NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

The General Records Schedules

Transmittal 26

National Archives and Records Administration
September, 2016

TO: Heads of Federal agencies

1. What does this document do?

GRS Transmittal 26 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittals 24 and 25 in August and September 2015. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies.

We are completely rewriting the GRS over the course of a five-year project. Because we are phasing in the entire change from old to new gradually over five years, the GRS during this interim period will necessarily include both old and new formats. New schedules (in table format) come first in the new transmittal, followed by the old schedules (in outline format) annotated to show which items are still current and which have been superseded by new schedules. With GRS Transmittal 26, we have superseded 39 percent of the old GRS by new schedules.

Each transmittal also includes Frequently Asked Questions (FAQs) about the GRS, the GRS Update Project, and each new schedule, as well as new-to-old crosswalks for each new schedule and an overall old-to-new crosswalk.

2. What changes does this transmittal make to the GRS?

GRS Transmittal 26 publishes one new schedule:
GRS 4.4 Library Records (DAA-GRS-2015-0003)

It also publishes new or updated items in four schedules:
GRS 1.1 Financial Management and Reporting Records (see question 3)
GRS 2.8 Employee Ethics Records (see question 4)
GRS 4.2 Information Access and Protection Records (see question 5)
GRS 6.1 Email Managed under a Capstone Approach (see question 6)

We have altered GRS 1.2, items 020-022. The note and exclusion previously (and incorrectly) shown in the overview covering all three items now modifies only item 020.

3. How has GRS 1.1 changed? How might these changes affect my agency?

We have added five new items (012, 013, 060, 070, and 071), per DAA-GRS-2016-0001.

If you store records that fall under GRS 1.1, item 010, you should carefully review your stored holdings to determine if new item 012 correctly describes any of them. These potentially voluminous records are immediately disposable, so you may be able to save on storage fees or space.

The old-to-new crosswalk and GRS 1.1 crosswalk now show old GRS 3, item 3d (Data submitted to the Federal Procurement Data System), superseded by GRS 1.1, item 013 (Data submitted to the Federal Procurement Data System), rather than by GRS 1.1, item 010 (Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting). Originally, GRS 3, item 3d, was among the many old schedule items folded into GRS 1.1, item 010. General Services Administration requested that we restore the stand-alone item because these records do not concern individual financial transactions, but monitor Government procurement process transparency and equity. New item 013 therefore covers the same records as old GRS 3, item 3d, but as a stand-alone item.

4. How has GRS 2.8 changed? How might these changes affect my agency?

We have changed item 010, General ethics program records, to clarify the disposition instruction. The previous wording may have confused agencies about how long to keep some ethics records; agencies may need to keep them for longer than the old schedule seemed to indicate.

Agency ethics officials provide employees with ethics advice that may pertain to a single situation or event, or that may apply to a recurring event or long-term situation. In the case of a single situation or event, the ethics determination (the ethics advice and counseling to individual employees, and supporting records) for that event is usually in effect only for the duration of that event. However, in the case of a recurring or long-term situation, the ethics determination is usually in effect throughout the period during which the recurring or long-term events occur, which could be years. The revised instruction clarifies that agencies should retain records for six years after an ethics determination is no longer in effect, rather than six years from when the agency issues the determination. For example, if the ethics official provides advice for a single, isolated event, the agency should retain the determination records for six years after that event occurs. But if the ethics official provides advice for a long-term situation that lasts for 15 years, the agency should retain the determination records for 15+6 years. Similarly, if the determination involves ethics advice about a recurring action or event an employee engages in off and on during 12 years, the agency should retain the determination records for 12+6 years.

Since agencies may need to provide these records in a criminal prosecution, you should carefully note the determination date, including how long it is in effect, to ensure that the agency keeps the information available for six years after the ethics determination no longer applies.

5. How has GRS 4.2 changed? How might these changes affect my agency?

An exclusion formerly in item 020, Access and disclosure request files ("Record copies of requested records are not covered by this item. They remain covered by their original disposal authority"), has become a note ("Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case

file, may be retained under this item for disposition with that case file"). Records may acquire a new business purpose once they become the subject of a FOIA, Privacy Act, or Mandatory Declassification Review request. The previous exclusion text did not account for this new business purpose and thus could have led to offices destroying original records when their original retention period ended instead of when the new business purpose period ended.

We have clarified the coverage for items 030, 032, and 040 to eliminate confusion reported by agencies.

Items 150, 160, 161, and 170 are new.

6. How has GRS 6.1 changed? How might these changes affect my agency?

We have altered permanent item 010's transfer date from 15 years to a 15-to-25-year band. FAQ 8 provides information about this change. In addition, we changed the cut-off for item 010 from the end of the calendar year to "In accordance with agency's business needs," a change announced by AC 18.2016. FAQ 7 gives further information about this change. Finally, new FAQs 19 and 21-26 address how agencies may handle legacy email.

7. What old GRS items does GRS Transmittal 26 rescind?

Most old GRS items are or will be superseded by new GRS items. A few old items, however, have outlived their usefulness and cannot be crosswalked to new items. GRS Transmittal 26 rescinds two such items.

GRS 21, items 12 (Routine Scientific, Medical, or Engineering Footage) and 19 (Routine Scientific, Medical, or Engineering Video Recordings), have fallen out of use. These media-specific items cover very technical subject matter almost always created by research and development (R&D) functions. Federal Records Centers (FRCs) held records under these codes from only two agencies. The FRCs and the agencies agreed that we should reschedule these records under agency-specific authorities. The few agencies with such functions must therefore schedule the records their R&D programs create. These two items will not crosswalk to any anticipated future GRS item, so we are rescinding them.

8. How do I cite new GRS items?

When you send records to an FRC for storage, you should cite the records' legal authority—the "DAA" number—in the "Disposition Authority" column of the table. For informational purposes, please include schedule and item number. For example, "DAA-GRS-2013-0001-0004 (GRS 4.3, item 020)."

9. Do I have to take any action to implement these GRS changes?

NARA regulations (36 CFR 1226.12(a)) require agencies to disseminate GRS changes within six months of receipt.

Per 36 CFR 1227.12(a)(1), you must follow GRS dispositions that state they must be followed without exception.

Per 36 CFR 1227.12(a)(3), if you have an existing schedule that differs from a new GRS item that does *not* require being followed without exception, and you wish to continue using your agency-specific authority rather than the GRS authority, you must notify NARA within 120 days of the date of this transmittal.

If you do not have an already existing agency-specific authority but wish to apply a retention period that differs from that specified in the GRS, you must submit a records schedule to NARA for approval via the Electronic Records Archives.

10. How do I get copies of the new GRS?

You can download the complete current GRS, in PDF format, from NARA's web site at http://www.archives.gov/records-mgmt/grs.html.

11. Whom do I contact for further information?

Writing and maintaining the GRS is the responsibility of the GRS Team. You may contact the team with general questions about the GRS at GRS_Team@nara.gov. This team is part of Records Management Services in the National Records Management Program of the Office of the Chief Records Officer at NARA.

Your agency's records officer may contact the NARA appraiser or records analyst with whom your agency normally works for support in carrying out this transmittal. A list of the appraisal and scheduling work group and regional contacts is on the NARA web site at http://www.archives.gov/records-mgmt/appraisal/index.html.

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Archivist of the United States

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GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

This schedule covers records created by Federal agencies in carrying out the work of financial management: procuring goods and services, paying bills, collecting debts, accounting for all financial transactions, and monitoring agencies' net worth. It does not apply to copies of records forwarded to the Department of Treasury or the Office of Management and Budget in fulfillment of reporting requirements. These forwarded copies serve unique business purposes at those agencies and are therefore scheduled separately as records of OMB and Treasury.

This schedule covers financial management records of grants and cooperative agreements but does not cover administrative records of such grants and agreements. These administrative records are covered in GRS 1.2.

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, which will likely reappear as new GRS 10.3.

This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.** Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions. **Procuring goods and services** is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as: • contracts	**Official record held in the office of record.**	**Temporary**. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001
011		**All other copies.** Copies used for admini-strative or	**Temporary**. Destroy when business use ceases.	DAA-GRS-2013-0003-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	• requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations **Collecting debts** includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as: • records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including: o cash register transaction records o credit card and charge cards receipts o records documenting deposits o records documenting allocation of fees to funds/accounts	reference purposes		

Item	Records Description		Disposition Instruction	Disposition Authority
	o deposit lists and logs o customer orders o revolving fund records • fee and fine collection records • garnishments • sale of excess and surplus personal property • fee or rate schedules and supporting documentation • out-leases of Federal property • debt collection files and cash receipts • writeoffs • copies of checks • payment billing coupons • letters from lenders • payment records • money orders • journal vouchers • collection schedules **Accounting** is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as: • accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes: o statements of transactions o statements of accountability o collection schedules and vouchers o disbursement schedules and vouchers • vouchers • certificates of closed accounts • certificates of periodic settlements			

Item	Records Description	Disposition Instruction	Disposition Authority
	• general funds files • general accounting ledgers • appropriation, apportionment, and allotment files • posting and control files • bills of lading • transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms **Legal citation:** 28 U.S. Code 2401(a) **Note 1**: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA. **Note 2**: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians. **Note 3**: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.		
012	**Bids and proposals neither solicited nor accepted.** Bids and proposals that are both unsolicited and the subject of no further agency action.	**Temporary**. Destroy when no longer required for business use.	DAA-GRS-2016-0001-0001
013	**Data submitted to the Federal Procurement Data System (FPDS)**. Electronic data file maintained by fiscal year, containing unclassified records of procurement information the agency transfers to the FPDS. **Exclusion**: This item does not cover data contained in the Federal Procurement Data System, which is scheduled by GSA. Not media-neutral. Applies to electronic records only.	**Temporary**. Destroy or delete when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0002

Item	Records Description	Disposition Instruction	Disposition Authority
020	**Records supporting compilation of agency financial statements and related audit, and all records of all other reports.** Includes records such as: • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports	**Temporary**. Destroy 2 years after completion of audit or closure of financial statement /accounting treat-ment/issue, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0011
030	**Property, plant and equipment (PP&E) and other asset accounting**. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statement~~s~~ (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: • purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers **Exclusion**: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.	**Temporary**. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0004

Item	Records Description	Disposition Instruction	Disposition Authority
040	**Cost accounting for stores, inventory, and materials.** Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as: • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures • cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts • receiving, inspection, and acceptance documentation	**Temporary**. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0012
050	**Construction contractors' payroll files**. Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.	**Temporary**. Destroy 3 years after completion of contract or conclu-sion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0003
060	**Contract appeals case files**. Records of contract appeals arising under the Contracts Dispute Act. Includes: • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts	**Temporary**. Destroy 1 year after final resolution, but longer retention is authorized if required for	DAA-GRS-2016-0001-0003

Item	Records Description		Disposition Instruction	Disposition Authority
	• documents received from concerned parties • final decisions • other related papers		business use.	
070	**Vendor and bidder information.** Documentation of approved, suspended, and debarred vendors and bidders.	**Records of suspensions and debarments for violation of the Drug-Free Workplace Act.**	**Temporary**. Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0004
071		**Records of all other suspensions and debarments and all approved vendors and bidders.**	**Temporary**. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0005

New GRS 1.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
1.1	010	6 years	DAA-GRS-2013-0003-0001	3	3a1a	6 years, 3 months	N1-GRS-95-4 item 3a1a
				3	3a1b	3 years	N1-GRS-95-4 item 3a1b
				3	3a2a	6 years, 3 months	N1-GRS-95-4 item 3a2a
				3	3a2b	3 years	N1-GRS-95-4 item 3a2b
				3	5a	With related contract (see item 3)	NC1-GRS-81-2 item 6a
				3	5b1	1 year after award or payment	NC1-GRS-81-2 item 6b1
				3	5b2a	When related contract is completed	NC1-GRS-81-2 item 6b2a
				3	5b2b	With related contract (see item 3)	NC1-GRS-81-2 item 6b2b
				3	5c1	5 years	NC1-GRS-81-2 item 6c1
				3	5c2	Return to bidder	NC1-GRS-81-2 item 6c2
				3	6a	3 years	NC1-64-77-5 item 7a
				3	6b	3 years	NC1-64-77-5 item 7b
				3	7	1 year	NC1-64-77-5 item 8
				3	10	3 years	NC1-64-77-5 item 11
				3	12	3 years	NC1-64-77-5 item 13
				4	3a	6 years	N1-GRS-87-11, item 6a
				4	3b	3 years	N1-GRS-87-11, item 6b
				6	1a	6 years, 3 months	N1-GRS-91-3
				6	3a	2 years	GRS 6, 1952, item 3a
				6	3b	Receipt of subsequent certificate	GRS 6, 1952, item 3b
				6	4	3 years	NC174-105, item 5
				6	7	3 years or GAO audit	NC-64-77-11, item 7
				6	8	3 years or GAO audit	NC-64-77-11, item 8
				7	2	6 years, 3 months	NC1-GRS-83-5, item 1
				7	3	6 years, 3 months	NC1-GRS-83-5, item 2
				7	4a	3 years	NC-64-75-2, item 4a
				7	4b	2 years	NC-64-75-2, item 4b
				9	1a	6 years	N1-GRS-91-3, item 1a
				9	1b	10 years	N1-GRS-91-3, item 1b
				9	1c	6 years	N1-GRS-91-3, item 1c
				9	1d	When funds are obligated	N1-GRS-91-3, item 1e
				9	1e	3 years	N1-GRS-98-2, item 8
				9	3a	6 years	N1-GRS-91-3, item 3a
1.1	011	When business use ceases	DAA-GRS-2013-0003-0002	3	3c	Upon termination	NC1-64-77-5 item 4c
				6	1b	1 year	N1-GRS-86-3, item 1b
				9	3b	When funds are obligated	N1-GRS-91-3, item 3b
				12	2d1	1 year	NC1-64-77-9 item 2d1
1.1	012	No longer required	DAA-GRS-2016-0001-0001	New item			
1.1	013	6 years	DAA-GRS-2016-0001-0002	1.1	010 bullet*	6 years	DAA-GRS-2013-0003-0001, bullet*
				1.1	011 bullet*	When business use ceases	DAA-GRS-2013-0003-0002, bullet*
				3	3d	5 years	N1-GRS-87-8 item 4d
1.1	020	2 years	DAA-GRS-2013-0003-0011	New item			
1.1	030	2 years	DAA-GRS-2013-0003-0004	New item			
1.1	040	3 years	DAA-GRS-2013-0003-0012	8	2	3 years	NC-64-75-2, item 3
				8	3	3 years	NC-64-75-2, item 4
				8	4	2 years	GRS 8, 1952, item 5
				8	5	3 years	GRS 8, 1952, item 6
				8	6a	3 years	NC-64-75-2, item 7a
				8	6b	3 years	NC-64-75-2, item 7b
				8	7a	3 years	NC-64-75-2, item 8a
1.1	050	3 years	DAA-GRS-2013-0003-0003	3	11	3 years	NC1-64-77-5 item 12
1.1	060	1 year	DAA-GRS-2016-0001-0003	3	15b	1 year	N1-GRS-87-9 item 19b
1.1	070	5 years	DAA-GRS-2016-0001-0004	3	5d	Superseded or obsolete	NC1-GRS-81-2 item 6d
1.1	071	3 years	DAA-GRS-2016-0001-0005				

* Only this bullet: "data submitted to the Federal Procurement Data System (FPDS)"

Frequently Asked Questions (FAQs) about GRS 1.1, Financial Management and Reporting Records

Revised June 2016

INTRODUCTION

1. What is the purpose of GRS 1.1?

This schedule provides disposition authority for records created and received in the course of carrying out an agency's financial management and reporting responsibilities.

2. From whom may I request more information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 1.1 differ from the old GRS?

The biggest difference is the amalgamation of 34 items in old GRS 3, 4, 6, 7, and 9 into one item (010) covering financial transaction records (see details in the GRS 1.1 Crosswalk). This change occurred as a result of the new GRS aligning where feasible with the Federal Enterprise Architecture Lines-of-Business model. Under this model, the GRS groups records by the business processes that create them. The related business processes of paying bills and collecting debts—and accounting for both—are further consolidated by the fact that all share a single audit. Uniting these records under a single schedule item is also useful because most financial transactions are now conducted electronically and their documentation is born digital. Many large e-systems contain records covered by most or even all of the 34 old items superseded by new item 010.

Two new items cover records not before scheduled by the GRS: Records supporting compilation of agency financial statements and related audit, and all records of all other reports (item 020) and property, plant, equipment and other asset accounting (item 030).

4. Why are you removing items that were in the old GRS?

The following old GRS items that most logically would have mapped to this schedule are rescinded:

GRS item	Series title	Explanation
GRS 3/3b	Routine Procurement—Obligation copy	This copy of a multi-copy form was to keep an obligation on the radar screen until funds were in fact obligated. Hard copies no longer exist in the e-system work-process pipeline.
GRS 3/15a	Contract Appeals Case Files created prior to October 1979	No longer needed because all such records should have been destroyed as of 1986.
GRS 3/16	Contractor's Statement of	SF 119 is no longer in the GSA forms library. The

	Contingent or Other Fees	Federal Acquisition Regulation (FAR) was amended (see FAR case 93-009, published in the *Federal Register* November 13, 1995) to state that these statements are no longer required.
GRS 6/2	GAO Exceptions Files	SF 1100 no longer exists.
GRS 6/6a1 GRS 6/6a2 GRS 6/6b	Federal Personnel Surety Bond Files	According to 31 USC 9302, surety bonds posted by the government concerning Federal personnel were discontinued by Public Law 97-258 in 1982.
GRS 6/9	Telegrams filed to support telegraph bills	These no longer exist.
GRS 8/7b1 GRS 8/7b2 GRS 8/7b3	Cost Report Data Files: Detail cards Cost Report Data Files: Summary cards Cost Report Data Files: Tabulations	These three items are unchanged since GRS 8 was first published in 1952. They refer to an ancient system of electronic tabulation via key-punch cards. The records are no longer created nor have they been for possibly three decades. No records are in FRCs.

QUESTIONS RELATED TO ITEM 010

5. Why is the retention of accountable officers' records reduced from 6 years and 3 months to 6 years?

From the advent of the GRS in 1952 until 1977, general financial management records were retained for 6 years. The change in retention for some records to 6 years and 3 months was codified in 1977 by schedule job number NC1-064-77-5, apparently in response to 28 USC 2415. This law set the Government's right to litigate on behalf of a recognized American Indian band or tribe to "six years and ninety days" while for all other purposes the Government's right to litigate ceases after 6 years (28 USC 2401). Item 010 returns all financial transactions to 6-year retention *except* for those transactions concerning recognized American Indian bands or tribes, which are excluded from the GRS. Serious issues surround accounts concerning American Indian band/tribal finances. Litigation has put these records into frozen status unlikely to be altered any time soon. They will likely be ultimately scheduled for long-term temporary or even permanent retention. Their appraisal must be made on a case-by-case basis, which is outside the scope of the GRS.

6. My agency, seeking to get away from the awkward 6-year-3-month retention period, already scheduled accountable officers' and similar financial records for 7-year retention. Which takes precedence: my agency's 7-year retention or the GRS 6-year retention?

Your agency can choose whether to follow the GRS new 6-year retention or continue to retain records for 7 years in keeping with its agency-specific schedule. Retaining the records for 7 years might be necessary if your agency folded financial management records along with other administrative records into a single bucket item with 7-year retention. In such a case, it may not be possible to extract the financial management records from the bucket item without destroying the bucket.

7. If my agency chooses to continue using its own 7-year schedule item instead of the GRS, must it notify NARA?

It depends. The GRS permits business-purpose retention beyond 6 years. If your agency updates its manual to cite new GRS 1.1, item 010, as the authority for its 7-year retention, you do not need to notify NARA. If your agency has a previously approved deviation-from-the-GRS authority (such as a big bucket schedule item that merges financial management records with other series) and wishes to continue using that authority to mandate agency-wide 7-year retention, it must notify NARA of this fact. In part, this is because the agency will be retiring records to storage under its own authority citation rather than the GRS authority citation. Federal Records Centers receiving these records need to know what agency items are authoritative.

QUESTION RELATED TO ITEM 011

8. Why is item 010 followed by an item (011) for "all other copies" but none of the other items have a similar all-other-copies counterpart?

Records in item 010 are in many cases likely to have extra copies retained in other business units for a separate business purpose. For instance, a purchase order may exist in multiple copies not only where it is held for financial audit but also in accounts payable, shipping and receiving, and other offices. These are not non-record copies held for convenience, but records retained for specific and unique business purposes. Because the record copy is retained for audit, the other copies can be disposed of when their business use ceases. Copies of records covered by other items in this schedule are more likely to be held simply for convenience. They serve no unique business purpose, are therefore non-record by definition, and do not need to be scheduled.

QUESTIONS RELATED TO ITEM 012

9. Does this item cover all unsolicited and all unaccepted bids?

No. This item covers only bids that are *both* unsolicited *and* unaccepted. These bids have a much shorter retention period than bids that are unsolicited but accepted or solicited but unaccepted. (Item 010 of this schedule addresses both these latter types of bids.) Any accepted bids have obvious business and legal value documenting a contract, and any solicited bids have further value if there are legal challenges to the contract award. Bids that agencies neither solicit nor accept do not fulfill continuing business purposes and agencies thus do not need to retain them for long.

10. Does this item's disposition mesh with the Federal Acquisition Regulation (FAR)?

The FAR Implementation Team, which drafted the update to the FAR published in the *Federal Register* on December 4, 2015, requested that we add this item. The FAR update contains directions to dispose of these materials "in accordance with agency procedures" (80 FR 75913). That instruction is consistent with this item's disposition to destroy "when no longer required for business use." So, yes, this item's disposition meshes with the FAR.

QUESTIONS RELATED TO ITEM 013

11. Why did you move data submitted to the Federal Procurement Data System (FPDS)—originally part of big-bucket item 010—to granular item 013?

These records were a standalone item in the old GRS but we merged them with many other old GRS items into the original publication of GRS 1.1, item 010. However, item 010 covers records relating to individual financial transactions; the records now being moved to item 013 do not concern such transactions. Instead, these records monitor equity and transparency in the Government procurement process. Agencies retain both items 010 and 013 for 6 years, but calculate the retention period for item 013 from record creation (submission to FPDS), and calculate the retention period for item 010 from record close (final action on a particular procurement or collection activity), potentially years after creation. For these reasons, we are returning data submitted to FPDS to a standalone schedule item.

