule

GAO would like to make several updates to the Administrative Records Retention Schedule, authority number N1-411-06-1, 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 Administrative schedule and crosswalk that details the changes being made are attached.

- Updated the list of sub-categories in item 1.1 to refine and clarify the scope of this common Administrative Support retention category.
 - Added: Employee Organizations, Employee Suggestion Program, Field Operations, Workforce Planning and Staffing
 - Clarified: Inspector General records (excludes Final Reports); PAB (includes EEO Oversight and PAB OGC) and Training records (includes Appropriations Law Forum and Training)
 - Removed: Non-Major Rules, Safety, Special Investigations (covered elsewhere)
- Special Investigations case files (items 1.2 and 1.4) have been moved to the Mission bucket and consolidated into a single 10-year retention category.
- Budget Administration records (item 1.4) have been moved to a new Policy bucket category for Planning, Budgeting and Performance Accountability.
- Updated description of Personnel Appeals Board investigation and adjudication case files (item 1.5).
- Changed names and revised Environmental Health and Safety (EH&S) (item 1.3) and EH&S Compliance Monitoring and Oversight (item 1.7) records descriptions, to clarify scope and distinguish between the two categories that had the same name. Changed name of item 1.6 from Security to Security Clearance Statements.
- Added two new record types to the Administrative bucket: Transitory Records (item 1.9), and Data Backups (item 1.10).

GAO Records Retention Schedules - 2014 Revision

(Approved by the National Archives and Records Administration in FY07. Effective October 1, 2007, apply to all records of all formats currently in GAO offices, regardless of creation date.)

Schedule 1: Administrative Schedule (N1-411-06-1)

The Administrative Schedule covers common housekeeping and administrative program management functions carried out across the agency that support GAO's mission and routine operations, but do not directly document the performance of mission functions. Administrative records relate to common agency-wide functions such as: budget and finance, communications, facilities, health and safety, information technology and services, payroll and benefits, personnel, procurement and supply, public and congressional relations, security and protective services, and travel. This records schedule covers administrative support records represented and not represented by the General Records Schedules (GRS), and covers records in all formats.

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. The permanent records will be transferred to NARA when 20 years old in accordance with regulations and procedures in place at the time of transfer.

Item 1.1: Administrative support

General administrative support records, consolidated under one common, temporary retention. Exclusions/Exceptions are noted. These records include:

- Administrative – General
- Budget – General (Excluding historically significant information identified in item 1.8)
- Building Management – General (Excluding historically significant information identified in item 1.8)
- Employee Organizations
- Employee Suggestion Program
- Equal Employment Opportunity
- Field Operations
- Finance
- Freedom of Information/Public Access
- Human Capital Management (Excluding Official Personnel Folders – see exception below)
- Records Management
- Information Services/Libraries
- Information Systems/Technology
- Inspector General (Excluding Inspector General Final Reports – see item 1.4)
- Mail and Couriers
- Pay and Benefits
- Personnel Appeals Board (Including EEO Oversight and PAB OGC)
- Procurement
- Property Management
- Public Affairs – General (Excluding historically significant information identified in item 1.8)

- Publication, Graphic & Video Services – General (Excluding historically significant information identified in item 1.8)
- Security
- Telecommunications
- Training (Including Appropriations Law Forum and Training)
- Travel
- Vehicle Management
- Workforce Planning and Staffing

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

Exception:

Human Capital - Official Personnel Folders travel with the employee or transfer to the National Personnel Records Center, St. Louis, MO, when staff retire or separate from Federal service, in accordance with Office of Personnel Management regulations and GRS 1.

Item 1.2. Special Investigations – *Moved to Mission Schedule; See Item 2.4*

Item 1.3. Environmental Health and Safety

Records that support the general policies, procedures, program management, and operation of GAO's Environmental Health and Safety program. These records document routine facility and equipment safety inspections, investigations that involve health and safety, fire protection and prevention, and safety training. They include, but are not limited to, reports, memoranda, briefing files, problem reports and inspection surveys, property and accident investigation case files, complaints from GAO personnel about potential safety hazards, special studies, interagency agreements and liaison information, and program policies and guidance.

Disposition: **TEMPORARY.** Destroy or delete after 15 years.

Item 1.4. Inspector General Final Reports

Office of Inspector General's final audit, investigation, evaluation, and other final OIG reports.
~~Office of the Inspector General's internal audit and evaluation reports. These records include, but are not limited to, the final audit or evaluation report, initiation papers, audit methodology and guidelines, and rebuttals and other comments on the reports.~~

change per GAO request 10/5/15

Disposition: **TEMPORARY.** Destroy or delete 20 years after report is issued.

Remove Budget Administration (see new Policy item 3.8) and Special Investigation Case Files (see Mission item 2.4)

Item 1.5. Personnel Appeals Board

Records supporting the investigation and adjudication functions of the Personnel Appeals Board (PAB) and the PAB Office of General Counsel (OGC). Adjudicatory materials include docketed case files consisting of pleadings and administrative judge orders, findings and Board decisions.

