

OFFICE OF FINANCIAL ADMINISTRATION
DIVISION OF INTERNAL CONTROLS, RISK MANAGEMENT, AND SYSTEMS

Name of Office: Office of Financial Administration – Division of Internal Controls, Risk Management and Systems		Office Acronym: OFA – DIRS	Date Prepared: 09-16-2019	Page 1 of 3
Name of Records Custodian: Rachelle Coleman		Files Location: N4462	Approved by and Date: <i>Rachelle Coleman</i> 9/19/2019	
General Records Schedule (GRS)/ Unique Records Schedule (URS)	File Title	Series and Brief Description	Location	Disposition Instructions
GRS 1.1, Item 010	BP Deepwater Oil Spill	Summary of costs reported for Oil Spill related expenses; Responses to DOJ inquiries.	S:\DIRS\BP Deepwater Oil Spill	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
GRS 1.1, Item 010	Financial Statement Required Supplementary Stewardship Information	Data (reporting requirements) related to Human Capital and WIA Reporting Details.	S:\DIRS\Financial Statement Audit\Annual Agency Financial Statements	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
GRS 1.1, Item 010	Records Management	Record of documents for Office of Financial Administration – Internal Controls.	S:\DIRS\Records Management Update	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
GRS 1.1, Item 010	OCFO Financial Management Certifications	Quarterly and annual internal controls attestation memos.	N4462, S:\DIRS\Quarterly Certifications	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
GRS 1.1, Item 010	A-123 Internal Controls Over Financial Reporting	Testing worksheets, supporting documents, results of annual A123 review.	N4462, S:\DIRS\Appendix A, Internal Controls over Financial Reporting	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but

				longer retention is authorized if required for business use.
GRS 1.1, Item 020	Single Audit	Audit of non-federal entities expending \$750K or more in a year of Federal Awards.	<u>S:\DIRS\Single Audit</u>	DAA-GRS2013-0003-0011 Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.
GRS 1.1, Item 020	OIG Annual Financial Audit	Records of data requests, submissions, results, related to annual Department financial audit.	<u>S:\DIRS\Financial Statement Audit</u>	DAA-GRS2013-0003-0011 Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.
GRS 1.1, Item 020	Improper Payments Reporting/Recapture Audits	Results of Annual Improper payments testing and recapture audit activities.	<u>S:\DIRS\IPERA</u>	DAA-GRS2013-0003-0011 Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.
GRS 6.1, Item 010	Capstone	Emails for Capstone Officials	Outlook Office 365 – Capstone	DAA-GRS-2014-0001-0001 Permanent. Cut off in accordance with agency's business needs. Transfer to NARA 15-25 years after cutoff, or after

				declassification review (when applicable), whichever is later.
URS, N1-369-97-1, Item B	Correspondence	While all correspondence is entered into Correspondence Tracking System (CTS) for tracking purposes, DIRS's correspondence is either routine or administrative in nature.	N4462, Correspondence Tracking System (CTS)	Temporary. Destroy when five years old.
ARRA Reports (as needed)				
GRS 1.1, Item 010	American Recovery and Reinvestment Act (ARRA) Reports	Reports that show how ARRA funds are being spent by recipients of contracts, grants, and loans.	<u>S:\DIRS\ARRA Reports</u>	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
GRS 1.1, Item 010	ARRA NEPA report	Reporting costs in compliance with the National Energy Policy Act Recovery Act-funding projects and activities	<u>S:\DIRS\ARRA reports\NEPA Report</u>	DAA-GRS-2013-0003-0001 Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.