12. Why does this item cover only an agency's copy of the data it submitted to FPDS, but not the master data held in FPDS itself?

The GRS covers records common to multiple agencies. FPDS is a system owned by the General Services Administration (GSA). Although multiple agencies own and submit the system's source data, once collected in FPDS the data is unique to GSA and GSA must schedule it. As a result, the GRS does not cover the data within the FPDS. GSA's FPDS master data is permanent under N1-137-96-1, item 1. For this reason, agency-retained copies of their own submitted data are temporary.

QUESTION RELATED TO ITEM 020

13. Item 020 is for background materials used to prepare an annual agency financial statement. Why isn't there an item for the agency financial statements themselves?

Agency financial statements have been required from all agencies since 1997 per the Government Management Reform Act (1994) section 405, now codified in 31 CFR 3515. Only a few agencies have scheduled these records, with wide disparity in retention periods. They are also sometimes scheduled as part of a larger series of reporting records that include more than financial reporting. We were unable to determine a universally applicable value to these records by the time of publication of this schedule and did not wish to hold up the schedule while waiting to resolve the one issue. We may, however, be able to revisit this at a future time.

QUESTION RELATED TO ITEM 030

14. Besides being included in item 030, purchase orders, contracts, and invoices also appear in item 010. How can I tell which item is the correct one for my records?

Purchase orders, contracts, and invoices appear in item 010 when they document financial transactions subject to audit to ensure that government spends its resources appropriately and within the confines of the law. *Some* of those purchase orders, contracts and invoices serve as a baseline to document agency investment in "property, plant and equipment" (PP&E) assets, and these are the subject of item 030.

Determining the value of PP&E assets involves knowing the original purchase price and the rate of amortization over the course of years. Many assets eventually wear out and are removed from

inventory, while others (such as real estate and structures) may have a usable life of many decades or remain in government ownership to the end of the republic.

The same records may exist in both the financial management and the PP&E asset accounting offices. They are scheduled differently based on the business purpose the records serve in each office. Their retention is 6 years in item 010 to ensure their availability for financial audit. But their retention in item 030 may be for many decades. For this reason, it is advisable that duplicates of purchase orders, contracts, and invoices concerning PP&E assets be supplied to that office for inclusion in the files documenting those assets that are covered by item 030.

GENERAL RECORDS SCHEDULE 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Item	Records Title/Description	Disposition Instruction	Disposition Authority

010	**Grant and cooperative agreement program management records.**
	Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:
	• background files
	  o Program Announcements
	  o Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices
	  o Requests for Proposals
	• application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)
	• application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)
	
	Note: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.
		Temporary. Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0008-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	Exclusion 1: Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. **Exclusion 2**: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.			
020	**Grant and cooperative agreement case files.** Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to: • applications, forms, and budget documents • evaluation reports, panelist comments, review ratings or scores • Notice of Grant Award or equivalent and grant terms and conditions • state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding) • funding amendment requests and actions, if any • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation • summary reports and the like **Legal citation:** 31 U.S.C. 3731(b), False Claims Act	**Successful applications**. **Note**: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records. **Exclusion**: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.	**Temporary.** Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0008-0001
021		**Unsuccessful applications**.	**Temporary**. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0008-0006

Item	Records Title/Description		Disposition Instruction	Disposition Authority
022		**All other copies**. Copies used for administrative or reference purposes.	**Temporary**. Destroy when business use ceases.	DAA-GRS-2013-0008-0002
030	**Final grant and cooperative agreement products or deliverables.** The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a: • report, study, or publication • conference paper and/or presentation • book, journal article, or monograph • training material, educational aid, or curriculum content • plan, process, or analysis • database or dataset • audio, video, or still photography • website content or other Internet component • documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype) • software or computer code **Note 1**: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes. **Note 2:** If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.		**Temporary**. Destroy when business use ceases.	DAA-GRS-2013-0008-0003

New GRS 1.2				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
1.2	010	3 years	DAA-GRS-2013-0008-0007	3	14	2 years	NC1-64-77-5 item 17b
1.2	020	10 years	DAA-GRS-2013-0008-0001	New item			
1.2	021	3 years	DAA-GRS-2013-0008-0006	3	13	3 years	NC1-GRS-81-2 item 14a
1.2	022	Business use ends	DAA-GRS-2013-0008-0002	New item			
1.2	030	Business use ends	DAA-GRS-2013-0008-0003	New item			

Frequently Asked Questions (FAQs) about GRS 1.2, Grant and Cooperative Agreement Records

Revised June 2016

GENERAL

1. What is the purpose of GRS 1.2?

This schedule provides disposition authority for records related to the process of announcing, selecting, and monitoring grants and cooperative agreements. Records related to this function include:

- Program announcements
- Application files
- Case files
- State plans
- Final products or deliverables

This schedule does not, however, provide disposition for financial transaction records related to administering grants unless they are copies maintained in the program case files. Nor does it cover policy records related to grant and cooperative agreement programs, or government-wide systems like GRANTS.GOV, GRANTSOLUTIONS.GOV and USASPENDING.GOV that are involved in the grant process.

2. From whom may I request more information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 1.2 differ from the old GRS?

GRS 1.2 is different from the old GRS in that it expands the types of records related to grants and cooperative agreements. Previously, the GRS only covered grant administrative files and unsuccessful grant applications. The new GRS better defines and expands the scope of administrative files related to grant and cooperative agreement programs, and it now covers successful as well as unsuccessful grant application case files and final products and deliverables.

TERMS USED IN THIS SCHEDULE

4. What is the difference between a grant, a cooperative agreement, and a contract in the context of this schedule?

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal government to an eligible grantee. The principle purpose of a grant is to transfer a thing of value from a Federal agency to a state or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant, but differs from a grant in that it provides for substantial involvement between the grant-making

Federal agency and the award recipient to carry out the activity contemplated by the award (31 U.S.C. 6305). Contracts are used to acquire property or services for the direct benefit or use of the Federal government.

QUESTIONS ABOUT RECORDS NOT COVERED

5. Why does this schedule not cover financial records related to grants and cooperative agreements?

Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs are covered by GRS 1.1. To include them in this schedule would be duplicative and confusing, and would render the records susceptible to inconsistent retention and disposition.

6. Why does this schedule not cover grant and cooperative agreement program policy records?

Grant and cooperative agreement program policy records can include information that documents how agencies make decisions about grants and cooperative agreements. In some cases there may be legal or business use reasons these records need to be kept for a longer period of time than less significant records. Some of these records could also be of permanent value. Due to the variable business use and value of policy records, it was impossible to determine a government-wide disposition for these records. An agency must either apply an existing approved agency schedule or submit an agency-specific schedule to NARA for these records.

7. Why does this schedule not cover Government-wide systems such as GRANTS.GOV, GRANTSOLUTIONS.GOV, and USASPENDING.GOV?

GRANTS.GOV is owned by the Department of Health and Human Services (HHS). HHS has scheduled the web version of material posted there by other agencies as temporary, assuming agencies manage that content as records in their own records-management environments. The web version has the unique and sole business purpose of making grant information available to the public for a relatively short period of time.

GRANTSOLUTIONS.GOV is also owned by HHS and managed by the Administration for Children and Families (ACF) within HHS, in partnership with the Denali Commission. Its business purpose is to provide grants management products and support to Federal grant-making agencies. ACF has scheduled the GRANTSOLUTION.GOV database and web portal as temporary. Agencies are responsible for managing the content they post and output they receive as records in their own records management environments.

USASPENDING.GOV is owned by the Office of Management and Budget (OMB). Although it contains copies of records posted by other agencies, the records OMB collects in this system combine to create a new business purpose, different from the business purpose for which the individual records exist at the creating agency. OMB is responsible for scheduling that unique totality of records in USASPENDING.GOV.

8. Why does this schedule not cover Service Level Agreements?

A Service Level Agreement (SLA) is an agreement between a customer (the agency, in this context) and a service provider that describes the service, documents service level performance targets, establishes incentives for meeting performance targets, clarifies the responsibilities of both the service provider and the customer, delineates how they will discover and handle disputes, and specifies how they will remedy

performance failures. The process of executing an SLA is a commercial transaction between a customer and a service provider. The services described in an SLA are paid for by the agency. However, unlike a grant or cooperative agreement, an SLA is not a funding or obligation document. For this reason, we do not include SLAs under this schedule.

9. Why does this schedule not cover Interagency Agreements?

An Interagency Agreement (IAA) is a written agreement between two Federal agencies, or major organizational units within an agency, that establishes a reimbursable order for goods or services. An IAA is a communication tool between the buyer and seller that enables them to agree on the data elements and terms of the reimbursable transaction before business begins. The term Intra-agency Agreement may be used when the agreement is between components of one agency. Unlike grants and cooperative agreements as defined in this schedule, IAAs are between co-equal partners. For this reason, we do not include IAAs under this schedule.

10. Why does this schedule not cover Memoranda of Understanding (MOU) or Memoranda of Agreement (MOA)?

The GRS covers only records that we can declare either universally temporary or universally permanent. We appraise grant and cooperative agreement *administrative* records in GRS 1.2 as temporary, even while the work they fund may create permanent records (see Q/A 16, below), so this schedule covers them. An agency initiates a grant or cooperative agreement to accomplish a single administrative function: transfer a thing of value (usually funds) in exchange for work. An agency may initiate an MOU or MOA with another entity for a wide variety of purposes, most of which may be of passing historical interest. But others could be of such importance that the MOU or MOA itself has permanent value. Since we cannot appraise MOUs and MOAs as universally permanent or temporary, we do not include them under this schedule.

QUESTION RELATED TO ITEM 010

11. Why is the retention for Grant and Cooperative Agreement Program Management records increased from 2 years to 3 years?

This item broadens the scope of program management records covered by old GRS 3, item 14: routine correspondence and subject files relating to grant administration. Item 010 includes records related to the coordination, implementation, execution, monitoring, and completion of programs, such as background files, application packages (e.g., blank forms, instructions, guidelines, templates, checklists, and evaluation criteria), and application evaluation files (e.g., panel composition, correspondence, and instructions). Because item 010 covers a wider range of records, it was necessary to increase the retention by one year compared to the old GRS. Many of the records in item 010 previously would have been scheduled by agency-specific schedules. Item 010 therefore has the advantage of giving one retention period for all administrative and operational program records, which is simpler to apply and sufficient to meet the needs of most agencies.

QUESTIONS RELATED TO ITEM 020

12. Why does the GRS now include successful applications?

NARA has determined, based on research and experience with reference usage of accessioned grant case files, that these records do not generally warrant permanent retention. They are often quite voluminous, contain little information of significance, and get little research use. Many agencies already schedule grant case files as temporary. For these reasons we have determined that grant and cooperative agreement case files can be scheduled across the Federal government as temporary records. If an agency believes they have grant case files that are of historical value they can submit a schedule to NARA for those records.

13. Why should I keep successful grant and cooperative agreement applications case files for 10 years?

The 10-year retention aligns with the 10-year statute of limitations in the False Claims Act (31 U.S.C. 3731(b)), which governs claims related to these records.

14. What if my agency wants a shorter retention for successful grant and cooperative agreement applications?

If your agency does not have an existing agency-specific schedule for these records, it may submit a schedule requesting to deviate from the GRS to your agency's assigned NARA appraiser. Please keep in mind, however, that the 10 year retention is based on a statute of limitations, so the GRS Team will request confirmation that your agency's legal counsel agrees to a shorter retention prior to our concurrence on your deviation request.

If your agency has an existing agency-specific schedule for these records, it may choose to continue to use the existing schedule by informing NARA of its intent to do so (per 36 CFR 1227.12(a)(3). Notifications can be sent to GRS_Team@nara.gov. However, due to the legal risk in keeping these records for a shorter period of time, we recommend you review the existing schedule for these records with your General Counsel prior to implementation.

QUESTION RELATED TO ITEM 022

15. Why is there an "All other copies" item for Grant and Cooperative Agreement Case Files, but none of the other items have a similar catch-all item?

Extra copies of these case files may be retained in other business units for a separate business purpose. These extra copies are not non-record copies held for convenience, but record copies in their own right retained for a specific and unique business purpose outside the purview of an agency's grant and cooperative agreement program. As such, their retention and disposition can be based on business use. Copies of records covered by other items in this schedule are more likely to be held simply for convenience, making them non-record by definition.

QUESTION RELATED TO ITEM 030

16. Why are final products or deliverables scheduled as temporary?

Records of research funded by a specific grant or cooperative agreement may be of permanent value as part of project files scheduled by the research program office. Such project files are, however, separate

from the final products or deliverables of grants and cooperative agreements maintained as administrative documentation of a grant/agreement program and covered by item 030 in this schedule.

While instinct might incline us to think that these final products or deliverables have universal permanent value, we found that this was not the case. In fact, few agencies have scheduled these records at all. Among agencies that have, only about half scheduled them as permanent; and half of those stipulated specific and fairly stringent criteria be met for a product or deliverable to warrant permanent retention. Where agencies have scheduled these records as permanent, research use of records accessioned into NARA's holdings has proved surprisingly low. Based on this actual rather than perceived value, we determined that a blanket designation of these records as permanent is simply not supported. However, if an agency believes it has grant or cooperative agreement products or deliverables that do warrant permanent retention by the National Archives, it can write an agency-specific schedule requesting an exception to the GRS.

GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that *may* be contained in these files. They do not mean to convey that all of these records *must* be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Separation program management records**. Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends	**Records not specific to an agency separation initiative.**	**Temporary**. Destroy when no longer required for business use.	DAA-GRS-2014-0004-0001
011		**Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.**	**Temporary**. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.	DAA-GRS-2014-0004-0002
020	**Individual employee separation case files**. Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes: • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records		**Temporary**. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.	DAA-GRS-2014-0004-000

	• records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use • **Exclusion**: Records required to be filed in employee's OPF are excluded from this item.		
030	**Records documenting capture of institutional and specialized knowledge**. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee. **Exclusion**: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.	**Temporary**. Destroy when no longer required for business use.	DAA-GRS-2014-0004-0004
040	**Individual employee separation records required to be placed in separating employee's OPF.** As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to: • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary	File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.	

New GRS				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
2.5	010	Superseded or obsolete	DAA-GRS-2014-0004-0001	1	17b2	Superseded or obsolete	NC1-64-77-10 item 17b2
				2	28	Upon OPM acceptance	N1-GRS-92-4 item 28
2.5	011	2 years	DAA-GRS-2014-0004-0002	1	17b1	2 years	NC1-64-77-10 item 17b1
				2	28	Upon OPM acceptance	N1-GRS-92-4 item 28
2.5	020	1 year after separation	DAA-GRS-2014-0004-0003	1	39	1 year	NC1-64-77-7 item 21b
				2	9b	3 years	N1-GRS-92-4 item 9b
2.5	030	No longer needed	DAA-GRS-2014-0004-0004	New item			
2.5	040	File on left side of OPF	N/A. Filing instruction.	2	9a	File on right [*sic*] side of OPF	N1-GRS-92-4 item 9a

Frequently Asked Questions (FAQs) about GRS 2.5, Employee Separation Records

INTRODUCTION

1. What is the purpose of GRS 2.5?

This schedule provides disposition authority for records agencies create and receive in the course of processing employee departures from the Federal workforce and in the course of managing a separation program (including administrative tasks to carry out agency initiatives designed to decrease the workforce).

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

GENERAL QUESTION

3. Why does this schedule not include an item for Official Personnel Folders (OPFs)? What happens with them when employees move to a different agency or leave Federal employment?

Although OPFs are disposed of as part of the employee separation process, OPFs are created when employees enter Federal service, and agencies place most records in them while employees are in the active workforce. For that reason, an item in GRS 2.2, Employee Management Records, covers OPFs from an employee's entry into the Federal workforce through separation. In general, OPFs follow Federal employees when they move from one agency to another; when they leave Federal service, their personnel office sends their OPF to the National Personnel Records Center within 30 days of separation.

4. Why are you removing an item that was in the old GRS?

We are changing the item rather than completely removing it, but to do so we must formally remove the old item and replace it with a new one. GRS 2, item 9a, "Record of employee leave, such as SF 1150, prepared upon transfer or separation," was a filing instruction that included a now-invalid disposal authority. By removing item 9a, we are rescinding the disposal authority portion. The filing instruction, which is still valid, is now in Item 040 of this schedule. See question 10 for more information on the difference between filing instructions and disposal authority.

QUESTIONS RELATED TO ITEM 010

5. Why are Items 010 and 011 not merged into a single item?

Records in item 010 are entirely administrative — created as the agency responds to a separation request initiated by a staff member at any point in time. Agencies create records in item 011 as the result of an agency initiative -- a program specifically intended to reduce the agency's work force. These records document agency decisions, how the agency made them, and how it carried them out. Agency

initiatives have clear start and end dates and therefore we can base disposition of the records on those dates.

6. Why has the disposition of SF-2807 changed from "destroy upon receipt of official OPM acceptance of annual summary" to the generic "destroy when no longer required for business use"?

Technological developments have changed the business purpose of SF-2807 since we last updated the schedule for employee separation records in 1992. OPM historically built Federal workforce statistics from annual summaries of separations, cobbled together by each agency from various SFs-2807 they prepared over the course of a year. Electronic systems that accomplish the same goals more universally and more efficiently have replaced this paper process. Therefore, an agency that created the form can destroy it when that agency no longer needs the form.

Also, please note that old GRS 2, item 28, listed only SF-2807 (register for reporting Civil Service Retirement System [CSRS] separations). It covered SF-3103 (register for reporting Federal Employment Retirement System [FERS] separations) only by inference. New items 010 and 011 explicitly cover both.

QUESTION RELATED TO ITEM 011

7. What programs are included in "specific agency separation initiatives"?

Pages nested at OPM's website, http://www.opm.gov/policy-data-oversight/workforce-restructuring/, discuss various types of separation initiatives.

QUESTION RELATED TO ITEM 030

8. Why is item 030 a separate item and not just a bullet in item 020?

We created these separate items because the records in item 020 and item 030 cover different kinds of records, are created by different offices for different purposes, and have different retention periods. They thus do not lend themselves to being grouped and handled together. Each agency's Human Resources (HR) office creates and maintains records in item 020 for personnel and benefits purposes. The retention period reflects the length of time an agency would normally need these records for business use. Records in item 030 concern information departing staff members provide to their offices about their programs, functions, and work, for continuity purposes. Those offices maintain these records themselves. The item's open-ended retention period reflects the varying value these records may have from agency to agency, office to office, and even staff member to staff member.

QUESTIONS RELATED TO ITEM 040

9. How can I file documents on the "left side of the folder" if the Official Personnel File (OPF) is electronic?

A paper OPF is a single folder with two sides: "left side" for temporary records and "right side" for permanent documents. E-folders in the eOPF — "temporary" and "permanent" — replicate the paper folder sides and are actually called "folder sides." An item in GRS 2.2 provides disposal authority for "left side" records.

10. Why does item 040 not have a disposition authority?

Item 040 is not a disposition instruction but, rather, a filing instruction. A disposition instruction declares records either permanent or temporary and includes a disposition authority. A filing instruction does not declare records permanent or temporary and does not include authority to dispose of records; it simply instructs on where to file them.

GENERAL RECORDS SCHEDULE 2.8: Employee Ethics Records

This schedule covers records documenting the activities of executive branch agency ethics program offices.

Records *not* covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs.

Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, *Tracking and Control Records*. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled. For ethics training records, see GRS 2.6, *Employee Training Records*.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**General ethics program records.** Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes: • Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records. • Determinations, including advice and counseling to individual employees, and supporting records. • Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.	**Temporary**. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee**,** making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0006-0001
020	**Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files**. Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of	**Temporary.** Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is	DAA-GRS-2014-0005-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, *Notification of Conflict of Interest Referral*.		authorized if required for business use.	
030	**Reports of payments accepted from non-Federal sources.**	**Agency reports.** Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.	**Temporary.** Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0003
031		**Supporting documentation.** Documentation, such as statements and forms, used to complete the submitted reports.	**Temporary.** Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0004
040	**Office of Government Ethics program questionnaire records.** Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.		**Temporary.** Destroy 3 years after submission, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0005
050	**Ethics program review records.** Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.		**Temporary.** Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0006

Item	Records Description		Disposition Instruction	Disposition Authority
060	**Public financial disclosure reports.** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.	**Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.** **Legal Citation:** 5 U.S.C. app. section 105, 5 CFR 2634.603	**Temporary.** Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0007
061		**All other reports.** **Legal Citation:** 5 U.S.C. app. section 105, 5 CFR part 2634.603	**Temporary.** Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0008
062		**Periodic transaction reports.** OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records. **Legal Citation:** STOCK Act, Pub. L. 112-105	**Temporary**. Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0009

Item	Records Description		Disposition Instruction	Disposition Authority
063		**Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).** **Legal Citation:** 5 U.S.C. app. section 105(b)(2)	**Temporary.** Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0010
070	**Confidential financial disclosure reports.** Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records.	**Reports for individuals not subsequently confirmed by the U.S. Senate.** **Legal Citation:** 5 CFR 2634.604	**Temporary.** Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0011
071		**All other reports.** **Legal Citation:** 5 CFR 2634.604	**Temporary.** Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0012

Item	Records Description		Disposition Instruction	Disposition Authority
072		**OGE Optional Form 450-A reports.** **Legal Citation:** 5 CFR 2634.604, 5 CFR 2634.905 **Note**: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The "supporting OGE Form 450" cannot be destroyed until the last OGE Form 450-A report is ready for destruction.	**Temporary.** Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0013
080	**Alternative or additional financial disclosure reports and related records.**	**Reports for individuals not subsequently confirmed by the U.S. Senate.** **Legal Citation:** 5 U.S.C. app. section 105	**Temporary.** Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0014
081		**All other reports.** **Legal Citation:** 5 U.S.C. app. section 105	**Temporary.** Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0015

Item	Records Description		Disposition Instruction	Disposition Authority
090	**Financial disclosure supporting documentation.** Supporting documentation used to review and verify the filer's report submission. Includes records such as: • reviewer's notes • background research reports • memorialized verbal comments of filer in response to reviewer questions		**Temporary.** Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.	DAA-GRS-2014-0005-0016
100	**Ethics agreements records.** Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes: • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications **Note**: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): *Prescribing Standards of Ethical Conduct for Government Officers and Employees*.	**Agreements for employees who do not file financial disclosure reports.**	**Temporary.** Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0017
101		**Agreements for employees who file financial disclosure reports.**	**Temporary.** Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0018

New GRS				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
2.8	010	6 years	DAA-GRS-2016-0006-0001	25	1a	3 years	N1-GRS-01-1 item 1a
				25	1b	6 years	N1-GRS-01-1 item 1b
				25	9	6 years	N1-GRS-01-1, item 9
				2.8	010	6 years	DAA-GRS-2014-0005-0001
2.8	020	6 years	DAA-GRS-2014-0005-0002	25	4	6 years	N1-GRS-01-1, item 4
2.8	030	3 years	DAA-GRS-2014-0005-0003	25	5a	3 years	N1-GRS-01-1, item 5a
2.8	031	1 year	DAA-GRS-2014-0005-0004	25	5b	1 year	N1-GRS-01-1, item 5b
2.8	040	3 years	DAA-GRS-2014-0005-0005	25	7a	3 years	N1-GRS-01-1, item 7a
				25	7b	1 year	N1-GRS-01-1, item 7b
2.8	050	6 years	DAA-GRS-2014-0005-0006	25	6a	6 years	N1-GRS-01-1, item 6a
				25	6b	1 year	N1-GRS-01-1, item 6b
2.8	060	1 year	DAA-GRS-2014-0005-0007	25	2a1	1 year	N1-GRS-01-1, item 2a1
2.8	061	6 years	DAA-GRS-2014-0005-0008	25	2a2	6 years	N1-GRS-01-1, item 2a2
2.8	062	7 years or with related report	DAA-GRS-2014-0005-0009	New item.			
2.8	063	when requested report destroyed	DAA-GRS-2014-0005-0010	New item.			
2.8	070	1 year	DAA-GRS-2014-0005-0011	25	2b1	1 year	N1-GRS-01-1, item 2b1
2.8	071	6 years	DAA-GRS-2014-0005-0012	25	2b2	6 years	N1-GRS-01-1, item 2b2 (in part)
2.8	072	6 years	DAA-GRS-2014-0005-0013	25	2b2	6 years	N1-GRS-01-1, item 2b2 (in part)
2.8	080	1 year	DAA-GRS-2014-0005-0014	25	2c1	1 year	N1-GRS-01-1, item 2c1
2.8	081	6 years	DAA-GRS-2014-0005-0015	25	2c2	6 years	N1-GRS-01-1, item 2c2
2.8	090	with related report or 6 years	DAA-GRS-2014-0005-0016	New item.			
2.8	100	6 years	DAA-GRS-2014-0005-0017	25	3	6 years	N1-GRS-01-03, item 3 (in part)
2.8	101	when last financial disclosure report destroyed	DAA-GRS-2014-0005-0018	25	3	6 years	N1-GRS-01-03, item 3 (in part)

Frequently Asked Questions (FAQs) about GRS 2.8, Employee Ethics Records

INTRODUCTION

1. What is the purpose of GRS 2.8?

This schedule provides disposition authority for records executive branch agencies create and receive in the course of carrying out their ethics program responsibilities.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

GENERAL QUESTION

3. Does this schedule cover records maintained by the Office of Government Ethics relating to its oversight of the government-wide ethics program?

