

GENERAL RECORDS SCHEDULE 5.7: Administrative Management and Oversight Records

This schedule covers records about administrative management activities in Federal agencies. It includes activities such as internal controls oversight and reporting, policies and procedures, and results management and reporting, but only when they relate to administrative functions. It also includes some records related to the Federal Register.

Exclusions and Conditions

1. Excluded from this schedule are records about management and oversight of non-administrative activities, including agency mission-related performance management records, strategic plans, risk management records, audit records, organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories.
2. 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.

Item	Records Description	Disposition Instruction	Disposition Authority
Administrative Internal Controls			
010	<p>Administrative internal control management records.</p> <p>Records related to 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.</p> <p>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 • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions • 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 • related correspondence 	<p>Temporary.</p> <p>Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2020-0001-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<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>		
020	<p>Internal control review, response, and mitigation management records. 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.</p> <p>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).</p>	<p>Temporary. Destroy 5 years after no further corrective action is needed., but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0002
Administrative Policy, Standards, and Guidelines			
030	<p>Administrative directives and notices. Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.</p> <p>Exclusion: Documents related to mission activities (agencies schedule these separately).</p> <div data-bbox="380 1159 1486 1235" style="border: 2px solid red; padding: 5px; margin: 10px 0;"> <p>Note: Continue to utilize current schedules for Issuance Documenting Substantive Functions.</p> </div>	<p>Temporary. Destroy when superseded, obsolete., or no longer needed for business, whichever is later.</p>	DAA-GRS-2017-0008-0003
Administrative Results Management and Reporting			
040	<p>Administrative management report requirements records. Processing and submission files on mandatory management reports an agency creates or proposes. Includes:</p> <ul style="list-style-type: none"> • copies of authorizing directives • preparation instructions 	<p>Temporary. Destroy 2 years after the report is discontinued., but longer retention is</p>	DAA-GRS-2020-0001-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • descriptions of required or standardized formats • clearance forms • documents on evaluating, continuing, revising, and discontinuing reporting requirements. <p>This item applies only to management reports related to administrative activities.</p> <p>Exclusion: Final reports created using these requirements. Use GRS 5.7, item 050, for mandatory reports related to administrative matters.</p>	<p>authorized if required for business use.</p>	
050	<p>Mandatory reports to external federal entities regarding administrative activities.</p> <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) • Statement of Assurance (per FMFIA), or equivalent • information collection clearances • report on financial management systems' compliance with requirements (per FMFIA), or equivalent • 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 • improper payments report • premium class travel report • report on property provided to non-federal recipients, schools, and nonprofit educational institutions • feeder reports to the Status of Telework in the Federal Government Report to Congress • feeder reports to GSA fleet reports <p>Includes ancillary records such as:</p> <ul style="list-style-type: none"> • background and research records • submission packets and compilations 	<p>Temporary.</p> <p>Destroy 6 years after report submission or oversight entity notice of approval, as appropriate., but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2020-0001-0003</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> related files <p>Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.</p> <p>Exclusion 2: Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately).</p> <p>Exclusion 3: 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).</p>		
060	<p>Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction. 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>	<p>Temporary. Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0006
Records Related to the <i>Federal Register</i>			
070	<p><i>Federal Register</i> notices other than proposed and final rules. Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency's seal,</p>	<p>Temporary. Destroy when 1 year old, but longer retention is authorized if</p>	DAA-GRS-2017-0012-0004

Exclusion 2: Utilize current schedules for Office of Inspector General audits/investigation.

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.</p> <p>Note 1: SORNs <i>per se</i> are covered by GRS 4.2, item 150.</p> <p>Note 2: PRA Information Collection reports are covered by GRS 5.7, item 050.</p> <p>Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.</p>	<p>required for business use.</p>	
080	<p>Agency input into the unified agenda. Records that process agency input into the publication of:</p> <ul style="list-style-type: none"> ● The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the “unified agenda” or “semiannual regulatory agenda”) published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) ● agency regulatory flexibility agendas ● The Regulatory Plan <p>Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.</p>	<p>Temporary. Destroy when 2 years old., but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0012-0005