PAB OGC records include investigations and litigation case files, case tracking systems, and contact files.

Disposition: **TEMPORARY.** Destroy or delete 30 years after case is closed.

Item 1.6. Security Clearance Statements

Security Clearance Statements (GAO Form 71 or equivalent) for consultants, contractors, and non-GAO employees issued GAO secret or Top Secret security clearances. The last or most recent statement is maintained for 70 years after contract is terminated or the employee separates. (GAO employees' statements are transferred to Human Capital Office and filed with the employee's Official Personnel Folder.)

Disposition: **TEMPORARY.** Destroy or Delete after 70 years.

Item 1.7. Environmental Health and Safety Compliance Monitoring and Oversight

Records pertaining to indoor air quality, water quality, lead monitoring, and oversight of activities relating to asbestos and hazardous materials, including abatement and demolitions, as well as information pertaining to personnel protection and fitness testing. This category also includes fire, safety, health, and industrial hygiene contract files. Records include, but are not limited to, monitoring and oversight records, hazardous waste manifests, safety data sheets, medical exams, and medical records.

Disposition: **TEMPORARY.** Destroy or Delete after 75 years.

Exception:

Records containing information about the presence, location and quantity of asbestos in the building are kept for the duration of building ownership and are transferred to successive owners.

Item 1.8. Historically significant records to be transferred to the National Archives of the United States:

- GAO budget submission and testimony
- Building Management - historically significant building construction and renovation information, including but not limited to As-Built Drawings, Architectural Renderings, and Photographic records.
- Public Affairs – Press Releases
- Publication, Graphic & Video Services – GAO publications, posters, and historically significant audio-visual records

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 NARA regulations and procedures in place at the time of transfer.

Note: Publication, Graphics, and Video Services records may be transferred to NARA in 5 years.

NEW ITEM:

Item 1.9: Transitory Records

Records of short-term interest that have minimal or no documentary or evidential value. Included are such records as: routine notifications of meetings, requests for information or publications and copies of replies which require no administrative action or decision, transmittal information that does not add any information to that contained in the transmitted materials, suspense files or to-do lists that serve as reminders, and extra copies of documents when the record copy is filed in the agency recordkeeping system. Also included are non-record emails not filed in the electronic recordkeeping system, computer system transaction logs, and video surveillance tapes.

Disposition: TEMPORARY. Destroy or delete after one year or sooner if no longer needed for business purposes.

NEW ITEM:

Item 1.10: Data Backups

Backup files maintained for the purpose of restoring information lost as a result of system failure or other unintentional loss of data.

Disposition: TEMPORARY. Retain for 6 months, then delete, overwrite, or recycle.

2014 ADMINISTRATIVE SCHEDULE CROSSWALK (N1-411-06-1)

Current Schedule Item	Current Description	Disposition	Change/Revision	New Description	Disposition
Item 1.1	Administrative support records - Inspector General - Personnel Appeals Board - Training	TEMPORARY. Destroy or delete after 7 years.	<i>Clarify scope of Inspector General, PAB and Training records</i>	- Inspector General (Excludes Inspector General Final Reports – see item 1.4) - Personnel Appeals Board (Includes EEO Oversight and PAB OGC) - Training (Includes Appropriations Law Forum and Training)	TEMPORARY. Cutoff files at end of fiscal year or when activity is completed. Destroy or Delete 7 years after cutoff.
Item 1.1	Administrative support records		<i>Add items</i>	- Employee Organizations - Employee Suggestion Program - Field Operations	TEMPORARY. Cutoff files at end of fiscal year or when activity is completed. Destroy or Delete 7 years after cutoff.
Item 1.1	Administrative support records - Non-Major Rules - Safety - Special Investigations		<i>Remove items These items are now covered by other series</i>		No change
Item 1.2	Special Investigations	TEMPORARY. Destroy or delete after 10 years.	<i>Move to Mission schedule</i>	See Mission schedule – item 2.4	No change
Item 1.3	Safety	TEMPORARY. Destroy or delete after 15 years.	Environmental Health and Safety <i>Revise name and description to reflect current program</i>	Records that support the general policies, procedures, program management, and operation of GAO's Environmental Health and Safety program. These records document routine facility and equipment safety inspections, investigations that involve health and safety, fire protection and prevention, and safety training. They include, but are not limited to, reports, memoranda, briefing files, problem reports and inspection surveys, property and accident investigation case files, complaints from GAO personnel about potential safety hazards, special studies,	TEMPORARY. Cutoff at end of fiscal year. Destroy or Delete 15 years after cutoff.