No, this schedule applies only to the records of agencies relating to their own ethics program.

CHANGES FROM THE OLD GRS

4. How does GRS 2.8 differ from the old GRS?

The new schedule combines ethics program procedures files (GRS 25, item 9) and ethics program implementation, interpretation, counseling, and development files (GRS 25, items 1a and 1b) into general ethics program records (item 010).

The GRS no longer covers public financial disclosure reports -- OGE Form 278 and 278e -- for Presidential and Vice Presidential candidates because only two agencies need that disposition authority; it is more appropriately covered by agency-specific disposition schedules.

This schedule includes three new items: Periodic transaction reports (item 062), Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (item 063), and financial disclosure supporting documentation (item 090).

Ethics program employee training and education files (GRS 25, items 8a and 8b) will be part of the Employee Training Records GRS when we publish it; until then, the existing authorities remain unchanged and valid for use.

QUESTION RELATED TO ITEM 010

5. Does this item cover guidance on ethics issues, such as guidance to our senior employees from agency ethics officials on whether certain categories of gifts are acceptable, or would we need to write an agency-specific disposition schedule?

Yes, this item covers guidance to senior employees on ethical issues.

QUESTION RELATED TO ITEMS 060 to 081

6. Items 060 to 081 are the forms and reports related to financial disclosure reports. Why aren't these aggregated into one item?

We cannot aggregate financial disclosure reports covered by items 060, 061, 062, 063, 070, 071, 072, 080, and 081 into one item because each form has different statutory recordkeeping requirements (unique implied cutoffs). NARA and the Office of Government Ethics have no authority to alter the statutory requirements.

QUESTIONS RELATED TO ITEM 062

7. Why must an agency retain a periodic transaction report for seven years?

Under the Ethics in Government Act, agencies must allow public access to an OGE Form 278/278e for six years from the date the agency received it. Therefore, agencies must retain OGE Form 278-T reports for seven years to ensure that all information supporting the OGE Form 278/278e is available to the public for review during the entire six years prior to destruction/deletion.

GENERAL RECORDS SCHEDULE 3.1: General Technology Management Records

This schedule covers records created and maintained by Federal agencies related to the general management of technology. It includes records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.

This schedule does not apply to system data or content. This schedule does not apply to records documenting the Office of Management and Budget and the US Federal Chief Information Officers Council government-wide information management planning and programming. There may be copies of the Exhibit 300 records within these case files. However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records. Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records**.**

Item	Records Title/Description		Disposition Instruction	Disposition Authority
010	**Information technology development project records.**	**Infrastructure project records.** Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as: • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. Includes records such as: • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation	**Temporary.** Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0006

Item	Records Title/Description		Disposition Instruction	Disposition Authority
		Exclusion: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA. **Note**: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.		
011		**System development records.** These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as: • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: o Privacy Threshold Analyses (PTAs) o Privacy Impact Assessments (PIAs) o Security Plan o Information Protection Plan • change control records • Project Schedule • Plan of Action and Milestones (POA&M) • Configuration Management Plan • Resource Management Plan • Risk Assessment/Mitigation Plan • Security Plan • Disaster Recovery Plan • Test /Acceptance Plan • Quality Control Plan • Deployment Guide • User Guide • Training Guide **Exclusion**: This item does not apply to system data or content. **Note 1**: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.	**Temporary.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
		Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.		
012		**Special purpose computer programs and applications.** Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule. **Exclusion 1**: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. **Exclusion 2**: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function. **Note:** Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.	**Temporary.** Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0008
020	**Information technology operations and maintenance records.** Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as: • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites:		**Temporary.** Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or	DAA-GRS-2013-0005-0004

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	o reviews o site visit reports o trouble reports o equipment service histories o reports of follow-up actions o related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices • requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations o measures of benchmarks o performance indicators o critical success factors o error and exception reporting o self-assessments o performance monitoring o management reports • website administration o frames o templates o style sheets o site maps o codes that determine site architecture o change requests	superseded, but longer retention is authorized if required for business use.	

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	o site posting logs o clearance records o requests for correction of incorrect links or content posted o requests for removal of duplicate information o user logs o search engine logs o audit logs • records to allocate charges and track payment for software and services **Note 1**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2**: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.		
030	**Configuration and Change Management Records.** Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution (including COTS software license management files) and release or version management **Note 1**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2**: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.	**Temporary.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0005

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	Note 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.		
040	**Information technology oversight and compliance records.** Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as: • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • vulnerability assessment reports • assessment and authorization of equipment • Independent Verification and Validation (IV&V) reports • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys • benefit-cost analyses • make vs. buy analysis • reports on implementation of plans • compliance reviews	**Temporary.** Destroy 5 years after the project/activity/ transaction is completed or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0010

Item	Records Title/Description		Disposition Instruction	Disposition Authority
		• data measuring or estimating impact and compliance **Note**: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.		
050	**Data administration records.** Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also	**Documentation necessary for preservation of permanent electronic records.** Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including: • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications **Note 1**: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. **Note 2**: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	**Permanent.** Transfer to the National Archives with the permanent electronic records to which the document-tation relates.	DAA-GRS-2013-0005-0002
051		**All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.** Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications	**Temporary.** Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or	DAA-GRS-2013-0005-0003

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.	and also the following records for all electronic records whether scheduled as temporary or permanent • software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model	the associated data is migrated to a successor system, but longer retention is authorized if required for business use	

New GRS 3.1				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
3.1	010	5 years	DAA-GRS-2013-0005-0006	20	1a	When no longer needed	N1-GRS-95-2, item 1a
				24	11a	1 year	N1-GRS-03-1 item 11a
				24	11b	5 years	N1-GRS-03-1 item 11b
				24	11c	3 years	N1-GRS-03-1 item 11c
3.1	011	5 years	DAA-GRS-2013-0005-0007	16	9	5 years	N1-GRS-81-7 item 1
				20	1a	When no longer needed	N1-GRS-95-2, item 1a
3.1	012	When related master file is deleted	DAA-GRS-2013-0005-0008	20	10	When related master file is deleted	N1-GRS-87-5, item 10
3.1	020	3 years	DAA-GRS-2013-0005-0004	20	1a	When no longer needed	N1-GRS-95-2 item 1a
				24	2	3 years	N1-GRS-03-1 item 2
				24	3a	1 year	N1-GRS-03-1 item 3a
				24	3b2	3 years or 1 year	N1-GRS-03-1 item 3b2
				24	8a	1 year	N1-GRS-03-1 item 8a
				24	8b	1 year	N1-GRS-03-1 item 8b
				24	8c	3 years	N1-GRS-03-1 item 8c
				24	9a	3 years	N1-GRS-03-1 item 9a
				24	9b	3 years	N1-GRS-03-1 item 9b
				24	9c	3 years	N1-GRS-03-1 item 9c
3.1	030	5 years	DAA-GRS-2013-0005-0005	24	3b1	1 year	N1-GRS-03-1 item 3b1
3.1	040	5 years	DAA-GRS-2013-0005-0010	24	1a	5 years or 1 year	N1-GRS-03-1 item 1a
				24	1b	3 years or 1 year	N1-GRS-03-1 item 1b
3.1	050	Permanent	DAA-GRS-2013-0005-0002	20	11a2	Permanent	N1-GRS-07-4 item 11a2
3.1	051	5 years	DAA-GRS-2013-0005-0003	20	11a1	When related master file is deleted	N1-GRS-07-4 item 11a1

Frequently Asked Questions (FAQs) about GRS 3.1, General Technology Management Records

INTRODUCTION

1. What is the purpose of GRS 3.1?

This schedule provides disposition authority for records related to technology management, including records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.

2. From whom may I request more information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 3.1 differ from the old General Records Schedules?

GRS 3.1 replaces half of the items from GRS 24, Information Technology Operations and Management Records. Other GRS items have been moved to 3.1 because they are similar in function and content, such as GRS 16, item 9, Feasibility Studies. Three items from GRS 20, Electronic Records now appear in 3.1:

- GRS 20, item 1a, Records Created to Test System Performance
- GRS 20, item 10, Special Purpose Programs
- GRS 20, items 11a1 and 11a2, Documentation

IT Customer Service Files (GRS 24, items 10a and 10b) are planned for development in a future GRS; the existing authorities are unchanged and are valid for use. The remaining items from GRS 24 are rescheduled in the new GRS 3.2, Information Systems Security Records.

DEFINITION OF TERMS USED IN THIS SCHEDULE

4. What are the definitions of subject-specific terms used in GRS 3.1?

Information technology infrastructure (item 010)

Information technology (IT) Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data communications. Components include hardware such as printers, desktop and laptop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems and shared applications (e.g., word processing). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure.

System development (item 011)

System development is the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production and includes planning, requirements analysis, design, verification and testing, procurement, and installation.

Special purpose computer programs and applications (item 012)

Special purpose computer programs and applications are software that is developed by the agency or under its direction solely to use or maintain electronic records. (Item 012 covers such software for electronic records that are authorized for disposal in a GRS item or a NARA-approved records schedule.)

Master files (item 012)

Master files are the actual content of the electronic records series or system, or in other words the recordkeeping copy of an electronic record or system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.

Configuration and change management (item 030)

Configuration and change management is a process or methodology used to develop, operate, and maintain computer software, systems, and infrastructure improvements.

Data administration (items 050 and 051)

Data administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries.

GENERAL QUESTIONS

5. Why doesn't GRS 3.1 cover system backups and other information security types of records?

GRS 3.1 addresses general records related to technology management. We devised GRS 3.2, Information Systems Security Records, to cover more specialized information security records. System backups are listed in GRS 3.2.

6. Why doesn't GRS 3.1 cover IT help desk records?

Since there are many types of help desks, GRS 24, items 10a and 10b, IT Customer Service Files, will be expanded and moved to GRS 5.8, Internal Help Desk Services Records. Since this schedule has not been developed, the current GRS 24, item 10a and 10b, disposition authorities remain valid and available for use.

7. Why doesn't GRS 3.1 apply to system data or content?

GRS 3.1 excludes system data or content because it would be impossible to apply an across-the-board retention period for these records. Instead, each dataset should be evaluated by an agency and submitted to NARA on a records schedule for approval.

8. Why does GRS 3.1 exclude records documenting the Office of Management and Budget (OMB) and the US Federal Chief Information Officers Council (CIO Council) government-wide information management planning and programming records?

These records are not included in the GRS since they are scheduled as agency records. Certain records maintained by Federal Chief Information Officers (CIO) and their program offices are covered currently under GRS 27, Records of the Chief Information Officer. CIO Committee Records and CIO Subject and Office Records will be addressed in another GRS**.**

9. Why aren't the OMB Exhibit 300 records covered explicitly by this GRS?

OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio and related clearance and review records are covered under GRS 27, item 3, IT Capital Investment Records. There may be copies of the Exhibit 300 records within case files in GRS 3.1, such as Infrastructure Project Records (item 010). However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records in GRS 27.

10. Why can't I use this schedule for contracts for IT projects?

Records needed to support contracts should be in procurement files, which are scheduled under GRS 1.1, Financial Management and Reporting Records**.**

11. I see several major series are being retained for 5 years with various implied cutoff instructions. Why can't I just keep everything in GRS 3.1 for 5 years?

The quick answer is these records are not maintained for a flat 5 years. Different series have different points in time in which the retention period starts based on the business processes related to the records. For instance, for one series the 5 year retention doesn't start until the project has terminated. For another, the retention period starts when the system itself is superseded or terminated. This can lead to considerably different amounts of time records are held by an agency. That being said, this does not preclude agencies from aggregating records into big buckets without NARA approval, provided they are not destroying records too soon. The reason is that this schedule allows agencies to retain all temporary records on the schedule for longer periods of time to meet business needs.

QUESTIONS RELATED TO ITEM 012

12. Why does Item 012 exclude software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives? Why does it also exclude commercial, off-the-shelf (COTS) programs or applications, unless modified?

Software and applications used in conjunction with permanent records are not covered by this GRS schedule because they may be needed to maintain and access the permanent records and therefore may be of permanent value. Such software and applications need to be scheduled and appraised on a

case-by-case basis. Similarly, software and applications related to unscheduled records are excluded from this schedule because the related records may be of permanent value. Commercial, off-the-shelf (COTS) programs or applications, unless modified for use, are considered non-records.

13. Why does computer software need to be kept?

Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

QUESTIONS RELATED TO ITEM 030

14. Why do system management records need to be kept? Which schedule is appropriate for these types of records?

System management records are kept not only to keep track of systems changes, but also because they have a secondary value in that they are needed to understand electronic records transferred to NARA. Should system management activities have a major impact on a system or lead to a significant change, those records should be maintained as part of Item 014 Configuration and Change Management Records.

QUESTIONS RELATED TO ITEM 040

15. Why aren't security plans or Privacy Act System of Records Notices (SORNs) covered by Item 040?

While there may be copies of both documents interfiled within this series, oversight and compliance are not the primary functions associated with either document. Rather, security plans are scheduled under the GRS 3.2, Information Systems Security Records, and SORNs will be covered in another GRS.

QUESTIONS RELATED TO ITEM 050

16. Why do I not cite a separate GRS disposition authority for documentation when it is transferred to NARA with associated permanent electronic records?

Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. So, you will not be citing the GRS authority when you actually transfer the records but the disposition authority for the electronic records themselves.

This practice is to simplify transfer. NARA practice has been to accession system documentation along with the related records. Prior to the establishment of NARA's Electronic Records Archives (ERA), the GRS authority for system documentation was included along with the agency-specific authority for the master files on the paper SF-258. ERA, however, requires a separate Transfer Request for each disposition authority. To eliminate the need to create a separate transfer request for system documentation, practice has been to simply include the system documentation along with the related records in the same Transfer Request. Additionally, records covered by GRS authorities cannot currently be transferred using ERA and a paper SF-258 must be used.

17. Why should I use item 050 for certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) rather than items 011 System Development and 030 Configuration and Change Management Records?

When electronic records are scheduled as permanent in the GRS or in a NARA-approved agency schedule, the documentation that is needed to read and/or understand the records must be transferred to the National Archives to allow for continued access. Without these records NARA cannot provide access to the information; therefore the specific record types listed in item 030 have additional value beyond their use in system development and configuration management.

GENERAL RECORDS SCHEDULE 3.2: Information Systems Security Records

This schedule covers records created and maintained by Federal agencies related to protecting the security of information technology systems and data, and responding to computer security incidents. This schedule does not apply to system data or content.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	**Systems and data security records.** These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as: • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data	**Temporary.** Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.	DAA-GRS-2013-0006-0001
020	**Computer security incident handling, reporting and follow-up records.** A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as: • reporting forms • reporting tools • narrative reports	**Temporary.** Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0002

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	• background documentation **Note:** Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.			
030	**System access records.** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use **Exclusion 1.** Excludes records relating to electronic signatures. **Exclusion 2.** Does not include monitoring for agency mission activities such as law enforcement.	**Systems not requiring special accountability for access.** These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	**Temporary.** Destroy when business use ceases.	DAA-GRS-2013-0006-0003
031		**Systems requiring special accountability for access.** These are user identification records associated with systems which are highly sensitive and potentially vulnerable.	**Temporary.** Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0004
040	**System backups and tape library records.** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	**Incremental backup files.**	**Temporary.** Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0005
041		**Full backup files.**	**Temporary.** Destroy	DAA-GRS-

Item	Records Title/Description			Disposition Instruction	Disposition Authority
				when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.	2013-0006-0006
050	**Backups of master files and databases.** Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.	**File identical to permanent records scheduled for transfer to the National Archives.**		**Temporary.** Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0007
051		**File identical to temporary records authorized for destruction by a NARA-approved records schedule.**		**Temporary.** Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0008
060	**PKI administrative records.** Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records.		**FBCA CAs.**	**Temporary.** Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum	N1-GRS-07-3, item 13a1

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software. **Note:** Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.		level of operation of the CA, or when no longer needed for business, whichever is later.	
061		**Other (non-FBCA *et. al.*) CAs.**	**Temporary.** Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3 , item 13a2

Item	Records Title/Description	Disposition Instruction	Disposition Authority
062	**PKI transaction-specific records.** Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records. **Note:** Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.	**Temporary.** Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period.	N1-GRS-07-3, item 13b

New GRS 3.2				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
3.2	010	1 year	DAA-GRS-2013-0006-0001	20	11b	Superseded or obsolete	N1-GRS-95-02 item 11b
				24	5a	1 year	N1-GRS-03-1 item 5a
				24	5b	1 year	N1-GRS-03-1 item 5b
3.2	020	3 years	DAA-GRS-2013-0006-0002	24	7	3 years	N1-GRS-03-1 item 7
3.2	030	When business use ceases	DAA-GRS-2013-0006-0003	20	1c	No longer needed	N1-GRS-95-2 item 1c
				24	6b	Use GRS 20, item 1c. [No longer needed.]	N1-GRS-03-1 item 6b
3.2	031	6 years	DAA-GRS-2013-0006-0004	24	6a	6 years	N1-GRS-03-1 item 6a
3.2	040	When superseded	DAA-GRS-2013-0006-0005	24	4a1	Superseded or obsolete	N1-GRS-03-1 item 4a1
3.2	041	When second subsequent backup verified	DAA-GRS-2013-0006-0006	24	4a2	After second subsequent backup	N1-GRS-03-1 item 4a2
3.2	050	After capture or transfer request signed	DAA-GRS-2013-0006-0007	20	8a	When backed up or transferred to NARA	N1-GRS-95-2 item 8a
3.2	051	After identical records deleted or replaced	DAA-GRS-2013-0006-0008	20	8b	Superseded or obsolete	N1-GRS-95-2 item 8b
3.2	060	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	N1-GRS-07-3 item 13a1	24	13a1	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	N1-GRS-07-3 item 13a1
3.2	061	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13a2	24	13a2	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13a2
3.2	062	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13b	24	13b	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13b

Frequently Asked Questions (FAQs) about GRS 3.2, Information Systems Security Records

INTRODUCTION

1. What is the purpose of GRS 3.2?

This schedule provides disposition authority for records related to system and data security and access, reports on computer security incidents, and backup tapes and files.

2. From whom may I request more information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 3.2 differ from the old General Records Schedules?

GRS 3.2 is comprised of updated items from GRS 24, Information Technology Operations and Management Records, that are related to information systems security. Public Key Infrastructure (PKI) Records schedules (GRS 24, items 13a1, 13a2, and 13b) are not rescheduled, but they are now part of this schedule (items 060, 061, and 062) under their existing authorities. GRS 3.2 also includes a few items relevant to this schedule that were in GRS 20, Electronic Records.

DEFINITION OF TERMS USED IN THIS SCHEDULE

4. What are the definitions of terms used in GRS 3.2?

Information system

An information system means the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. (36 CFR 1220.18)

Information systems security records

GRS 3.2 defines these as records created and maintained by Federal agencies related to protecting the security of information technology systems and data and responding to computer security incidents.

Information technology infrastructure (item 010)

Information technology (IT) infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data communications. Components include hardware such as printers, desktop and laptop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems and shared applications (e.g., word processing). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure.

Computer incident (item 020)

A computer incident within the Federal Government as defined by NIST Special Publication 800-61, *Computer Security Incident Handling Guide, Revision 2* (August 2012), is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices.

Significant computer incident (item 020)

A significant computer incident that would require scheduling of records outside of this GRS would be defined as one that caused widespread system outage or denial of service, or gained notice by local news media, law enforcement, or the agency's Inspector General's office.

System access records (items 030 and 031)

GRS 3.2 defines these as records created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users.

System backups (items 040 and 041)

Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Master files (items 050 and 051)

Master files are the actual content of the electronic records series or system, or in other words the recordkeeping copy of an electronic record or system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.

Electronic signature (items 060, 061, and 062)

An electronic signature is a technologically neutral term indicating various methods of signing an electronic message that (a) identify and authenticate a particular person as source of the electronic message and (b) indicate such person's approval of the information contained in the electronic message (definition from Government Paperwork Elimination Act, Public Law 105-277). Examples of electronic signature technologies include PINs, user identifications and passwords, digital signatures, digitized signatures, and hardware and biometric tokens. (See Appendix A, *Records Management Guidance for Agencies Implementing Electronic Signature Technologies*, NARA, October 18, 2000)

QUESTION RELATED TO ITEMS 030 AND 031

5. Why don't Items 030 and 031 (system access records) include monitoring that is part of an agency's mission activities?

Records associated with mission activities, such as law enforcement, wilderness preservation, and aeronautics engineering, are scheduled separately because the value of the records varies and they

must be scheduled on agency-specific schedules. Items 030 and 031 cover internal administration of user access to systems and only records created as part of the user identification and authorization process.

GENERAL RECORDS SCHEDULE 4.1: Records Management Records

This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	**Tracking and control records.** Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes: • indexes • lists • registers • inventories • logs **Exclusion 1:** This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records. **Exclusion 2:** This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.	**Temporary.** Destroy when no longer needed.	DAA-GRS-2013-0002-0016
020	**Records management program records.** Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include: • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventorying records and conducting records surveys • scheduling records • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions) • conducting records "clean out" days • conducting special projects Records include: • agency records management program surveys or evaluations	**Temporary.** Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0007

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	• reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States **Exclusion**: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.		
030	**Vital or essential records program records.** Records involved in planning, operating, and managing the agency's vital or essential records program. Includes: • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests	**Temporary.** Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0008
031	**Copies of vital records.** Copies of agency records deemed essential to restore agency functions in case of emergency.	**Temporary.** Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
040	**Forms management records.** Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form • background materials and specifications	**Temporary.** Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0009

New GRS 4.1				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
4.1	010	When no longer needed	DAA-GRS-2013-0002-0016	20	9	No longer needed	N1-GRS-95-2 item 9
				21	29	With related a/v records	N1-GRS-81-9 item VI-2
				23	8	2 years	N1-GRS-98-2 item 45
				23	9	With related records	N1-GRS-98-2 item 46
				24	4b	Superseded or obsolete	N1-GRS-03-1 item 4b
4.1	020	No sooner than 6 years but longer retention is authorized	DAA-GRS-2013-0002-0007	16	2a1	2 years	N1-GRS-98-2 item 16
				16	2a2	6 years	N1-GRS-98-2 item 17
				16	2b	2 years	N1-GRS-98-2 item 18
				16	7	6 years	N1-GRS-98-2 item 19 (in part)
				16	10a	1 year	N1-GRS-91-4 item 1
				16	10b	2 years	N1-GRS-98-2 item 22
4.1	030	3 years	DAA-GRS-2013-0002-0008	16	7	6 years	N1-GRS-98-2 item 19 (in part)
4.1	031	When superseded	DAA-GRS-2013-0002-0015	New item.			
4.1	040	3 years	DAA-GRS-2013-0002-0009	16	3a	5 years	NC1-GRS-81-4 item 1
				16	3b	Superseded or obsolete	NC1-64-77-8 item 4b

Frequently Asked Questions (FAQs) about GRS 4.1, Records Management Records

INTRODUCTION

1. What is the purpose of GRS 4.1?

This schedule provides disposition authority for records Federal agencies create and maintain in the course of managing records and information. It includes records on tracking and controlling agency records and documents, records management programs, forms management, and managing vital or essential records.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 4.1 differ from the old GRS?

Items in this schedule come mostly from existing GRS 16, Administrative Management Records. We also added a new item to this schedule (item 031) to address copies of vital records.

Item 010, tracking and control records, aggregates several existing GRS items, including GRS 20, item 9; GRS 21, item 29; GRS 23, item 8; GRS 23, item 9; and GRS 24, item 4b.

This schedule will eventually include IRM triennial review files (GRS 16, item 11) and information collection budget files (GRS 16, item 12). However, those schedules are not yet ready; they require additional analysis and stakeholder agency concurrence before we can reissue them.

4. Why are you rescinding some old GRS items?

We rescinded records holdings files (GRS 16, items 4a and 4b) because they covered agency reports to NARA using Standard Form-136, Annual Summary of Records Holdings. NARA canceled this form in 1985, and we no longer require agencies to submit these reports.

QUESTION RELATED TO ITEM 010

5. Does this item cover tracking and control records (*also known as* finding aids) for permanent records or unscheduled records?

This authority does not apply to tracking and control records for records scheduled as permanent or for unscheduled records. The value of these records varies, so agencies must schedule tracking and control records for permanent records separately. Unscheduled records could be determined to be permanent, so tracking and control records for them also cannot be scheduled by a GRS item.

QUESTION RELATED TO ITEM 020

6. May we keep certain records under this category, such as those about destroyed records, longer than six years, but destroy others once the six years is up?

Yes, the disposition instruction authorizes both destroying records once they've met the six-year retention period and retaining certain records beyond six years, if needed for business use. Agencies must keep the Transfer Request (TR); Legal Transfer Instrument (LTI); and SF 258, Agreement to Transfer Records to the National Archives of the United States for a minimum of six years so that agencies can properly redirect Freedom of Information Act (FOIA) requests to NARA after the agency has transferred the records to the National Archives.

QUESTION RELATED TO ITEM 031

7. Why is there an item for copies of vital records? Aren't such copies non-records?

Copies of vital records agencies use to respond to an emergency are records because agencies rely on them to conduct agency business.

GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

This schedule covers records created in the course of agencies (1) responding to requests for access to Government information and (2) protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**General information request files.** Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.	**Temporary**. Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0001
020	**Access and disclosure request files**. Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by: • granting the request in full • granting the request in part • denying the request for any reason including: o inability to fulfill request because records do not exist o inability to fulfill request because request inadequately describes records o inability to fulfill request because search or reproduction fees are not paid • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal Includes: • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) **Note 1**: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.	**Temporary**. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0001

Item	Records Description		Disposition Instruction	Disposition Authority
	Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.			
030	**Information access and protection operational records**.	**Information access and protection tracking and control records.** Includes: • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files	**Temporary**. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0002
031		**Access control records.** Includes: • safe and padlock combinations • names or other personal identifiers of individuals who know combinations • comparable data used to control access into classified document containers	**Temporary**. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0020
032		**Records relating to classified or controlled unclassified document containers.** Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702. **Note**: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.	**Temporary**. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0003
040	**Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR**. Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes: • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records		**Temporary**. Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled	DAA-GRS-2016-0002-0004

Item	Records Description		Disposition Instruction	Disposition Authority
	• forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files		unclassified status), as may apply, whichever is later; but longer retention is authorized if required for business use.	
050	**Privacy Act accounting of disclosure files**. Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes: • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent		**Temporary**. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.	NC1-64-77-1 item 27
060	**Erroneous release records**. Files relating to the inadvertent release of privileged information to unauthorized parties, the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes: • requests for information • copies of replies • all related supporting documents	**Records filed with the record-keeping copy of the erroneously released records.**	**Temporary**. Follow the disposition instructions approved for the erroneously released records or destroy 6 years after the erroneous release, whichever is later.	DAA-GRS-2015-0002-0001
061		**Records filed separately from the record-keeping copy of the released records.**	**Temporary**. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.	DAA-GRS-2015-0002-0002
070	**Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.** **Note**: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.		**Temporary**. Destroy 2 years after date of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0006

Item	Records Description		Disposition Instruction	Disposition Authority
080	**Legal and regulatory compliance reporting records.** Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.	**Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.** **Legal citation**: OMB M-07-16.	**Temporary**. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0022
081		**All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).**	**Temporary**. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0023
090	**Privacy Act amendment request files.** Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes: • requests to amend and to review refusal to amend • copies of agency's replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials		**Temporary**. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0007
100	**Automatic and systematic declassification review program records**. Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.		**Temporary**. Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0008

Item	Records Description		Disposition Instruction	Disposition Authority
110	**Fundamental classification guidance review files.** Reports, significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9. **Note**: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).		**Temporary**. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0011
120	**Classified information nondisclosure agreements**. Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.	**Records maintained in the individual's official personnel folder.**	Apply the disposition for the official personnel folder.	
121		**Records maintained separately from the individual's official personnel folder.** **Legal citations:** ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).	**Temporary**. Destroy when 50 years old.	DAA-GRS-2015-0002-0003
130	**Personally identifiable information extracts.** System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information. **Legal citation**: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."		**Temporary**. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.	DAA-GRS-2013-0007-0012
140	**Personally identifiable information extract logs.** Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.		**Temporary**. Destroy when business use ceases.	DAA-GRS-2013-0007-0013

Item	Records Description		Disposition Instruction	Disposition Authority
150	**Privacy Act System of Records Notices (SORNs).** Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).		**Temporary**. Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0002
160	**Records analyzing Personally Identifiable Information (PII).** Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products**.**	**Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs).** Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).	**Temporary**. Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0003
161		**Records of Privacy Impact Assessments (PIAs).**	**Temporary**. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0004
170	**Computer matching program notices and agreements.** Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.		**Temporary**. Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0005

New GRS 4.2				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
4.2	010	90 days	DAA-GRS-2013-0007-0001	14	1	3 months	N1-GRS-98-2, item 10
				14	2	3 months	GRS 14 (1952), items 2 and 3
				23	7, first bullet	When no longer needed	N1-GRS-04-5, item 1
4.2	020	6 years	DAA-GRS-2016-0002-0001	14	11a1	2 years	NC1-64-77-1, item 16a1
				14	11a2a	2 years	NC1-64-77-1, item 16a2a
				14	11a2b	6 years or 3 years or with related records	NC1-64-77-1, item 16a2b
				14	11a3a	6 years	NC1-64-77-1, item 16a3a
				14	11a3b	6 years or 3 years or with related records	NC1-64-77-1, item 16a3b
				14	12a	6 years or 3 years	N1-GRS-87-4, item 17a
				14	21a1	2 years	NC1-64-77-1, item 25a1
				14	21a2a	2 years	NC1-64-77-1, item 25a2a
				14	21a2b	4 years or 3 years or with related records	NC1-64-77-1, item 25a2b
				14	21a3a	5 years	NC1-64-77-1, item 25a3a
				14	21a3b	4 years or 3 years or with related records	NC1-64-77-1, item 25a3b
				14	31a1	2 years	N1-GRS-87-7, item 31a1
				14	31a2a	2 years	N1-GRS-87-7, item 31a2a
				14	31a2b	4 years or with related records	N1-GRS-87-7, item 31a2b
				14	31a3a	5 years	N1-GRS-87-7, item 31a3a
				14	31a3b	4 years or with related records	N1-GRS-87-7, item 31a3b
				14	31c	When requested docs are declassified or destroyed	N1-GRS-87-7, item 31c
				14	32a	4 years	N1-GRS-87-7, item 32a
				4.2	020	6 years	DAA-GRS-2013-0007-0002
4.2	030	2 years	DAA-GRS-2016-0002-0002	14	34	2 years	N1-GRS-98-2, item 14
				14	35	2 years	N1-GRS-98-2, item 15
				18	2	2 years	GRS 18 (1960), item 3
				18	3	2 years	GRS 18 (1960), item 4
				18	4	2 years	GRS 18 (1960), item 5
				18	6	2 years	GRS 18 (1960), item 7
				4.2	030	2 years	DAA-GRS-2013-0007-0003
4.2	031	Superseded or obsolete	DAA-GRS-2013-0007-0020	18	7a	Superseded by new form	GRS 18 (1960), item 8
4.2	032	90 days	DAA-GRS-2016-0002-0003	18	7b	3 months	N1-GRS-93-1, item 7b
				4.2	032	90 days	DAA-GRS-2013-0007-0021
4.2	040	5 years	DAA-GRS-2016-0002-0004	14	13a	5 years	NC1-64-76-3, item 11a
				14	13b	5 years	NC1-64-76-3, item 11b
				14	24a	5 years	NC1-64-77-1, item 28a
				14	24b	5 years	NC1-64-77-1, item 28b
				14	33a	5 years	N1-GRS-87-7, item 33a
				14	33b	5 years	N1-GRS-87-7, item 33b
				18	5a	5 years	GRS 18 (1960), item 6a
				18	5b	Related document downgrade, transfer, or destruction	GRS 18 (1960), item 6b
				4.2	040	5 years	DAA-GRS-2013-0007-0004
4.2	050	No change. NC1-64-77-1 item 27 remains current.		14	23	5 years	NC1-64-77-1 item 27
4.2	060	6 years or with related records	DAA-GRS-2015-0002-0001	14	36a	6 years or with related records	N1-GRS-89-2, item 1a
4.2	061	6 years	DAA-GRS-2015-0002-0002	14	36b	6 years	N1-GRS-89-2, item 1b
4.2	070	2 years	DAA-GRS-2013-0007-0006	14	14	2 years	N1-GRS-98-2, item 11
				14	25	2 years	N1-GRS-89-4, item 1
4.2	080	5 years	DAA-GRS-2013-0007-0022	27	4	5 years	N1-GRS-04-4, item 4
4.2	081	2 years	DAA-GRS-2013-0007-0023	New item			
4.2	090	4 years	DAA-GRS-2013-0007-0007	14	22a	4 years or with related records	NC1-64-77-1, item 26a
				14	22b	4 years or 3 years or with related records	NC1-64-77-1, item 26b
				14	22c	3 years or with related records	NC1-64-77-1, item 26c
4.2	100	30 years	DAA-GRS-2013-0007-0008	New item			
4.2	110	5 years	DAA-GRS-2013-0007-0011	New item			
4.2	120	Apply disposition of OPF	None; old item is rescinded.	18	25b	Apply disposition of OPF	N1-GRS-95-1 item 1b
4.2	121	50 years	DAA-GRS-2015-0002-0003	18	25a	70 years	N1-GRS-95-1 item 1a
4.2	130	90 days	DAA-GRS-2013-0007-0012	New item			
4.2	140	No longer needed	DAA-GRS-2013-0007-0013	New item			
4.2	150	2 years	DAA-GRS-2016-0003-0002	New item			
4.2	160	3 years	DAA-GRS-2016-0003-0003	New item			
4.2	161	3 years	DAA-GRS-2016-0003-0004	New item			
4.2	170	Superseded or 2 years	DAA-GRS-2016-0003-0005	New item			

Frequently Asked Questions (FAQs) about GRS 4.2, Records of Information Access and Protection

Revised June 2016

GENERAL

1. What is the purpose of GRS 4.2?

This schedule provides disposition authority for records agencies create in the course of (1) responding to requests for access to Government information, and (2) protecting information that is classified, controlled unclassified, or contains personal data whose protection is required by law.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

3. How does GRS 4.2 differ from the old GRS?

This schedule merges all Freedom of Information Act (FOIA), Privacy Act (PA), and Mandatory Declassification Review (MDR) request records—18 separate items from GRS 14—into a single item (020). In the old GRS, these 18 items covered individual types of requests and agencies retained the documents for various periods, depending on the type of response. This system required many items to cover all contingencies. A unified single item better lends itself to electronic recordkeeping, which is how most agencies currently maintain records documenting information requests from the public.

Records covered in this schedule that have never before appeared in the GRS include: automatic and systematic declassification review program records (item 100), classification guidance review records (item 110), personally identifiable information (PII) extracts and logs (items 130 and 140), Privacy Act systems of records notices (SORNs, item 150), records analyzing PII (items 160 and 161), and computer matching program notices and agreements (item 170).

4. Why did you rescind some old GRS items?

We rescinded GRS 14, items 11b, 12b, 21b, 31b, and 32b with the publication of GRS 4.2. These items covered records requested under FOIA, PA, and MDR that agencies remove from their original location and re-file as part of the access request record. In our discussions with agencies, we found none that remove requested records from their original locations. GRS 4.2, item 020, leaves requested records scheduled by their original authority (*copies* may be filed and scheduled with the access request record). We therefore do not need separate items covering a situation that does not exist.

We also rescinded GRS 18, item 25b. A disposition instruction declares records either permanent or temporary and includes a disposition authority. A filing instruction does not declare records permanent or temporary and does not include authority to dispose of records; it simply instructs on where to file them. GRS 18, item 25b was a filing instruction whose "disposition authority" was meaningless as it

neither directed the records' permanent retention nor destruction. By removing item 25b, we rescind the disposal authority. The filing instruction, which is still valid, is now in item 120 of this schedule.

5. Why do the disposition instructions include different "DAA" numbers?

Most new General Records Schedules are processed through the Electronic Records Archives (ERA) as a single series of items. The bulk of GRS 4.2 was processed in ERA under "job number" DAA-GRS-2013-0007, but items 060, 061 and 121 were later added under DAA-GRS-2015-0002. Still later additions and alterations were accomplished under job numbers DAA-GRS-2016-0002 and DAA-GRS-2016-0003. The disposal authorities you see for these three items are not typographical errors.

QUESTION RELATED TO ITEM 020

6. Why does item 020 aggregate so many items from the old GRS?

The old GRS included variable retention periods of 2, 3, 5, or 6 years. The schedule based these periods on whether the agency granted (in full or in part), denied, or was unable to fill the request, or whether the requester appealed/adjudicated the agency's response. In our discussions with agencies, we learned that agencies do not separate these files this way, and prefer to have a standard retention period. The statute of limitations for appealing agency responses is six years, so the new GRS establishes the common retention period to comply with that statute of limitations. This retention period ensures that agencies retain records as long as a requester has the right to challenge or appeal either a denial or the adequacy of a positive response, thereby making sure agencies still have the records if the requester wins the appeal. Making the retention period common to all the aggregated items also simplifies electronic recordkeeping since agencies need not segregate case files into smaller units based on the way the file closed.

Agencies that find their business processes would work more smoothly with the former GRS retention periods can write an agency-specific schedule requesting an exception to the GRS.

QUESTION RELATED TO ITEM 030, 031, and 032

7. Items 030, 031, and 032 are related to each other topically and are all retained for very short periods of time. Why aren't they merged into one item with a unified retention period?

The original draft of this schedule did merge these into one item with a 2-year retention period. Some agencies objected, noting that the then-current GRS showed some of the records as disposable when superseded or obsolete; requiring a 2-year retention period for such items (when the records might become obsolete much sooner) was an unwarranted burden. We agreed, and reworked the list of records into three smaller items linked directly to the minimum amount of time for which agencies should have a strictly business use for the records. If an agency, for its convenience, wishes to collapse items 030, 031, and 032 into a unified item with a single retention period, it can do so because we authorize longer retention for all three items if required for business use.

QUESTION RELATED TO ITEM 060

8. Erroneous release records were retained for 6 years in the old GRS. Now they are retained until the released records are destroyed. Why?

Agencies now almost always file documentation of erroneous release of records with the erroneously-released records rather than in a separate series of all erroneous release cases divorced from the records they concern. This gives context both to the documentation about the release and to the original records themselves. It also allows the agencies to "remember" an erroneous release as long as the records survive. Because of this practice and the benefits that arise from it, we have tied the retention period of erroneous release information to the released records so that they will survive as long as the associated records.

QUESTION RELATED TO ITEM 090

9. Privacy Act amendment request records used to be scheduled for various lengths of time linked to the manner in which the case was closed: particularly, whether court adjudication was involved. Why are these items now collapsed into one item?

The retention period for the three old GRS items in question did depend on how the case closed: GRS 14, item 22a (per approved disposition for record being amended, or 4 years after agency's agreement to amend, whichever is later); item 22b (per approved disposition for record being amended, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later); and item 22c (per approved disposition for record being amended, or 3 years after final adjudication by courts, whichever is later). The disposal instruction for the new item (destroy with the records for which amendment was requested or 4 years after close of case—final determination by agency or final adjudication, whichever applies—whichever is later) actually retains every one of these variants. "Destroy with the records for which amendment was requested" is the most frequently used option.

QUESTION RELATED TO ITEM 120

10. Why is there no disposition authority for this item?

The disposition instruction for this item (classified information nondisclosure agreements maintained in the individual's official personnel folder) is really a filing instruction telling agencies to file the records in the OPF; therefore, it does not include disposal authority. See question 4, paragraph 2, for information on the difference between disposition and filing instructions.

QUESTION RELATED TO ITEM 121

11. Why is this item's retention so drastically reduced?

The previous 70-year retention period originated from Director of Central Intelligence Directive (DCID) 6/1 (November 4, 2003), which applied only to agencies in the Intelligence Community. Intelligence Community Directive 703, "Protection of Classified National Intelligence, Including Sensitive Compartmented Information," rescinded DCID 6/1 on June 21, 2013. Directive 703 does not include specific retention period requirements for nondisclosure agreements. So we are applying the 50-year retention period specified in 32 CFR 2001.80(d)(2)(vii). The Office of the Director of National Intelligence concurred with 50 years.

QUESTIONS RELATED TO ITEMS 150, 160, AND 161

12. Why does this schedule not cover Privacy Act Statements (PASs)?

The Privacy Act requires agencies to tell individuals providing personal information destined for a system of records about how the agency will use that information and to whom the agency will disclose it. The vehicle for this is a PAS. This schedule does not cover PASs because they are not stand-alone documents or a records series in themselves. Rather, agencies tend to incorporate them into the very forms on which agencies ask individuals to enter data. They generally appear as part of a form's "small print," often at the bottom of the page.

13. May I consider the SORNs and PIAs posted on my agency's web pages as the record copy covered by this item?

The GRS is agnostic on where, how, and by whom records are retained. An agency may choose to retain its record copy of active SORNs and PIAs on its external or internal web pages. An agency should determine as part of its policies and procedures where and how it keeps recordkeeping copies.

QUESTION RELATED TO ITEM 150

14. Why must I retain a copy of a System of Records Notice (SORN) when I can always get it from the Federal Register, where it is a permanent record?

This item covers not only a copy of the SORN itself, but also significant background material showing its development. These records have continuing business use as long as a SORN is in effect.

QUESTION RELATED TO ITEM 161

15. Does this item cover internal Privacy Impact Assessments (PIAs)—those about information collection from agency employees—as well as PIAs about information collection from the public?

Yes. The item description covers all PIAs, regardless of whether the agency collects the information from the public or from the subset of the public known as agency employees. OMB guidance memo M-03-22, "Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002," indicates agencies must use the same stringent measures to protect information about both the public and agency employees. Therefore, this item also includes PIAs concerning systems of records in which agencies collect PII from their employees.