2014 ADMINISTRATIVE SCHEDULE CROSSWALK (N1-411-06-1)

Current Schedule Item	Current Description	Disposition	Change/Revision	New Description	Disposition
				interagency agreements and liaison information, and program policies and guidance.	
Item 1.4	Budget Administration, Inspector General, and Special Investigations	TEMPORARY. Destroy or delete after 20 years.	See revision for each component item below.		
Item 1.4	Inspector General	TEMPORARY. Destroy or delete after 20 years.	Inspector General Final Reports <i>Adding clarification</i>	Office of the Inspector General's internal audit and evaluation report files. These records include, but are not limited to, the final audit or evaluation report, initiation papers, audit methodology and guidelines, and rebuttals and other comments on the reports.	TEMPORARY. Destroy or Delete 20 years after audit or investigation is closed.
Item 1.4	Budget Administration	TEMPORARY. Destroy or delete after 20 years.	<i>Move to new record series for Strategic Planning, Budgeting and Performance Accountability</i>	See Policy schedule item 3.8 (new)	No change
Item 1.4	Special Investigations	TEMPORARY. Destroy or delete after 20 years.	<i>Delete from Administrative Schedule</i>	<i>GAO no longer maintains separate categories of investigative case files. Cases referred to another agency become the record of that agency. 20 year retention no longer applies - 10 years is sufficient for all investigative case files</i>	
Item 1.5	Personnel Appeals Board	TEMPORARY. Destroy or delete after 30 years.	<i>Revise description to include PAB OGC records</i>	Records supporting the investigation and adjudication functions of the Personnel Appeals Board (PAB) and the PAB Office of General Counsel (OGC). Adjudicatory materials include docketed case files consisting of pleadings and administrative judge orders, findings and Board decisions. PAB OGC records include investigations and litigation case files, case tracking systems, and contact files.	TEMPORARY. Destroy or Delete 30 years after case is closed.

2014 ADMINISTRATIVE SCHEDULE CROSSWALK (N1-411-06-1)

Current Schedule Item	Current Description	Disposition	Change/Revision	New Description	Disposition
Item 1.6	Security	TEMPORARY. Destroy or delete after 70 years.	Security Clearance Statements <i>Revise name to clarify scope of record series</i>	Security Clearance Statements (GAO Form 71 or equivalent) for consultants, contractors, and non-GAO employees issued GAO secret or Top Secret security clearances. The last or most recent statement is maintained for 70 years after contract is terminated or the employee separates. (GAO employees' statements are transferred to Human Capital Office and filed with the employee's Official Personnel Folder.)	TEMPORARY. Destroy or Delete 70 years after employee separates or contract is terminated.
1.7	Safety	TEMPORARY. Destroy or delete after 75 years.	Environmental Health and Safety Compliance Monitoring and Oversight <i>Revise name and description to clarify scope and distinguish from item 1.3. Add exception for retention of asbestos-related records.</i>	Records pertaining to indoor air quality, water quality, lead monitoring, and oversight of activities relating to asbestos and hazardous materials, including abatement and demolitions, as well as information pertaining to personnel protection and fitness testing. This category also includes fire, safety, health, and industrial hygiene contract files. Records include, but are not limited to, monitoring and oversight records, hazardous waste manifests, safety data sheets, medical exams, and medical records.	TEMPORARY. Cutoff at end of fiscal year. Destroy or Delete 75 years after cutoff. <u>Exception:</u> Records containing information about the presence, location and quantity of asbestos in the building are kept for the duration of ownership and are transferred to successive owners.
1.8	Historically significant records to be transferred to the National Archives	PERMANENT. Transfer to the National Archives every 5 years in accordance with NARA regulations and procedures in place at the time of transfer.	<i>Remove Special Investigations – moved to Mission schedule item 2.3</i> <i>Update transfer instructions to 20 years.</i>	No change to remaining items	PERMANENT. Retain for 20 years, then transfer to the National Archive in five year blocks when the most recent record in the block is 20 years old, in accordance

2014 ADMINISTRATIVE SCHEDULE CROSSWALK (N1-411-06-1)

Current Schedule Item	Current Description	Disposition	Change/Revision	New Description	Disposition
					with NARA regulations and procedures in place at the time of transfer. Note: Publication, Graphics, and Video Services records may be transferred to NARA in 5 years.
NEW			<i>Add new item</i>	Item 1.9: Transitory Records Records of short-term interest that have minimal or no documentary or evidential value. Included are such records as: routine notifications of meetings, requests for information or publications and copies of replies which require no administrative action or decision, transmittal information that does not add any information to that contained in the transmitted materials, suspense files or to-do lists that serve as reminders, and extra copies of documents when the record copy is filed in the agency recordkeeping system. Also included are non-record emails not filed in the electronic recordkeeping system, computer system transaction logs, and video surveillance tapes.	TEMPORARY. Destroy or delete after one year or sooner if no longer needed for business purposes.
NEW			<i>Add new item</i>	Item 1.10: Data Backups Backup files maintained for the purpose of restoring information lost as a result of system failure or other unintentional loss of data.	TEMPORARY. Retain for 6 months, then delete, overwrite, or recycle.