QUESTION RELATED TO ITEM 170

16. What is the OMB "Final Guidance" to which this item refers?

OMB guidance on Computer Matching Agreements appears in several documents, some of them post-dating the 1989 document bearing the word "final" in its title. See:

- Final Guidance interpreting the Provisions of Public Law 100-503, published in the *Federal Register* (54 FR 25818, June 19, 1989)
- OMB Circular A-130, Appendix I (which, as of August 2016, is in the process of being revised and moved to Circular A-108)

- The Computer Matching and Privacy Protection Amendments of 1990 and the Privacy act of 1974, published in the *Federal Register* (56 FR 18599, April 23, 1991)
- Privacy Act of 1974: Revised Supplemental Guidance for Conducting Matching Programs, published in the *Federal Register* (47 FR 21656, May 19, 1982)

GENERAL RECORDS SCHEDULE 4.3: Input Records, Output Records, and Electronic Copies

This schedule provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. In other words it covers records that contain information duplicated in the recordkeeping copies of electronic records (also known as the master records or master files). This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content. Electronic records not included in GRS 4.3 may not be destroyed unless authorized by a NARA approved schedule.

Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled that have been converted to an electronic format. Electronic versions of special media records such as these often do not adequately replace the original and therefore the original records may not be destroyed as "input records."

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Hardcopy or analog input/source records.** The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be	**Hardcopy or analog input/source records previously scheduled as temporary.** Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system. Not media neutral. Applies to hardcopy or analog records only.	**Temporary.** Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0001
011	included are: • hardcopy forms used for data input • hardcopy documents that are scanned into an electronic recordkeeping system • hardcopy or analog still pictures, sound recordings, motion	**Hardcopy or analog input/source records previously scheduled as permanent.** Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards. **Exclusion:** The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule:	**Temporary.** Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion, but longer retention	DAA-GRS-2013-0001-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	picture film, or video recordings that were previously scheduled as temporary	• Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. • Hardcopy records when the electronic versions do not meet NARA's electronic records standards. • Hardcopy records that are not incorporated in their entirety into an electronic system. • Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. **Legal citations:** 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1) Not media neutral. Applies to hardcopy or analog records only.	is authorized if required for business use.	
012		**Hardcopy or analog input/source records not previously scheduled.** Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system. **Exclusion 1**: Hardcopy records when the electronic versions do not meet NARA's electronic records standards. **Exclusion 2**: Hardcopy records that are not incorporated in their entirety into an electronic system. **Exclusion 3**: Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule. Not media neutral. Applies to hardcopy or analog records only.	**Temporary.** Destroy immediately after approval of a schedule for the electronic records <u>and</u> after verification of successful conversion, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0003

Item	Records Description		Disposition Instruction	Disposition Authority
020	**Electronic input/source records.** Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including: • electronic files that duplicate information from a source electronic system for input into another electronic system • electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions) • computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database • metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations **Exclusion 1**: Original electronic records maintained in the source system. **Exclusion 2**: Electronic input records required for audit and legal purposes. **Exclusion 3**: Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency. Not media neutral. Applies to electronic records only.		**Temporary.** Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0004
030	**Output records.** Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system	**Ad hoc reports.** Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems. **Exclusion 1**: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials). **Exclusion 2**: Records containing substantive information, such as	**Temporary.** Destroy when business use ceases.	DAA-GRS-2013-0001-0005

Item	Records Description		Disposition Instruction	Disposition Authority
	itself are not system output records, for example an annual report that agency staff	annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)		
031	prepares based on reviewing information in the system. **Exclusion 1**: Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled. **Exclusion 2**: Any hardcopy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.	**Data file outputs.** Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including: • data files consisting of summarized or aggregated information (See exclusions) • electronic files consisting of extracted information (See exclusions) • print file (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports) • technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions) **Exclusion 1**: Data files that are created as disclosure-free files to allow public access to the data. **Exclusion 2**: Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed. **Exclusion 3**: Data extracts produced by an extraction process which changes the informational content of the source master file or database. **Exclusion 4**: Technical reformat files created for transfer to NARA. **Exclusion 5**: Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item	**Temporary.** Destroy when business use ceases.	DAA-GRS-2013-0001-0006

Item	Records Description		Disposition Instruction	Disposition Authority
		130 (DAA-GRS-2013-0007-0012). Not media neutral. Applies to electronic records only.		
040	**Non-recordkeeping copies of electronic records.** Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes: • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to an recordkeeping system or otherwise preserved • electronic spreadsheets • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves **Note 1:** Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records. **Note 2:** For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list. Not media neutral. Applies to electronic records only.		**Temporary.** Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0007

New GRS 4.3				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
4.3	010	When data verified in master file	DAA-GRS-2013-0001-0001	20	2a4	When e-version is verified, etc.	N1-GRS-07-4, item 2a4
4.3	011	60 days after notification and verification	DAA-GRS-2013-0001-0002				
4.3	012	Approval of schedule for electronic records and verification	DAA-GRS-2013-0001-0003				
4.3	020	When data verified in master file	DAA-GRS-2013-0001-0004	20	1b	After transfer to master file	N1-GRS-87-5, item 1b
				20	2b	When data verified in master file	N1-GRS-87-5, item 2b
				20	2c	When data verified in master file	N1-GRS-87-5, item 2c
				20	2d	When data is in master file	N1-GRS-87-5, item 2d
				20	12c	No longer needed	N1-GRS-95-2, item 12c
4.3	030	No longer needed	DAA-GRS-2013-0001-0005	20	12a	No longer needed	N1-GRS-95-2, item 12a
				20	12b	No longer needed	N1-GRS-95-2, item 12b
				20	16	No longer needed	N1-GRS-07-4, item 3.2
4.3	031	No longer needed	DAA-GRS-2013-0001-0006	20	4	No longer needed	N1-GRS-95-2, item 4
				20	5	No longer needed	N1-GRS-95-2, item 5
				20	6	No longer needed	N1-GRS-95-2, item 6
				20	7	No longer needed	N1-GRS-95-2, item 7
4.3	040	After copying to recordkeeping system or preservation repository	DAA-GRS-2013-0001-0007	20	13	No longer needed	N1-GRS-95-2, item 13
				20	14	After copying to recordkeeping system	N1-GRS-95-2, item 14
				20	15a	No longer needed	N1-GRS-95-2, item 15a
				20	15b	When hard copy retention expires	N1-GRS-95-2 item 15b

Frequently Asked Questions (FAQs) about GRS 4.3, Input Records, Output Records and Electronic Copies

Revised June 2015

INTRODUCTION

1. What is the purpose of GRS 4.3?

This schedule provides disposition authority for records related to electronic systems or collections of electronic records, including:

- Records agencies use to create or update the master or recordkeeping copy
- Certain records extracted from electronic systems, including queries on system content
- Electronic and hardcopy reports
- Non-recordkeeping copies of electronic records

In other words, it covers records that contain information duplicated in the recordkeeping copies of electronic records. This schedule does not cover the recordkeeping copies themselves, which agencies must schedule based on their content.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 4.3 differ from the old General Records Schedules?

GRS 4.3 replaces most of GRS 20. We rescheduled a few items from GRS 20 in a new GRS 3.1, General Technology Management Records, or will include them in other future schedules. We also rescinded some items in GRS 20. For information on the final outcome of specific items in GRS 20, see the GRS 20 crosswalk.

The schedule continues to cover input/source records, output records, and copies of word processing files, electronic mail, and spreadsheets. We reorganized and redefined items within the schedule, but made no significant changes to the records retention periods. Changes include:

- Breaking GRS 20, item 2a4, hardcopy or analog input/source records, into three items, depending on whether and how the agency scheduled the original records.
- Aggregating multiple GRS 20 items covering electronic input records into a single item;
- Merging items for hardcopy and electronic *ad hoc* reports into a single, media-neutral item;
- Aggregating multiple GRS 20 items covering electronic output items into a single item; and
- Aggregating items for copies of word processing files, electronic mail, and spreadsheets and expanding the new item to other copies of electronic files.

4. Why did you rescind GRS 20, items 2a1-3?

We rescinded these three items because they are not actual disposition authorities; GRS items must provide records disposition authorities. Generally, agencies can destroy hardcopy input materials after either verifying the agency has converted them to electronic form (for temporary records) or notifying NARA of XXXX (for permanent records) (see item 2a4). These three items were instructions that allowed exceptions to this general rule. Because items in the GRS provide records disposition authority, we no longer list these exceptions as items in the GRS, but they still exist within the GRS in a different form. They now appear as exclusions to item 011. The intent of GRS 20, item 2a3, is covered by GRS 4.3, items 010-012, which apply to records converted to electronic format in their entirety.

5. Why did you rescind GRS 20, items 3 and 3.1?

We rescinded these items from the GRS because they are not disposition authorities and GRS items provide records disposition authorities. These two items were instructions to either apply an existing schedule or submit a new SF-115. However, removing them from the GRS does not mean that the instructions no longer apply to agencies. NARA's regulations at 36 CFR 1225.24 include instructions on when agencies can apply existing schedules and when they must reschedule records, and agencies must follow these regulations.

6. Can I still apply existing schedules for paper records to electronic versions?

Yes. Title 36 CFR 1225.24 and NARA's Frequently Asked Questions (FAQs) About Media-Neutral Schedule Items provide instructions on when agencies may apply existing schedules for hardcopy or analog records to electronic versions.

DEFINITION OF TERMS USED IN THIS SCHEDULE

7. What are master files?

Master files are the actual content of the electronic records series or system or, in other words, the recordkeeping copy of an electronic record or system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.

8. What are input/source records?

Input records are the source of the information someone enters into an electronic system. You use them to create, update, or modify master files your agency keeps to meet recordkeeping requirements under a NARA-approved records schedule. Input records may be electronic files or hardcopy (non-electronic) documents. They may include records such as upload files staged for ingest into a system or hardcopy forms scanned or otherwise entered into the system.

Not all input processes create separate records. Those that do *not* include:

- Structured data the user enters from online forms, structured data the user manually inputs directly into the system (no hardcopy form), and unstructured (textual) data that is born digital (*i.e.*, not scanned from paper).

- Data moved automatically from another system with no associated data file. Thus, the data is copied from one system to the other without creating an intermediary data file. (For example, data are pulled from one system to populate another, and fields from System X are used to populate System Y.) This does not cover data migrated from a legacy system to a new system.

9. What does "verification of successful conversion" mean?

Verification of successful conversion means that the agency has taken steps to ensure that hardcopy or analog records have been converted to electronic format in their entirety, that no information or pages are missing, all information is readable, especially in cases where records are scanned, and that the electronic version of the record is accessible (it can be opened). It is up to Federal agencies to define their verification procedures. NARA does not have specific requirements for how conversion of records to an electronic format should be verified.

10. What are output records?

Output records are derived *directly* from the system master file. An example is a report that agency staff print from the system by clicking on a field or radio button in the system. By contrast, reports created using system information but not created directly from the system itself are not system output records. An example is an annual report that agency staff prepares based on reviewing information in the system.

11. What are "non-recordkeeping copies"?

Non-recordkeeping copies are any copy other than the "official record" kept by the agency for formal recordkeeping purposes. Do not confuse the term with "non-record." Non-recordkeeping copies may be records. They are records if they are used to make decisions or take actions, but they generally do not need to be kept for documentation purposes as long as the official record copy. For example, email an agency creates and receives in the course of Federal business is a non-recordkeeping copy that is a record. Those emails may be copied into an official recordkeeping system for long-term preservation. The copy on your computer is still a record used to conduct business, but it is not the recordkeeping copy; it is a non-recordkeeping copy.

12. Item 040 states that it includes "copies of the above electronic records maintained in websites or web servers, but excluding web pages themselves." What are "web pages" in this context?

The term "web pages" as it is used in this item refers to the electronic file(s) that make up the page as it renders on the web, such as an HTML or XML file, style sheets, and any other associated files that may make up the web page.

SCHEDULE IMPLEMENTATION

13. Why doesn't GRS 4.3 cover electronic records/system master files?

GRS 4.3 does not cover electronic records/system master files because the content of such records is too variable. The GRS schedules records based on their content, not the type of records. Input and output records may seem like they are being scheduled by record type, but really they are scheduled based on their content: their content is duplicative information contained in other records. GRS 4.3

schedules records containing information duplicated in other electronic records or recordkeeping systems. Some electronic records/system master files may be covered by other General Records Schedules depending on their content.

14. How and when is GRS 4.3 applied to input records?

If the input records are in hardcopy format:

Input record description	Source already scheduled?	Limitations imposed by the GRS	Instruction	GRS citation
Hardcopy records entered or scanned into the system where the electronic version captures *all* information on the hardcopy, such as: • Data entered into system from a paper form • Scanned images/ PDFs of hardcopy records	Yes; scheduled as permanent	Schedule states that records must be transferred in hardcopy.	These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.	N/A
		Electronic version does not meet NARA transfer standards.	These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.	N/A
		Schedule does not require hardcopy transfer or is silent on format of records to be transferred to NARA and electronic format meets transfer standards.	Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion, but longer retention is authorized if required for business use.	GRS 4.3, item 1a2 (DAA-GRS-2013-0001-0002)
	Yes; scheduled as temporary		Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.	GRS 4.3, item 1a1 (DAA-GRS-2013-0001-0001)
	No		Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use.	GRS 4.3, item 1a3 (DAA-GRS-2013-0001-0003)

Input record description	Source already scheduled?	Limitations imposed by the GRS	Instruction	GRS citation
Hardcopy records converted to electronic format but containing information not captured in electronic version, such as: • Records with handwritten annotations • Records with layered attached notes • Color-dependent documents captured electronically only in black-and-white	Yes		These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.	N/A
	No		These records are not covered by the GRS. Input record must be scheduled because it is unique.	N/A
Hardcopy records where the electronic version does not replace the source record, such as: • A case tracking system in which users input information from source documents, but the documents themselves remain a distinct entity outside the system	Yes		These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.	N/A
	No		These records are not covered by the GRS. Input record must be scheduled because it is unique.	N/A

If the input records are in electronic format:

Description of input records	Limitations imposed by the GRS	Instruction	GRS citation
Electronic records used to create or update a master file, such as: • Work files		Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified,	GRS 4.3, item 1b (DAA-GRS-

Description of input records	Limitations imposed by the GRS	Instruction	GRS citation
• Valid transaction files • Intermediate input/output records		but longer retention is authorized if required for business use.	2013-0001-0004)
Electronic records entered into system during an update process, such as: • Copies of data files or records from another system maintained by the agency	Required for legal or audit purposes.	These records are not covered by the GRS. The input records must be scheduled.	N/A
	Not required for legal or audit purposes.	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)
Electronic records received from another agency and used as input/source records, such as: • Copies of data files or records from a system in another agency	Produced under an interagency agreement.	These records are not covered by the GRS. The input records must be scheduled.	N/A
	Created for specific information needs of receiving agency.		
	Neither produced under an interagency agreement nor created for specific information needs of receiving agency.	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)
Uncalibrated and unvalidated data collected in observation or measurement activities or research and development programs, such as: • Scientific observational data from satellites • Research experimental test data		Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)

Description of input records	Limitations imposed by the GRS	Instruction	GRS citation
Electronic records scheduled elsewhere and the system does not replace the source record, such as: • A case tracking system in which users input information from source records, but the records themselves remain a distinct entity outside the system		These records are not scheduled in the GRS. Apply source system's existing authority or schedule source system if unscheduled.	N/A

Note: If the input records are in electronic format, any electronic files created specifically from one system as an input to another system must either be covered by the GRS or separately scheduled, even if the originating system is scheduled.

QUESTIONS ABOUT ITEMS 010, 011, AND 012 – HARDCOPY OR ANALOG INPUT/SOURCE RECORDS

15. Why does the GRS state that input records must be copied "in their entirety"?

The GRS states that input records must be copied in their entirety because otherwise the input record is not a duplicate of what is maintained in the master file and therefore the input record contains unique information that may change the value of the record. For example, a hardcopy source record could contain an annotation that is not clearly picked up when the record is scanned. Therefore the scan does not copy the input record in its entirety, the source record contains additional information not in the scanned version, and the source record may therefore have unique value.

This requirement does not apply only to scanned documents. Data may be entered from a form. If not all of the form's data is entered into the system, then the source record has not been copied in its entirety. One exception may be where a form is used to check a record already in the system. If information on the form already matches what is in the system, there is no need to update the information in the system. In that case, the source record is still being copied in its entirety because the information on the input form and in the system is the same. As long as there is a one-to-one relationship between the source record and the electronic version and they match, the source record is being copied in its entirety.

The requirement that input records be ingested in their entirety is not new. GRS 20, item 2a3, specified that hardcopy input/source records that contained information that was not or could not be captured in the electronic version of the records (e.g., certain handwritten annotations) must be disposed of according to the schedule for the hardcopy record.

16. When is it not appropriate to destroy input records once they are converted to an electronic format?

Agencies may find that in certain circumstances they have a business need for the source records even after they have converted the records to an electronic format. In such cases, agencies may determine

that it is not appropriate to apply the GRS for converted input/source records. Agencies should assess their business need for the source records and may establish a longer retention in their agency-specific disposition manuals without additional NARA approval. In some cases, source records may be or become part of another records series scheduled on an agency-specific schedule. In these cases, the agency-specific schedule should be applied rather than the GRS. For example, if the source record is part of another record, such as a case file, but the electronic version of the record is not a copy of the entire case file or has a separate purpose from the case file, then an agency-specific disposition authority may apply to the source record rather than the GRS.

QUESTION ABOUT ITEM 020 – ELECTRONIC INPUT/SOURCE RECORDS

17. Why are electronic input/source records created under an interagency agreement or in response to specific information needs of the receiving agency excluded from this item?

Records created under an interagency agreement are excluded because such an agreement is a legal document that is specific to that set of records, and may provide for additional retention requirements not in accordance with the GRS. Similarly, responses to specific information needs are excluded because they may have statutory or regulatory requirements. Both types of records may need to be retained longer than the minimum period in Item 020, to protect both the sending and receiving agencies.

QUESTION ABOUT ITEM 031 – OUTPUT RECORDS – DATA FILE OUTPUTS

18. Why are data file outputs from records scheduled as permanent, but that no longer exist or can no longer be accessed, excluded? How can a permanent record no longer exist or no longer be accessed?

Records may have been scheduled as permanent but the record itself may no longer exist or be inaccessible because it was lost, corrupted, or in some other way can no longer be opened or read. In that case, a data file output may be the only accessible version of the record and NARA might want to take the output record in place of the inaccessible/unavailable permanent master record. This note should not be interpreted to mean that outputs must be kept just in case the permanent record becomes inaccessible; it only means that, if you have the output records and the master file is inaccessible, you should contact NARA to see if you should transfer the output records instead.

QUESTION ABOUT ITEM 040 – NON-RECORDKEEPING COPIES OF ELECTRONIC RECORDS

19. Why does GRS 4.3 schedule non-recordkeeping copies?

Not all copies are non-record. Copies may still be records if they are used to make decisions or take actions, so they require an approved schedule for disposition. Non-recordkeeping means only that the record is not maintained for recordkeeping purposes. It is still a record.

GENERAL RECORDS SCHEDULE 4.4: Library Records

Agency library and information centers collect material related to their agency's mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library's administration and daily operations. This schedule does not cover nonrecord material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Library administrative records.** Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as: • strategic plans, project plans • policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material • promotional material describing library services and resources • correspondence and records on library staffing and relations with other libraries • quick guides to library databases and resources , topical or customized reading lists, and bibliographies **Note:** For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.	**Temporary.** Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.	DAA-GRS-2015-0003-0001
020	**Library operations records.** Records documenting the daily activities of running a library. Includes: • reference inquiries and responses • correspondence and records about normal cataloging, circulation, and document delivery activities • visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms • photocopying and digitization requests	**Temporary.** Destroy when business use ceases.	DAA-GRS-2015-0003-0002
030	**Inter Library-Loan (ILL) requests.**	**Temporary.** Destroy 5 years after completing the transaction.	DAA-GRS-2015-0003-0003

New GRS				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
4.4	010	3 years	DAA-GRS-2015-0003-0001	New item			
4.4	020	When business use ceases.	DAA-GRS-2015-0003-0002	New item			
4.4	030	5 years	DAA-GRS-2015-0003-0002	New item			

Frequently Asked Questions (FAQs) about GRS 4.4, Library Records

INTRODUCTION

1. What is the purpose of GRS 4.4?

This schedule provides disposition authority for records that agencies create and maintain in the course of administering and operating Federal agency libraries. This schedule does not provide disposition authority for a library's collection or holdings.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

GENERAL QUESTIONS

3. This GRS covers library collections but not special collections. What is the difference between them?

Library collections covered by this GRS consist of information and materials collected by Federal libraries and information centers to support their agency's users (agency employees, military personnel, embassy personnel, etc.) and mission. Library collections may include reference copies of agency publications and related books, journals, and electronic resources. 36 CFR 1222.14 defines most material held in library collections as non-records.

Special collections are library and archival material characterized by its intrinsic, historic, or unique nature, regardless of format (*e.g.*, rare books, manuscripts, photographs, institutional archives). These collections rarely circulate, and are often in a secure area. They may need special handling and require special preservation. Thus, what distinguishes special collections from library collections is that the former tend to include unique materials, often including archival materials (records) that often need special care. [1]

4. Why doesn't the GRS cover administration of special collections?

The GRS schedules records based on content, not type. GRS 4.4 schedules records that agencies create in the course of routinely administering and managing a library. While special collections involve similar functions, their administrative records are less likely to be routine. Since special collections contain unique material, their management creates records specific to special business processes: accessioning, special handling, access restrictions, security, tracking, preservation requirements, and loans to external entities, to name a few. In addition, agencies often prove the authenticity and provenance of special collection items through records showing chain of custody. The historical value of these records must

[1] Online Computer Library Center (OCLC) http://www.oclc.org/research/publications/library/2010/2010-11.pdf, p. 16.

be linked to the value of the special collection itself. For these reasons, it is not possible to include these records in a GRS.

5. My agency creates and publishes special reports, journals, and magazines that are in the library collection. Are these permanent records?

It depends on whether the library maintains the record copy or a reference copy. Agencies typically schedule their own publications as permanent records. Libraries often collect and make available agency publications for reference purposes. Copies the library keeps only for reference are non-record and the agency does not need to schedule them. If the library maintains the recordkeeping copy of its agency's publications, then they are records and the agency must schedule them.

6. My library creates and maintains a website. Can we use this GRS for our library website?

This GRS covers described records (for instance, "promotional material describing library services and resources" in item 010 and "catalog searches and circulation of material" in item 020) whether the agency implements their function via hard-copy records in real space or via a website. Many library online resources are non-record material (reference material, books, newspapers, *etc*.), which the agency does not need to schedule. As a result of the mix of materials that may be on a given website, this GRS does not automatically cover *all* records on a Federal library website *per se*. We also note that an agency may choose to schedule its website(s) individually or collectively as its "web presence."

QUESTION RELATED TO ITEM 020

7. Item 020 covers records that contain information about library users (circulation records, research requests, sign-in sheets, etc.) that likely include personally identifiable information (PII). Why are there are no instructions for how agencies should handle PII?

The GRS provides instructions for how long agencies must retain records, not how agencies internally manage their records. Agencies should include handling PII as part of their policies and procedures; it is outside the scope of the GRS.

GENERAL RECORDS SCHEDULE 6.1: Email Managed under a Capstone Approach

This schedule applies *only* to Federal agencies that implement a Capstone approach as described in this GRS. When implementing this GRS, agencies should consult the FAQs about GRS 6.1, Email Managed under a Capstone Approach. Agencies are reminded that this GRS should not be implemented in isolation, and should be supplemented with agency-wide policies and training, as well as incorporated into agency records management implementation tools, such as manuals and file plans. Agencies adopting a Capstone approach should also consult other resources available from NARA related to email management, specifically the Capstone approach. These resources are available on NARA's email management page and are summarized in the introduction to the FAQ.

Agencies must not implement this GRS until approval of NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1*. Additional information, including a link to the form, may be found in FAQ 3 and in the instructions accompanying the form.

GRS Scope

Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. This GRS may apply to records affiliated with other commonly available functions of email programs such as calendars/appointments, tasks, and chat.

Each agency is responsible for determining the scope of implementation when using Capstone, including, 1) The range of implementation in an organization (agency-wide, specific office, etc.); and 2) The range of implementation regarding email technology and system platforms. Brief information on the scope of an agency's Capstone implementation is also required on NA-1005.

Agencies are also responsible for defining (and documenting through policy) the official recordkeeping version of email to be managed under a Capstone approach, especially when email is captured or retained in multiple locations (e.g., an email archive vs. the live system). All other versions of email can be considered nonrecord, the retention of which should be addressed in agency email policy.

Agencies are expected to apply documented selection criteria to cull the email of Capstone officials (permanent accounts) to the greatest extent possible before transfer to NARA. Culling refers to the removal – or otherwise excluding from capture – of nonrecord, personal, or transitory messages and attachments. Culling typically includes the removal of spam, email blasts received (such as agency-wide communications), and personal materials (such as emails to family members not related to agency business). Culling may be manual, automated, or a hybrid of both. Agencies may develop their own policies and procedures for the culling of temporary accounts.

Applying this GRS

When applying this GRS in part, agencies must ensure that all other email records are covered by another NARA-approved disposition authority. Agencies NOT managing any of their email under the Capstone approach are still responsible for managing their email by applying NARA-approved records schedules.

If an agency is implementing a Capstone disposition approach different from what is provided in this GRS, the agency must submit a records schedule. For example, an agency may want to narrow the list of required positions in item 010, use shorter retention lengths for temporary records, or extend the time frame for transfer of permanent records.

Agencies have discretion to designate individual email messages, with their attachments as permanent, or as longer-term temporary records that should be crossfiled elsewhere pursuant to agency policies and business needs.

Agencies must transfer to NARA the emails of Capstone officials captured during their tenure as a Capstone official. Therefore, email of Capstone officials created prior to their designation as a Capstone official (e.g., prior to their promotion/rotation into a Capstone position) should be treated as temporary and not transferred to NARA. For guidance on transferring email as a permanent record, see NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records and the relevant sections of 36 CFR Part 1235.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Email of Capstone officials.** Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual's name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1*, and *must* include, when applicable: 1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent; 2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s); 3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s); 4. Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides; 5. Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s); 6. Directors of significant program offices, and/or their equivalent(s); 7. Principal regional officials, such as Regional Administrators, and/or their equivalent(s); 8. Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General,	**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.	DAA-GRS-2014-0001-0001

	etc.; 9. Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions); and 10. Additional roles and positions that predominately create permanent records related to mission critical functions or policy decisions and/or are of historical significance. This includes those officials in an acting capacity for any of the above positions longer than 60 days. Agencies may also include individual emails from otherwise temporary accounts appropriate for permanent disposition in this category. This item *must* include all existing legacy email accounts that correlate to the roles and positions described above. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of these records must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record. Please consult NA-1005, for more information on which positions are included within each category. Not media neutral; applies to records managed in an electronic format only. **Note 1**: Cabinet level agencies implementing a Capstone approach that includes their components/operatives must apply the above definition to each component individually. In these cases, each component/operative is considered a separate agency in terms of the above definition of Capstone Officials. A component/operative of a cabinet level agency can implement a Capstone approach independent of their department but must also conform to the entirety of this definition. **Note 2**: Smaller agencies, micro-agencies or Commissions implementing a Capstone approach may find that some of their Capstone positions fall into several of the categories above and/or that they do not have applicable roles or positions for all categories.		

011	**Email of Non-Capstone officials.** Email of all other officials, staff, and contractors not included in item 010. Not media neutral; applies to records managed in an electronic format only. **Note**: Agencies *only* using item 011 and/or item 012 of this GRS may not dispose of any email of officials in item 010, Email of Capstone Officials, of this GRS without authority from NARA in the form of another GRS or agency-specific schedule. Submission and approval of NA-1005 is still required in these instances to document those being exempted from Capstone.	**All others except those in item 012.** Includes positions and email not covered by items 010 or 012 of this schedule. This item applies to the majority of email accounts/users within an agency adopting a Capstone approach.	**Temporary.** Delete when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2014-0001-0002
012		**Support and/or administrative positions.** Includes non-supervisory positions carrying out routine and/or administrative duties. These duties comprise general office or program support activities and frequently facilitate the work of Federal agencies and their programs. This includes, but is not limited to, roles and positions that: process routine transactions; provide customer service; involve mechanical crafts, or unskilled, semi-skilled, or skilled manual labor; respond to general requests for information; involve routine clerical work; and/or primarily receive nonrecord and/or duplicative email.	**Temporary.** Delete when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2014-0001-0003

Frequently Asked Questions (FAQs) about GRS 6.1, Email Managed under a Capstone Approach

Updated July 2016

These FAQs provide additional information for agencies implementing GRS 6.1 (Capstone GRS). Agencies adopting a Capstone approach should also consult other resources available from NARA related to email management, and specifically the Capstone approach. These resources are available on NARA's Email Management page, and include:

- Links to related, over-arching email and transfer related guidance;
- Recorded training sessions related to Capstone implementation best practices, determining Capstone officials, and incorporating a Capstone approach within agency policies and training programs;
- Recorded briefings on the basics of Capstone, geared towards specific audiences (managers, General Counsel, etc.);
- Checklists and recorded training sessions on the basics of Capstone; and
- Information on NARA's own implementation of a Capstone approach.

Agencies should not implement GRS 6.1 of the Capstone approach in isolation. Agencies should also supplement with agency-wide policies and training, and incorporate the schedule and its requirements into agency records management implementation tools (such as manuals and file plans (see FAQ 29)).

GENERAL

1. What is the purpose of GRS 6.1?

This schedule:

- Provides disposition authority for agencies who implement a Capstone approach as outlined in NARA Bulletin 2013-02: Guidance on a New Approach to Managing Email Records [Capstone]; and
- Assists agencies to meet Goal 1.2 of the Managing Government Records Directive (M-12-18), which requires agencies to manage both permanent and temporary email records in an accessible electronic format by December 31, 2016.

2. From whom may I request more information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

3. How does an agency document that it is using the Capstone GRS?

To ensure proper oversight and accountability, no agency may implement this GRS until the agency submits a list of Capstone officials to NARA and we approve that list. This restriction applies when using item 010, and acts as an exception list when using only items 011 and 012. To submit your agency's list of Capstone officials, fill out NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1,* and email it to GRS_Team@nara.gov. The form includes detailed instructions.

Additionally, NARA's existing regulations and guidance contain several requirements for agencies to properly document their use of the Capstone GRS and the Capstone approach in general. These requirements include, but are not limited to:

- Updating the agency's records management directive and submitting it to NARA (36 CFR 1220.34(c));
- Posting the agency's records management directive on the agency's website (FOIA, 5 U.S.C. § 552(a)(1)(D), and the Office of Management and Budget's Open Government Directive (December 8, 2009)); and
- Responding to any questions in NARA-issued requests for information, including those specific to Capstone use and implementation (44 U.S.C. Chapter 29).

4. Do all agencies have to follow this GRS?

If an agency chooses to use one or more items in this GRS, it may not deviate from this schedule's parameters and must submit form NA-1005 as described in Question 3. But an agency may request authority to implement a Capstone approach that differs from this GRS by submitting an agency-specific records schedule to NARA. Reasons agencies may wish to submit an agency-specific schedule can include, but are not limited to:

- The agency believes, and can justify, that it is appropriate to exclude one or more of the officials required for inclusion in item 010, Email of Capstone Officials;
- The agency needs a transfer date shorter than the minimum or longer than the maximum in item 010; or
- The agency wants the authority to dispose of temporary email earlier than permitted by the retention periods in items 011 and 012.

We encourage agencies to discuss scheduling options with their NARA Appraisal Archivist.

5. What does this GRS mean when using the term "official"?

In context of this GRS, an official includes all Federal agency employees, regardless of their appointment type (i.e., part-time employees, student employees, term employees, temporary employees, volunteers, interns, and members of the military), who create Federal records.

Officials under this GRS also include contractors that create Federal records in the course of performing their contract. Agencies determine whether contractor-created and -received records meet the definition of a Federal record defined in the Federal Records Act. Agencies must capture and manage contractor-created or -received Federal records appropriately, as with other Federal records. In situations where contractor employees are embedded in the agency and assigned agency email accounts (in contrast to situations where contractors fulfill the terms of a contract by providing a service from outside of the agency), the agency should manage those accounts in accordance with the GRS. Agencies should include records management requirements and provisions on retaining Federal records in contract agreements (36 CFR 1222.32).

6. Who are the Capstone officials this GRS covers?

Your agency must document its Capstone officials and submit that information to NARA on form NA-1005. This form includes detailed instructions to help you identify your agency's officials.

Capstone (permanent) officials are senior officials (e.g., those high on the organization chart) generally responsible for agency and program policy- and mission-related actions. Capstone officials vary agency by agency depending on an agency's organization and how it carries out agency roles. Some agencies will have more Capstone officials than others.

Federal agencies utilize a variety of titles for senior officials. Agencies using item 010 of this schedule must *identify their equivalents* for those positions described within each category provided in the item's description (when applicable).

Cabinet-level agencies implementing a Capstone approach that includes their components or operatives must apply the definition of official to each component separately. For this purpose, the agency should treat each component or operative as though it were a separate agency.

A general rule of thumb for identifying officials is that every record group (RG) the agency includes in the Capstone implementation should have its own group of Capstone officials.

If you need additional help to identify your agency's Capstone officials, please contact your NARA Appraisal Archivist.

QUESTIONS RELATED TO PERMANENT EMAIL RECORDS

7. What is meant by "Cut off in accordance with agency's business needs" within the disposition instructions for item 010?

Agencies have varying business needs and Capstone implementation plans (including system considerations) that affect when they cutoff email (consider it inactive). The 'business needs' language allows agencies flexibility to develop their own cutoff instructions based on those needs. Agencies must include their cutoff instructions in the "scope" section of form NA-1005, so NARA can document agency plans and anticipate future email transfers.

This flexibility also allows agencies to block (or batch) email to reduce the number of transfers to NARA. Agencies that do not wish to transfer annually may find blocking beneficial. For example, they could transfer email in five-year blocks instead. If the first five-year block spans from 2015 through 2020, the agency would transfer the email in 2035 (15 years after the cutoff date of the most recent records). They would next transfer email in 2040, which would cover email from 2021 through 2025. And so on.

Acceptable cutoff instructions for an agency include, but are not limited to:

1) Cut off at the end of the calendar year;
2) Cut off at the end of tenure;
3) Cut off at the end of each presidential administration; or
4) Cut off in five-year blocks at the end of the calendar year of the most recent email (for example, email from 2015 through 2020 would be cutoff in 2020 and transferred in 2035; email from 2021 through 2025 would be cutoff in 2025 and transferred in 2040).

As a reminder, all Federal agencies must manage permanent and temporary email records in an electronic format with the capability to identify, retrieve, and use the records for as long as their disposition requires.

8. What is meant by "Transfer to NARA 15-25 years after cutoff, or after declassification review (when

applicable), whichever is later" within the disposition instructions for item 010?
Agencies have varying business needs and missions that affect when they should transfer permanent email to the legal custody of NARA. This language allows agencies flexibility to determine the appropriate transfer time, within the range of 15 to 25 years, after cutoff or after declassification review (if applicable). As with the cutoff instructions (see FAQ 7), agencies must include their transfer time in the "scope" section of form NA-1005, so NARA can document agency plans and anticipate future email transfers.

Agencies should carefully consider their transfer date. Agencies with a high level of deliberative or sensitive email may consider a later transfer date (for example, 25 years), while others without these concerns should consider an earlier transfer date (for example, 15 years). As a reminder, all Federal agencies must manage permanent and temporary email records in an electronic format with the capability to identify, retrieve, and use the records for as long as their disposition requires. The later the transfer date, the longer the agency maintains this responsibility.

The transfer date should be determined in conjunction with the cutoff instructions (see FAQ 7), as the two complete the full transfer instructions. Examples of full instructions include, but are not limited to:

Cut off...	Transfer...	In this example...
At the end of the calendar year	To NARA 15 years after cutoff	Email from calendar year 2015 would be transferred in 2030
At the end of tenure	To NARA 25 years after cutoff	Email from individuals whose tenure ended in 2015 would be transferred in 2040
At the end of each Presidential administration	To NARA 20 years after cutoff	Email from the 2017 to 2020 administration would be transferred in 2040
At the end of calendar year	To NARA in 15 years in 5 year blocks	Email from 2015 through 2020 would be transferred in 2035; email from 2021 through 2025 would be transferred in 2040
At end of tenure	To NARA in 5 year blocks 15 years after cutoff	Email from individuals whose tenure ended in 2015 through 2020 would be transferred in 2035; email from individuals whose tenure ended in 2021 through 2025 would be transferred in 2040

Agencies with classified email have less flexibility with transfer time frames. As with any classified permanent records, email must be reviewed prior to transfer to NARA. Classified email is typically reviewed at 25 years based on standing Executive Orders.

9. What specific positions are included in category 7, Principal Regional Officials, under item 010?

This category may not apply to all agencies, even if they have offices outside of their headquarters. This category is reserved for those positions that have complete oversight and responsibility spanning a larger region (e.g., multiple states or specific geographic area) in carrying out mission-critical activities. For example, an agency may have 10 regions, each with a Regional Administrator that is responsible for mission-critical activities within that region's jurisdictions; these 10 Regional Administrators would fall into this category. Heads (regardless of title) of offices outside of headquarters, but not under a regionalized

structure, are not included in this category. For example, it does not pertain to the heads of individual offices in the field, such as, but not limited to, customer service centers, processing centers, or administrative offices that conduct routine activities (e.g., passport offices, or Social Security claims processing offices, *IRS service centers, commissaries*).

Agencies may discuss the scope of this category with their NARA Appraisal Archivist during review of their form NA-1005.

10. Under category ten of item 010, how do agencies determine what additional roles and positions they should include as Capstone officials?

Category ten, "Additional roles and positions that predominately create permanent records related to mission-critical functions or policy decisions and/or are of historical significance," is a catch-all category for those roles and positions whose email is appropriate for permanent retention, but not represented in the other nine categories. This could include email of staff in lower level (non-senior) positions, email related to functions in lower-level offices, or email in "service" accounts that agencies use to disseminate policy. For example, an agency with mission-centric task forces should include the head of each task force within this category if not captured in other categories. As with the other categories, the agency must include these roles and positions on its form NA-1005 if it has them. It is possible that an agency will have no roles and positions for this category.

11. Does the GRS apply if Capstone officials have more than one email account or if their email is managed by other staff (such as special assistants, confidential assistants, military assistants, or administrative assistants)?

Yes. Senior officials often have multiple email accounts, either based on their titles (*e.g.*, ArchivistOfTheUnitedStates@nara.gov), or managed by other staff members on their behalf. Agencies must designate all accounts affiliated with a Capstone official role or position as permanent. See category four within item 010.

You can find additional information on designating Capstone officials and email accounts in NARA Bulletin 2013-03, Guidance for agency employees on the management of Federal records, including email accounts, and the protection of Federal records from unauthorized removal.

12. Must agencies maintain a list of Capstone officials and their associated email addresses?

Yes. Agencies should maintain an extended version of form NA-1005 that includes this additional information. Doing so will support the requirements in 36 CFR 1235.48, which requires agencies to include proper documentation when transferring permanent electronic records to NARA. The NA-1005 list will help agencies implement Capstone and export and transfer permanent email. Agencies should consider managing and keeping up-to-date a list of Capstone officials and their associated email addresses as part of agency policy (one of NARA's recommended best practices). See also FAQ 36.

QUESTIONS RELATED TO TEMPORARY EMAIL RECORDS

13. What is the difference between items 011 and 012?

Item 011 covers all roles that do not fit into the descriptions of either 010 or 012. This item is therefore appropriate for non-senior officials who have roles such as: overseeing and instructing workers on the job;

reviewing work in progress; observing and securing worker compliance with procedures and methods; planning, revising, and coordinating programs; planning general work flow and methods; budgeting and financial oversight; and completing other mission-related tasks. See also FAQs 14 and 15. The majority of temporary email accounts should fall into this item.

Item 012 covers routine and/or administrative roles within an agency. Depending on an agency's unique organization, functions, and/or business needs, this item may be appropriate for only a limited number of roles. Agencies having difficulty determining whether item 012 is appropriate should use item 011.

Your agency should conduct a risk analysis to determine which roles and positions, if any, it should include in item 012, and should be able to produce this analysis if needed.

14. Why are supervisory positions excluded from item 012?

Supervisory positions are those that plan, assign, and review work, and evaluate performance. Because these positions tend to be involved in business and personnel decisions, we include them in item 011, which specifies a minimum retention period of seven years. See also FAQs 13 and 15.

15. How does an agency determine if it should keep temporary email covered by items 011 and 012 longer than the prescribed minimum retention period?

An agency should involve multiple stakeholders, such as its senior agency official for records management, general counsel, chief information officer, records officer, inspector general, etc., to determine the appropriate retention period for the agency's email. This should include determining if the agency is subject to inspection, audit, legal, and other regulatory requirements that require a longer agency email retention period to meet certain obligations. Ultimately, the agency will document and disseminate the retention period via agency policy and implementation tools. See FAQ 29.

Items 011 and 012 each prescribe a minimum retention period, and both authorize agencies to dispose of covered records any time after the minimum retention period has ended. This allows an agency to make internal decisions on whether or not it should keep temporary accounts contents longer based on business and legal needs.

Agencies may determine that using only item 011 as one agency-wide retention period for all temporary email may better meet its business and legal needs and may be easier to implement. For example, an agency may decide that it should maintain all temporary accounts for seven years, regardless of the role or position of the person whose account they're in. Agencies choosing to use only item 011 for all temporary email may also maintain accounts longer for business needs (e.g., 15 years) without requesting additional authority from NARA. See also FAQs 11, 14, and 29.

16. Why is the minimum retention period for item 011 seven years?

NARA believes that seven years is a reasonable and appropriate baseline retention period for temporary email records, not only to meet agency business needs, but also to ensure we adequately and properly document the policies and transactions of the Federal Government. Preserving these records for this period should also generally allow the Government to adequately defend itself in litigation or vindicate a plaintiff's rights in the event the Government has infringed on them. This retention period is also consistent with most statutes of limitations on pursuing matters against the United States (usually six years

or less), with recordkeeping requirements set by Congress (such as the seven-year retention period for audit-related records established in the financial reforms of Sarbanes-Oxley), and with the IRS's seven-year retention period for personal tax records (tied to the six-year statute of limitations for criminal violations of the tax code). These, and similar examples, led NARA to conclude that seven years is an appropriate baseline retention period for temporary email records. See FAQ 15 on when a longer-than-seven-year retention period might be appropriate for certain agencies. Agencies that wish to seek a shorter retention period must submit an agency-specific schedule.

This Capstone GRS allows agencies to elect a shorter retention period using item 012 (three years) for a limited group of specific roles and positions. Please refer to FAQ 13 for additional information.

QUESTIONS ABOUT IMPLEMENTATION

17. May an agency implement portions of this GRS?

Yes, an agency may use any or all of the items on this GRS. If applying this GRS in part (for example, only using item 011), agencies must ensure that all other email records are covered by another NARA-approved disposition authority. Agencies that are using only item 011 or 012 may not dispose of the email of any official listed in item 010, Email of Capstone Officials, without authority from NARA in the form of another GRS or an agency-specific schedule. An agency must still submit form NA-1005 for approval in order to use either only the permanent item or only the temporary items of this GRS.

This flexibility supports those agencies that may want to implement Capstone in phases. Some agencies may find it practical to initially limit their overall Capstone approach to permanent email (item 010) and add management of temporary email within their overall Capstone approach later.

As indicated in the "GRS Scope" section of the Capstone GRS introduction, an agency may choose to exclude several categories of email from its Capstone program. The agency must ensure that it covers any email it excludes from the Capstone program under another NARA-approved schedule or authority before it may dispose of the email. See also FAQ 29.

18. Does this GRS apply to classified email accounts?

Yes. This GRS applies to all email, regardless of classification level. Agencies must include accounts on classified networks or systems within the relevant item on the GRS. For example, a Capstone official (permanent) with both classified and unclassified accounts would have both included under item 010 of this GRS.

The transfer instructions within item 010 allow agencies to transfer permanent classified email in alignment with declassification review. Agencies often don't review classified records until just prior to the automatic declassification date, which occurs when they are 25 years old. If an agency completes its review earlier than 25 years, but after 15 years, the agency should consult with NARA about when to transfer the records.

19. How is legacy email defined for GRS 6.1?

Legacy email is email that still exists in an electronic format, whether part of a temporary or a permanent account, at the time of Capstone implementation. It may be stored in an email archiving application, a document management system, in individual files (such as *.PST files) on local computers or drives, within

current live email applications/systems, and/or stored in other ways.

20. Does the Capstone GRS apply to both retroactive (legacy/existing) and day-forward email?

We expect an agency using this GRS to apply the items the agency uses to all legacy (existing) email. Agencies should summarize the extent of their legacy email on form NA-1005. For example, an agency might state that no legacy email exists for the agency, as the agency used traditional records management with a print-and-file policy prior to adopting Capstone, or that the agency has legacy email back to a certain date. NARA acknowledges that legacy email may be incomplete, or that position titles may have changed over time. In cases of title changes, the agency may apply GRS items to equivalent positions.

21. Does legacy email include backup or recovery tapes with email stored on them?

No. These tapes were not created for records management purposes, and are outside the scope of GRS 6.1. Backup/recovery tapes are covered under GRS 3.2, item 050, "Backup files identical to permanent records scheduled for transfer to the National Archives," or GRS 3.2, item 051, "Backup files identical to temporary records authorized for destruction by a NARA-approved records schedule."

22. Can other disposition authorities be used to dispose of email prior to using the authorities within GRS 6.1?

Yes, with exceptions depending on the status of the email as described below, and for readable email only (see FAQ 23). Generally speaking, for legacy email most agencies will find applying items from GRS 6.1 to entire bodies of email as less burdensome than applying other valid authorities on an email-by-email basis. Agencies should address this in agency records management policy. See FAQs 3 and 29.

A. For all items on GRS 6.1, day-forward (start of Capstone implementation):

Yes. Agencies may apply other approved disposition authorities to temporary and permanent email prior to applying the disposition authorities within GRS 6.1 for day-forward email (start of Capstone implementation, generally the date approved on the agency's first form NA-1005). This could either be part of culling strategies used within an agency, and/or implementation of a Capstone approach that still utilizes some level of traditional records management. For example, an agency may apply:

- GRS 4.3, item 040, which authorizes deletion of electronic records once filed in an official recordkeeping system (such as with a related case file, or within another records management application) prior to use of the appropriate item from GRS 6.1;
- GRS 23, item 7, which authorizes the deletion of transitory records; and/or
- Other NARA approved agency specific schedules. See other FAQ questions under 'Culling' section.

B. For temporary legacy email, items 011 and 012:

Yes. Agencies may apply other approved disposition authorities to legacy email (similar to section A above) prior to applying the disposition authorities within GRS 6.1.

Agencies not able to do this, or unable to ascertain if other approved disposition authorities were adequately applied to legacy email, must apply the authority from the appropriate item on GRS 6.1 at the account level for the minimum retention defined by either item 011 or item 012.

C. For permanent legacy email, item 010:

Yes, with limitations. Agencies may cull personal email (email not affiliated with official government business), clearly transitory email records (GRS 23, item 7), and nonrecord material. Excluded is the use of GRS 4.3, item 040, which authorizes deletion of electronic records once filed in an official recordkeeping system (such as with a related case file, or within another records management application). NARA acknowledges that this may result in duplicate permanent records being transferred. Since print-and-file and cross-filing policies were not consistently followed, or compliance with these policies is often difficult to validate, this ensures that permanently valuable emails are transferred to the National Archives.

23. What do we mean by 'readable email'?

Readable email is email that is retrievable and usable for as long as needed to conduct agency business and to transfer permanent email records into the National Archives (i.e., for their NARA-approved retention period). This aligns with the requirements of 36 CFR 1236.12(b), related to records management and preservation considerations that must be incorporated into the design, development, and implementation of electronic information systems, as well as the Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18). Email that is not retrievable and usable is, therefore, not readable.

24. What do I do if I have legacy email that is not readable?

Currently NARA is requiring agencies to submit a schedule for legacy email that is not readable. Please contact the GRS Team at GRS_Team@nara.gov to discuss your situation further.

25. What if the status of legacy email is unknown?

Agencies may still submit, and receive approval of, the form NA-1005. NARA understands that agencies may not be able to fully articulate their legacy email scope, and how legacy email will be addressed, at the time of form submission. This may be due to the complex nature of older technology, access issues, or an agency needing time to inventory legacy email.

In these cases, agencies should notate as much information as possible on the form NA-1005. Examples of responses may be "Agency is still determining the full scope of our legacy email. We believe it dates back to approximately 2003. We will report our full finding to NARA within 6 months." or "We have determined the scope of our email, which extends back to 2000, but we are still determining our access issues and will report our full findings to NARA in 6 months".

26. Does use of Capstone and this GRS negate DOD 5015.2?

If your agency is part of the Department of Defense, and thus governed by DOD Directive 5015.2 and the accompanying DOD 5015.2 Standard for Records Management Applications, you should work within DOD to determine how Capstone may be implemented. Non DOD agencies are not governed by the 5015.2 directive or standard, and NARA does not require any agency to have 5015.2 compliant applications.

27. Does this GRS include calendars, appointments, tasks, chat transcripts, and other communications?

Although we designed the Capstone approach for managing email records, some agencies may not be able to separate email records from other affiliated records, such as calendars, appointments, tasks, and chats. In these cases, the agency can include the other records under the Capstone GRS. However, when the agency manages these other records separately from email, the agency must have NARA-approved disposal authority.

28. How does this GRS affect NARA or agency requirements to file email records with other related Federal records?

Capstone can reduce the burden on individual end-users by encouraging greater use of automated methods for managing email accounts. Agencies must manage their records in accordance with NARA regulations and fulfill the requirements of the Managing Government Records Directive. When using the Capstone approach for capturing and managing email, agencies must:

> Consider whether email records and attachments can or should be associated with related records under agency guidance. As a supplement to the Capstone approach, an agency may want or need to associate certain email records that relate to other records, such as case files or project files, with the related records. This consideration depends on an agency's needs and how it chooses to implement its Capstone approach. This may be accomplished by (1) using electronic pointers (such as metadata tags) to establish linkages, or (2) in select cases, filing with associated paper or electronic case or project files. (NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records, item 5d.)

29. How can an agency incorporate this GRS into its implementation tools and policies?

Best practices include the use of internal implementation tools, such as manuals, handbooks, and/or file plans, for records management execution. As with any GRS, the items should be incorporated into these tools and expanded to include agency-specific information and policies. Agencies should also implement policy around their Capstone approach, to incorporate additional agency specific email guidance that does not require NARA approval. For example, this could include:

- Clearly defining the retention period for temporary email in policy and agency manuals, since the GRS authorizes banding;
- Developing and implementing policy related to cross-filing requirements; for example, a policy that may require that certain email be cross-filed within permanent case files;
- Developing and implementing policy related to instances where temporary email may need to be retained for a longer period than prescribed by the GRS and supporting agency policy;
- Developing and Implementing policy on the use of Government accounts for personal purposes;
- Defining the Capstone (permanent) accounts/addresses for the agency with more specificity than included in item 010, Email of Capstone Officials, (for example, those positions and officials specific to your agency). NA-1005 is a tool for this;
- Providing additional policy on how to handle email of officials in an acting position;
- Providing policy on managing nonrecord email;
- Developing policy on when other disposition authorities related to email are appropriate for use, such as the GRS item for transitory records;
- Developing policy related to culling and other opportunities to apply records management to email (See section 861.5 of NARA's sample Directive posted on our Email Management webpage);
- Implementing procedures for initiating record freezes and litigation holds; and
- Implementing procedures for conducting document searches for purposes of FOIA, Congressional,

and other access requests.

QUESTIONS ABOUT CULLING

30. What is culling?

Culling, in the context of Capstone implementation, is the act of removing or deleting material prior to disposition. This may include deleting non-record email (e.g., email blasts (such as agency-wide communications), spam, and personal email (records belonging to an individual and not related to agency business)), and transitory email records (records of short-term interest or that have minimal documentary or evidentiary value). Please refer to GRS 23, item 7, for additional information on what constitutes a transitory record.

31. Do you expect agencies and users to cull Capstone email accounts?

Yes, especially for permanent accounts, in order to minimize the amount of non-record and personal emails agencies transfer to the National Archives. Since agencies are most familiar with the content of their email records, we expect agencies to cull permanent accounts to the greatest extent possible. Culling may be manual, automated, or a hybrid of both. We do not expect agencies to cull temporary accounts, but you may do so in accordance with your agency's policy as appropriate. For temporary email, agencies may choose the amount of culling it will allow, based on agency business needs and concerns (such as size of the email repository, cost of maintenance, and risk associated with the possible destruction of records that may be needed for agency business, including litigation).

32. What if an agency can't cull email?

An agency should review its policies and technology to determine and verify its culling capabilities. Some technologies may not allow culling as described above. Agencies may still implement Capstone for permanent accounts without culling, but this will result in the agency transferring to NARA emails that do not meet the definition of a Federal record, which NARA might then permanently preserve. NARA screens and, when warranted, withholds access to accessioned records in accordance with the general restrictions set out in 36 CFR 1256.40-1256.62. NARA decides on the access permitted to accessioned records containing personal privacy information as outlined in 36 CFR 1256.56 without consulting the originating agency. As part of our mission to provide public access to Federal Government records, we disclose records whenever legally permissible. As a result, we could release personal information in non-records that an agency or user did not cull prior to transfer.

33. Will NARA cull Capstone email after it's legally transferred?

Since agencies are most familiar with the content of their email records, we expect them to cull non-record material to the extent possible before transferring. In accordance with 44 U.S.C. § 2108, the Archivist of the United States assumes custody of these records when they are transferred. NARA administers accessioned records in accordance with 44 U.S.C. Chapter 21, 36 CFR Part 1256, and other rules we promulgate to dispose of non-record materials we find in any transfer. However, we cannot guarantee that we will find or cull non-records.

QUESTIONS ABOUT TRANSFER

34. How should agencies transfer email to NARA?

You should transfer email, like any other electronic records, in accordance with current NARA transfer guidelines. You can find up-to-date guidelines on NARA's accessioning website at http://www.archives.gov/records-mgmt/accessioning/electronic.html.

35. Will NARA accept encrypted email?

No. As outlined in NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records, an agency must not transfer to NARA any encrypted permanent electronic records . The Bulletin requires the transferring agency to "[d]eactivate passwords or other forms of file level encryption including digital rights management (DRM) technologies commonly used with audio, video, and some publications that impede access to record data." Likewise, agencies must decrypt any encrypted email attachments prior to transfer.

36. What documentation must an agency submit when it transfers Capstone email?

See NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records, for our requirements for transferring permanent electronic records. In addition, 36 CFR 1235.48 sets out the documentation agencies must provide to transfer permanent electronic records. This documentation should be an extension of the agency's approved form NA-1005, which documents approved permanent Capstone roles and positions. See FAQ 12.

Agencies must transfer to NARA the email of Capstone officials captured during their tenure as Capstone officials. Therefore, agencies should treat email of a Capstone official created prior to when the agency designated that person as a Capstone official (e.g., prior to their promotion/rotation into a Capstone position) as temporary and should not transfer that previous email to NARA. The following is an example of documentation, in the form of a list, of an agency's Capstone officials and the time period for capture of their email as permanent:

Position title	*Email Account/Address*	*Begin Date of Capture*	*End Date of Capture*
Secretary of [Department]	Senior.Official@agency.gov	January 22, 2013	
Secretary of [Department]	Secretary@agency.gov	January 22, 2013	
Chief Operating Officer	John.Doe@agency.gov	January 22, 2013	June 1, 2013
Chief Operating Officer	Jane.Public@agency.gov	June 2, 2013	

Documentation for legacy email should reflect the position title as it existed at the time the records were created. In instances where the position title may not clearly correlate to those on the form NA-1005 (due to title changes, or positions being eliminated), you should include information on the current position title, or the category from item 010 to which it correlates, in the documentation.

For example, the current "Director of Congressional Affairs" (listed on form NA-1005 under category 6) may have previously been the "Legislative Affairs Officer." In this case, the documentation should link to the approved NA-1005 form either by providing the current title or listing the proper category under item 010 to which the position fits.

GENERAL RECORDS SCHEDULE 6.2: Federal Advisory Committee Records

This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments.

If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply.

For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.

Item	Records Description	Disposition Instruction	Disposition Authority
Committee Records			
010	**Substantive Committee Records (Non-Grant Review Committees)** **Exclusion**: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include: • records related to the establishment of the committee: o charters (original, renewal, re-establishment, and amended) o enacting legislation o explanation of committee need, when required o filing letters to Congress o organization charts o committee specific bylaws, standard operating procedures, or guidelines o any other materials that document the organization and functions of the committee and its components • records related to committee membership: o memos or similar documentation of how and/or why individual members were selected	**Permanent.** Transfer when records are 15 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	o membership balance plans o membership rosters o appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc. o Resignation or termination letters • records of committee meetings and hearings: o agency head's determination that a meeting or portion of a meeting may be closed to the public o agendas o materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations o meeting minutes o public comments o testimony received during hearings o transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020) • records related to committee findings and recommendations: o one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee o responses from agency to committee regarding recommendations o committee presentations or briefings of findings • records created by committee members: o correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer) • records related to research collected or created by the committee: o records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data) o raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies • documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): o records relating to the formation of the subcommittee or working group, if they exist		

Item	Records Description	Disposition Instruction	Disposition Authority
	▪ decision documents ▪ membership ▪ statement of purpose or other documentation of duties and responsibilities o records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to: ▪ meeting minutes ▪ transcripts ▪ reports ▪ briefing materials ▪ substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer) ▪ background materials • records related to committee termination (i.e., email, letter, memo, etc.). • other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records. **Note:** Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).		
020	**Substantive Audiovisual Records (Non-Grant Review Committees)** **Exclusion**: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records include: • audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed • captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings • posters (2 copies) produced by or for the committee	**Permanent.** Transfer when records are 3 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0002

Item	Records Description	Disposition Instruction	Disposition Authority
030	**Grant Review Committee Records** Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials. **Note**: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.	**Temporary.** Destroy upon termination of committee.	DAA-GRS-2015-0001-0003
040	**Committee Accountability Records** Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include: • travel costs • committee member payments • meeting room costs • contractor costs • Federal Register notice costs **Exclusion:** Forms filed under the Ethics in Government Act (see note). **Note:** Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).	**Temporary.** Destroy when 6 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0001-0004
050	**Non-substantive Committee Records** Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere. • drafts and copies of Federal Register notices • audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • photographs of committee social functions, routine award events, and other non-mission-related	**Temporary.** Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.	DAA-GRS-2015-0001-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	activities • records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc. • routine correspondence: o correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues) o public requests for information • Non-substantive committee membership records, including: o Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee o Member credentials (resumes or biographies) o Member files (personnel-type records) • Non-substantive web content **Note 1:** Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative. **Note 2:** Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 4.3, item 040.		
Committee Management Records			
060	**Committee Management Records** Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include: • agency guidelines • correspondence • requests for approval of committee nominees • copies of records about committees maintained for reporting purposes, such as: o information provided to GSA Secretariat for annual comprehensive reviews o statistical data files and reports o annual reports to the Library of Congress describing the agency's compliance with the	**Temporary.** Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2015-0001-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	Government in the Sunshine Act o financial operating plans and final cost accountings **Note:** This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.		

GRS 6.2				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
6.2	010	Permanent	DAA-GRS-2015-0001-0001	26	2a	Permanent	N1-GRS-07-5, item 2a
				26	2c1	Termination of commission or when no longer needed	N1-GRS-07-1, item 2c1
6.2	020	Permanent	DAA-GRS-2015-0001-0002	26	2a	Permanent	N1-GRS-07-5, item 2a
6.2	030	Termination of committee	DAA-GRS-2015-0001-0003	New item			
6.2	040	6 years	DAA-GRS-2015-0001-0004	26	4	6 years	N1-GRS-04-1 item 4
6.2	050	Superseded, obsolete, no longer needed, or termination of committee	DAA-GRS-2015-0001-0005	26	2b	3 years	N1-GRS-07-1 item 2b
				26	2c1	Termination of commission or when no longer needed	N1-GRS-07-1 items 2c1
				26	2c3	Termination of commission or when no longer needed	N1-GRS-07-1 items 2c3
				26	4	6 years	N1-GRS-04-1 item 4
6.2	060	3 years	DAA-GRS-2015-0001-0006	26	4	6 years	N1-GRS-04-1 item 4

Frequently Asked Questions (FAQs) about GRS 6.2, Federal Advisory Committee Records

1. What is the purpose of GRS 6.2?

This schedule provides disposition authority for records that Federal advisory committees and their subgroups, established under the Federal Advisory Committee Act (FACA) as amended (5 U.S.C. Appendix 2), create or receive. It also covers records agency designated Federal officers and committee management officers and their staffs create or maintain.

2. Whom do I contact for further information about this schedule?

Agency staff implementing this GRS should first contact their agency records officer with any questions. Records officers and agency staff may also contact their assigned NARA appraiser or the GRS Team (GRS_Team@nara.gov) with questions about this schedule or its implementation.

We recommend that agencies consult with their NARA appraiser or the GRS Team when originating a new committee to address implementing this schedule. For existing committees, we recommend you consult with us prior to terminating the committee to ensure proper schedule implementation.

CHANGES FROM THE OLD GRS

3. How does GRS 6.2 differ from the old GRS 26?

GRS 6.2 covers only records FACA committees (or committees grandfathered in under the FACA) create or receive. GRS 26, by contrast, included items 1a and 1b relating to internal agency committees that are not FACA committees. GRS 6.2 also better reflects the types of records FACA committees create or receive and updates transfer instructions to meet current NARA practices. We have also appraised the records from a certain type of committee—grant peer review committees—as wholly temporary.

4. Why are GRS 26, items 1a and 1b, not in this schedule?

To help clarify the coverage of new GRS 6.2, we limited its scope to FACA committees only. GRS 26, items 1a and 1b, cover non-FACA, internal agency committees and working groups; we will cover those groups in a separate GRS. In the meantime, GRS 26, items 1a and 1b are still available for agency use.

5. Why are you rescinding some old GRS items?

We are rescinding two items from GRS 26. GRS 26, item 2c2 was for records related to the design, management, and technical operation of committee websites. Such records are now

covered by GRS 3.1, items 011 and 020, so there is no longer a need for such an item in GRS 6.2. We are also rescinding GRS 26, item 3, because it covers nonrecord reference copies not under the purview of either a FACA or its sponsoring agency; agencies may dispose of nonrecords at any time and these therefore do not require a disposition authority.

TERMS USED IN THIS SCHEDULE

6. What is the Federal Advisory Committee Act?

The Federal Advisory Committee Act (FACA) as amended (5 U.S.C. Appendix 2) is the law that provides the framework for how agencies create and manage Federal advisory committees. Congress enacted the law in 1972 to ensure that agencies receive objective advice from the various advisory committees formed over the years, and that the public can access it. The Act formalized a process for establishing, operating, and terminating these advisory bodies and created the Committee Management Secretariat to oversee compliance with the Act.

7. What is a Federal advisory committee?

In general terms, a Federal advisory committee is a committee established by statute or reorganization that provides advice or recommendations to the President, any agency, or Federal Government officers, and isn't made up solely of Government employees. The official legal definition contains more specific details and an exception for two organizations, so you should consult the Federal Advisory Committee Act (5 U.S.C. Appendix 2) or your agency's FACA counsel for more details.

8. What is a Presidential advisory committee?

A Presidential advisory committee is a Federal advisory committee authorized by Congress or directed by the President to advise the President. Presidential advisory committees may or may not be subject to the Federal Records Act, which governs the records covered by the General Records Schedules. An agency should check with its general counsel before applying GRS 6.2 to Presidential advisory committee records. In some cases, these records may be Presidential records subject to the Presidential Records Act rather than to the Federal Records Act. For addition information concerning records of Presidential advisory committees, see question 13 below.

9. What is a sponsoring agency or department for a committee?

A sponsoring agency or department provides the staff and administrative and monetary support for a Federal advisory committee.

10. What is a committee management officer (CMO)?

Sponsoring agency heads designate a committee management officer (CMO) to oversee FACA administration at that agency. FACA administration includes establishing committees, setting procedures, determining goals and monitoring committee accomplishments ; assembling and maintaining committee reports, records, and other papers; and carrying out, on behalf of that agency FACA's requirements with respect to those records (5 USC Appendix 2 - Sec. 8(b)).

In addition to implementing the provisions of section 8(b) of the Act, the CMO carries out any other responsibilities the agency head delegates. The CMO also ensures that the agency implements sections 10(b), 12(a), and 13 of the Act for appropriate recordkeeping.

11. What is a designated Federal officer (DFO)?

The agency head designates a DFO for each advisory committee. The DFO implements advisory committee procedures under the supervision of the CMO, including sections 10(e) and (f) of the Act. (41 CFR 102-3.25) Consistent with 41 CFR 102-3.120, a DFO:

- approves or calls the meeting of the advisory committee or subcommittee;
- approves the agenda, except that this requirement does not apply to a Presidential advisory committee;
- attends the meetings;
- adjourns any meeting when he or she determines it to be in the public interest; and
- chairs the meeting when so directed by the agency head.

12. What are "substantive" records?

Substantive records document decisions, discussions, or actions a committee takes. They are covered by items 010 and 020.

GENERAL

13. How can I tell if a committee is a FACA committee?

You should check with your agency's FACA counsel to confirm if a specific group falls under FACA or not. In order to fall under FACA, the group must be established as a Federal advisory committee according to the Federal Advisory Committee Act (FACA) as amended (5 U.S.C. Appendix 2). In general, the authority to create FACA committees derives from statute, the President, or agency authority, and each Federal advisory committee must have a current, filed charter in order to meet or take any action. Some FACA committees predate the FACA and were grandfathered under it.

14. Are records of Presidential advisory committees covered by the GRS?

Records of Presidential advisory committees are covered by this GRS under most circumstances. You should check with your agency's FACA counsel to determine if a Presidential advisory committee's records fall under the Presidential Records Act (PRA) or the

Federal Records Act (FRA). If the latter, you may apply this GRS. If the records fall under the Presidential Records Act (PRA), you should request information on appropriate disposition from NARA's Presidential Materials Division at 202-357-5200 or presidential.materials@nara.gov.

RECORDS MANAGEMENT

15. What records must committee management officers (CMOs) create or maintain?

According to 41 CFR 102-3.115, the CMO must keep records that include, but are not limited to:

- *Charter and membership documentation.* A set of filed charters for each advisory committee and membership lists for each advisory committee and subcommittee;
- *Annual comprehensive review*. Copies of the information provided as the agency's portion of the annual comprehensive review of Federal advisory committees, prepared according to 41 CFR 102–3.175(b);
- *Agency guidelines*. Agency guidelines maintained and updated on committee management operations and procedures; and
- *Closed meeting determinations*. Agency determinations to close or partially close advisory committee meetings required by 41 CFR 102–3.105.

16. What records are designated Federal officers (DFOs) or similar agency officers maintaining committee records supposed to maintain?

DFOs or similar agency officers should maintain the official records an advisory committee creates or receives as long as the committee exists (41 CFR 102-3.175). This includes records such as correspondence between committee members and others that relate to the committee's decisions or actions.

17. Why must an agency capture and maintain as a permanent record in item 010 the correspondence, including email, documenting discussions, decisions, or actions related to the work of the committee?

Exchanges of substantive information between members regarding the work of the committee or subcommittee are records that reflect the work of the committee and document its thought processes, and, if enough members are involved in the communication (even if by email), the exchange could be considered a FACA meeting. The schedule is clear that the exchanges should be substantive, i.e., they involve the work of the committee, rather than something like a scheduling email.

18. How does 44 USC 2911, which relates to the use of unofficial email accounts to conduct agency business, apply to members of a committee who are not Federal employees?

Committee members who do not have an agency email account should copy the DFO on email correspondence related to the committee's work so that a Federal official appropriately manages the records.

19. Why are some committee records transferred to NARA and others destroyed?

NARA does not preserve all Federal records. We accept for transfer to NARA only records designated as having historical value warranting continued preservation. These include records that document significant decisions and actions of FACA committees. Other records, such as administrative or logistical records, have short-term business use but do not warrant permanent preservation and agencies can therefore destroy them as directed in an approved records schedule such as GRS 6.2.

20. May committee records be withheld under FOIA?

Advisory committee records are generally not restricted under FOIA. Section 10(b) of the Federal Advisory Committee Act (FACA), as amended (Public Law 92-463, 5 U.S.C. Appendix 2), provides that: "Subject to section 552 of title 5, United States Code, the records, reports, transcripts, minutes, appendixes, working papers, drafts, studies, agenda, or other documents which were made available to or prepared for or by each advisory committee shall be available for public inspection and copying at a single location in the offices of the advisory committee or the agency to which the advisory committee reports until the advisory committee ceases to exist."

Advisory committee records may be withheld under FOIA if there is a *reasonable expectation* that the records sought fall within the exemptions contained in section 552(b) of FOIA. However, agencies may not require members of the public or other interested parties to file requests for non-exempt advisory committee records under the request and review process established by section 552(a)(3) of FOIA (41 CFR 102-3.170). Agencies must make those records available as stated in the paragraph above.

21. My committee maintains copies of its records on the committee's web page. How should these records be managed?

How an agency manages records on a web page depends on whether the records are considered the recordkeeping copy (or the only copy) or not. If a committee maintains multiple copies of the same records, especially when those copies are also on committee web pages, it should determine which copy will be the recordkeeping copy. You transfer that copy, whether electronic or hardcopy, to NARA if the records are permanent. If the committee designates the copy on the web page as the recordkeeping copy, you apply the appropriate item from GRS 6.2. If the copy on the web page is not the recordkeeping copy, you may destroy it at any time as long as your agency maintains the recordkeeping copy (see GRS 4.3, item 040).

SCHEDULE IMPLEMENTATION

22. My agency has long-standing FACA committees that predate creation of the GRS for FACA committee records, so we have agency-specific schedules for FACA committee records. Should my agency use the GRS or our agency-specific schedules?

GRS 6.2 applies to records of all FACA committees and supersedes all existing schedules related to FACA committees, including agency-specific ones. If you would like to continue to use your agency schedule, you must notify NARA of your intent according to 36 CFR 1227.12(a)(3). You may notify NARA by sending an email to GRS_Team@nara.gov stating your agency's name, the FACA committee name, and the agency-specific disposition authorities you intend to use.

23. What should I do with extra copies of committee records?

Whether you may dispose of extra copies depends on the copy. If the copies of records from committee members have substantive notes or comments, they have unique content and you should be transfer them to NARA under GRS 6.2, item 010 (unless they are related to a grant review committee). Extra copies that are only for reference use are non-record materials and you may destroy them at any time.

24. There is no longer a specific item for committee websites on the schedule. How should committee websites be disposed?

See the answer to question 21.

25. My committee has both paper and electronic copies of our records. Which version should be kept?

The sponsoring agency determines which records -- paper or electronic -- it will maintain as the recordkeeping copy. Agencies should transfer only the recordkeeping copy of permanent records to NARA. Permanent electronic records must meet NARA's transfer guidelines for electronic formats. Agencies may have to keep some records in paper format. You should consult with your agency general counsel to determine whether there is a legal reason to maintain recordkeeping copies in a particular format.

26. My committee has both paper and electronic copies of records with original signatures. Do the paper records have to be kept?

Your agency must keep the paper records only if there is a legal reason to do so. Consult with your agency general counsel to determine if you must keep the paper records containing original signatures.

27. My committee is shutting down but has administrative records covered by General Records Schedules other than GRS 6.2 that cannot be destroyed yet. What should I do with these records?

You should contact the records officer for your committee's sponsoring agency to arrange to store and manage the records after the committee shuts down.

TRANSFERRING PERMANENT RECORDS

28. How are permanent FACA committee records transferred to NARA?

You should transfer permanent FACA committee records to NARA using an SF-258. Agencies cannot currently use ERA to transfer permanent records covered by the GRS. Submit with the SF-258 a copy of the committee charter that applies to the time period in which the records were created. Also fill out and submit the GRS 6.2 "Checklist for Preparing Permanent Records for Transfer to NARA." You should also include box and folder lists in the transfer. Committee staff should consult with their agency records officer for more specific procedures. For additional information on transferring permanent records to the NARA facilities in the Washington, DC, area please see the Guidance and Policy for Accessioning Records to the National Archives in the Washington, DC Area.

29. What if my agency wants to transfer permanent records earlier than 15 years?

Except in the case of substantive audiovisual records covered under Item 020 (which requires transfer to NARA within three years), agencies wishing to transfer permanent FACA committee records for ongoing committees earlier than the 15 years stated in the GRS must submit a schedule to NARA requesting a deviation from the GRS that includes a justification for transferring records sooner. An agency must also submit a schedule if it wishes to pre-accession electronic FACA committee records (transfer physical custody, but not legal custody). Submit schedules to your agency's NARA appraisal archivist. Transfer to NARA records for committees that are terminating upon termination.

QUESTIONS RELATED TO ITEM 010

30. Why has the transfer period for substantive committee records increased from 3 years to 15 years?

The 15-year transfer period for ongoing committees reflects the need for NARA to ensure that records transferred into our custody are fully accessible and that any sensitive information that may be in the records is sufficiently old to diminish the risk resulting from public disclosure. The transfer instructions are based on recommendations from NARA's archival units.

31. Item 010 includes records related to committee hearings. What if my committee does not conduct hearings?

Because it is uncommon for FACA committees to have the authority to hold hearings, most committees can be expected not to have hearing-related records. Hearing records are included in the schedule to make it clear for those committees that do hold hearings that their records related to hearings are permanent.

32. Are comments made by committee members on social media considered permanent?

If the comments reflect deliberations between committee members then they are a permanent record under GRS 6.2, item 010. The comments need not be captured in social-media format as long as they are captured in some other way.

QUESTION RELATED TO ITEMS 010 AND 020

33. Why do substantive audiovisual records have only a 3-year transfer period when other substantive committee records have a 15-year retention period?

FACA committees retain audiovisual records for a shorter period of time prior to transfer to NARA because the records are more fragile and susceptible to damage or loss of accessibility over time. This shorter time is acceptable for access reasons because special media records tend to not contain personally identifiable information (PII) or other restricted information, so the risk of release explained in Question 29 isn't an issue.

QUESTION RELATED TO ITEM 030

34. Why are grant review FACA committee records temporary?

During appraisal we found that FACA committees whose sole purpose was grant review tended to create voluminous amounts of records (due to the number of meetings) that captured very little information due to the proprietary nature of information contained in many grant applications and the need to protect the identity of those that reviewed each grant. Therefore, we determined that the records of these committees do not warrant permanent retention.

QUESTION RELATED TO ITEM 040

35. Why is there a separate item for committee accountability records?

Committee accountability records are non-substantive records. They are separate from other non-substantive committee records because agencies must keep them for six years for accountability purposes (these records are related to financial and ethics records, which also have six-year retention periods in GRS 1.1 and GRS 2.8 for accountability purposes). By separating these records from other non-substantive records, this item gives agencies the flexibility to dispose of the other records sooner. If agencies want a simpler schedule, they may

combine items 040 and 050 into a single item for non-substantive committee records and maintain everything for six years (the longest retention period of the two items).

QUESTIONS RELATED TO ITEM 050

36. This item says that records may be destroyed "when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner." My agency has always liked keeping these records for 3 years. Do I have to destroy the records sooner now?

No. If an agency finds that its business needs are best met by a three-year retention period, it may still keep administrative records for three years. The new GRS disposition instruction leaves it up to agencies to determine when these temporary records can be destroyed: either when they are superseded, obsolete, no longer needed, or upon termination of the committee. The only stipulation is that records should be destroyed upon termination of the committee at the latest. If an agency wants to require committee staff to maintain these records for three years or until the committee is terminated, whichever is shorter, it should indicate this retention period in the agency records disposition manual or instructions.

37. Can agencies dispose of certain committee administrative records in accordance with other appropriate General Records Schedules?

Advisory committees should dispose of certain administrative records it creates or receives – records relating to budget, personnel, procurement, information technology management or similar housekeeping or facilitation functions –in accordance with another GRS because they are not substantive records and they do not pertain to the subject matter advice that the advisory committee provides to the Government. Upon termination of the committee, committees should transfer to the sponsoring agency any administrative records that another GRS authorizes for disposal that have retention periods outlasting the life of the committee (such as payroll, personnel and fiscal records) .

38. Can Federal Register notices announcing a meeting be destroyed once the meeting is over?

Yes. GRS 6.2, item 050, includes drafts and copies of Federal Register notices. The Federal Register itself is the recordkeeping copy; therefore there is no need for agencies to keep copies or drafts of notices beyond their business use. In the case of copies of the notices, that would most likely be at the conclusion of the meeting.

Checklist for Preparing Records for Transfer to NARA under GRS 6.2, Federal Advisory Committee Records

We provide this checklist as a tool to help you prepare permanent FACA committee records for transfer to NARA. It helps agencies identify the final disposition of FACA committee records scheduled by GRS 6.2, whether you will transfer the records to the National Archives or destroy them after a certain period of time. You should review the checklist for records you are preparing for transfer and check off those that you have. Include in the transfer to NARA only those records identified as permanent. This checklist is not an exhaustive list of committee records. If you have records not on this list and are unsure about their disposition, please contact the GRS Team at GRS_Team@nara.gov.

You must transfer permanent committee records to NARA either when a committee terminates or when the records are 15 years old, whichever is sooner. **You should transfer this checklist with the permanent records to NARA.** This list does not serve as a replacement for the box or folder list that you should also transfer to NARA with the records.

Sponsoring agencies must designate which copy of a record is the recordkeeping copy of permanent committee records. **Only one copy of the records should be the official recordkeeping copy that is transferred to the National Archives.** Arrange committee records by committee, not by the type of record (e.g. we should not receive a collection of charters for multiple committees; you should transfer original charters with the other permanent records related to the committee, regardless of where you maintain them).

If your agency general counsel designates Presidential advisory committee's records as Federal records, you should send a memo with the transfer of permanent records that establishes that the records are Federal and not Presidential. If the records are designated as Presidential records, you cannot apply this GRS and your agency should contact the Presidential Library Division of the National Archives.

Note: Records establishing a committee whose only purpose is peer review of grant proposals, or records documenting the committee's membership, activities and decisions, are temporary (DAA-GRS-2015-0001-0003). Do not transfer them to the National Archives.

Checklist for Preparing FACA Committee Records for Transfer to NARA

Committee Establishment and Termination

☑	Type of Record	Disposition	Disposition Authority
	Charters (original, renewal, re-establishment, and amended)	Transfer to NARA	DAA-GRS-2015-0001-0001
	Enacting legislation	Transfer to NARA	DAA-GRS-2015-0001-0001
	Explanation of committee need, when required	Transfer to NARA	DAA-GRS-2015-0001-0001
	Filing letters to Congress	Transfer to NARA	DAA-GRS-2015-0001-0001
	Organization charts	Transfer to NARA	DAA-GRS-2015-0001-0001
	Committee-specific bylaws and standard operating procedures or guidelines	Transfer to NARA	DAA-GRS-2015-0001-0001
	Termination documentation (i.e., email, letter, memo, etc.)	Transfer to NARA	DAA-GRS-2015-0001-0001

Committee Membership Records

☑	Type of Record	Disposition	Disposition Authority
	Memos or similar documentation of how or why individual members were selected, if they exist	Transfer to NARA	DAA-GRS-2015-0001-0001
	Membership balance plans	Transfer to NARA	DAA-GRS-2015-0001-0001
	Membership rosters	Transfer to NARA	DAA-GRS-2015-0001-0001
	Appointment letters (all categories)	Transfer to NARA	DAA-GRS-2015-0001-0001
	Resignation or termination letters	Transfer to NARA	DAA-GRS-2015-0001-0001
	Requests for approval of committee nominees	Agency may destroy when 3 years old	DAA-GRS-2015-0001-0006
	Resumes/curriculum vitae or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	Member credentials (resumes or biographies)	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	Member files (personnel-type records)	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	Financial disclosure documents and conflict of interest documents – Forms filed under the Ethics in Government Act	See GRS 2.8, Employee Ethics Records (multiple items may apply)	

	Financial disclosure documents and conflict of interest documents – Forms NOT filed under the Ethics in Government Act	Agency destroys when 6 years old, or when no longer needed	DAA-GRS-2015-0001-0004

Committee Meetings and/or Hearings (these records may repeat for every meeting)

☑	Type of Record	Disposition	Disposition Authority
	Drafts and copies of Federal Register notices	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	The determination by the agency head that a meeting or portion of a meeting may be closed to the public	Transfer to NARA	DAA-GRS-2015-0001-0001
	Agendas	Transfer to NARA	DAA-GRS-2015-0001-0001
	Materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations	Transfer to NARA	DAA-GRS-2015-0001-0001
	Meeting minutes	Transfer to NARA	DAA-GRS-2015-0001-0001
	Public comments	Transfer to NARA	DAA-GRS-2015-0001-0001
	Testimony received during hearings	Transfer to NARA	DAA-GRS-2015-0001-0001
	Transcripts of meetings and hearings	Transfer to NARA	DAA-GRS-2015-0001-0001
	Correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including email, exchanged between one or more committee members or agency committee staff (such as the DFO)	Transfer to NARA	DAA-GRS-2015-0001-0001
	Correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues)	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005

Sub-committee Records

☑	Type of Record	Disposition	Disposition Authority
	Decision documents	Transfer to NARA	DAA-GRS-2015-0001-0001
	Membership records	Transfer to NARA	DAA-GRS-2015-0001-0001
	Statement of purpose or other	Transfer to NARA	DAA-GRS-2015-0001-0001

	documentation of duties and responsibilities		
	Meeting minutes	Transfer to NARA	DAA-GRS-2015-0001-0001
	Transcripts	Transfer to NARA	DAA-GRS-2015-0001-0001
	Reports	Transfer to NARA	DAA-GRS-2015-0001-0001
	Briefing materials	Transfer to NARA	DAA-GRS-2015-0001-0001
	Substantive correspondence, including email, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, or agency committee staff (such as the DFO)	Transfer to NARA	DAA-GRS-2015-0001-0001
	Background materials	Transfer to NARA	DAA-GRS-2015-0001-0001

Research and Findings

☑	Type of Record	Disposition	Disposition Authority
	One copy each of final reports, memoranda, letters to agency, studies, pamphlets, produced by or for the committee	Transfer to NARA	DAA-GRS-2015-0001-0001
	Responses from agency to committee regarding recommendations	Transfer to NARA	DAA-GRS-2015-0001-0001
	Presentations or briefings of findings	Transfer to NARA	DAA-GRS-2015-0001-0001
	Records relating to research studies and other projects, including unpublished studies and reports and research materials (may include electronic data)	Transfer to NARA	DAA-GRS-2015-0001-0001
	Raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies	Transfer to NARA	DAA-GRS-2015-0001-0001

Special Media Records

☑	Type of Record	Disposition	Disposition Authority
	Audiotapes, videotapes, and other recordings of meetings and hearings that were not fully transcribed	Transfer to NARA	DAA-GRS-2015-0001-0002
	Audiotapes, videotapes, and other recordings of meetings and hearings that were fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	Captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings	Transfer to NARA	DAA-GRS-2015-0001-0002
	Photographs of committee social functions, routine award events, and other non-mission-related activities	Agency destroys when superseded, obsolete, or when	DAA-GRS-2015-0001-0005

		no longer needed	
	Posters (2 copies) produced by or for the committee	Transfer to NARA	DAA-GRS-2015-0001-0002

Committee Website

☑	**Type of Record**	**Disposition**	**Disposition Authority**
	Unique content documenting substantive decision-making activities of a committee	Transfer to NARA	DAA-GRS-2015-0001-0001
	Unique content on committee websites that does not document substantive decision-making activities, or is administrative or housekeeping in nature	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005
	Website content that is only copies of records maintained elsewhere (duplicates) that is not the recordkeeping copy	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2013-0001-0007

Other Committee Records

☑	**Type of Record**	**Disposition**	**Disposition Authority**
	Records documenting financial expenditures	Agency destroys when 6 years old, or when no longer needed	DAA-GRS-2015-0001-0004
	Public requests for information	Agency destroys when superseded, obsolete, or when no longer needed	DAA-GRS-2015-0001-0005

For records related to personnel, budget, procurement, information technology (IT) system development, web design/maintenance, and other administrative and housekeeping records, please refer to your agency records disposition manual or other General Records Schedules.

FOIA restricted records

Some permanently valuable committee records may be restricted under FOIA at the time of transfer to NARA. If you have questions about which records are restricted under FOIA, please consult your agency's general counsel or records officer. For records you are transferring to NARA, please indicate below any record types that are subject to FOIA restrictions, citing the specific restriction we should apply. (You can find additional information about FOIA restrictions on committee records in the GRS 6.2 Frequently Asked Questions.)

Type of Record	**FOIA Restriction**

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions, and certain nontextual records. They also include records relating to temporary commissions, boards, councils and committees. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, many of the records descriptions are general. Agency records officers may either use the schedules as an appendix to an agency printed schedule or tailor the general schedules to the agency's own particular needs and incorporate them into agency schedules.

The GRS covers only records that are common among several agencies. For complete coverage of the disposition of all its records, each agency must independently develop schedules for the remaining records. Agencies should exercise particular care in applying items in GRS 1-16 and 18 to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than 3 years. Program subject files may be needed by the agency for 10 years or more and may have archival value as well. Except when the volume of administrative records is negligible, agencies should maintain administrative records separately from program records in their agency recordkeeping systems. If administrative records are mixed with program records in the recordkeeping system and cannot be economically segregated, the entire file must be kept for the period of time approved for the program records. Similarly, if documents described in the GRS are part of a subject or case file that documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

For more information on scheduling records not covered by the GRS, including potentially permanent records, see the Disposition of Federal Records Handbook. Also, the National Archives and Records Administration (NARA) has prepared a series of instructional guides that provide information on scheduling nontextual records that are not covered by the GRS. The handbook and separate guides on electronic records, audiovisual records, and cartographic and architectural records are available from the National Archives and Records Administration (NWCP), Room G-9, Washington, DC 20408.

GRS items cover only record copies. In some instances, more than one copy of a document or file would be considered a record if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the records officer should treat them as records. Records officers may consult with the NARA Life Cycle Management Division (NWML) to determine the record or nonrecord status of particular files.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects these records they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies and destroy the paper copies after verification of the film unless legal considerations require longer retention of the paper (36 CFR

1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit a Standard Form (SF) 115 providing justification for the deviation.

The GRS includes an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various Government agencies.

Items at the end of GRS 1-16, 18, 23, 24, 25 and 26 provide disposition instructions for electronic mail and word processing copies, maintained apart from the recordkeeping copy, of the records described in the other items in those schedules. The other items authorize the disposition of the recordkeeping copy. The electronic mail and word processing records covered in each of those schedules are those that remain in personal and shared directories after the recordkeeping copy has been produced, and electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel that cannot be reconciled within the agency may be referred to the Director, Life Cycle Management Division (NWML), NARA, from offices in the Washington, DC area, or the NARA regional records services facility from offices outside the Washington, DC area.

Some records series covered by the GRS are eligible for retirement to the Washington National Records Center or to records center storage in a NARA regional records services facility. Records should be retired from agency space to such storage only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to records center storage in a NARA facility should have a remaining retention of at least 1 year. If special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate NARA facility director. Procedures for transfer of records to records center storage in a NARA facility are found in NARA regulations (36 CFR 1228.152).

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management (OPM), the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to *The Guide to Personnel Recordkeeping*, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

1. Official Personnel Folders (OPFs).
   Records filed on the right side of the OPF. (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.

   a. Transferred employees.

      See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.

   b. Separated employees.

      Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. [See note (2) after this item]. NPRC will destroy 65 years after separation from Federal service. (N1-GRS-87-12 item 1b2)

   [**NOTES**: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPFs to NPRC. These agencies retain OPFs for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

2. Service Record Cards. [See note after item 2b.]

   Service Record Card (Standard Form (SF) 7 or equivalent).

   a. Cards for employees separated or transferred on or before December 31, 1947. Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action. (N1-GRS-78-2 item 1)

b. Cards for employees separated or transferred on or after January 1, 1948. Destroy 3 years after separation or transfer of employee. (NC1-64-77-10 item 2b)

[**NOTE**: Effective December 31, 1994, the SF 7 card became obsolete.]

3. Personnel Correspondence Files.
Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old. (N1-GRS-81-10 item 1)

4. Offers of Employment Files.

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when appointment is effective. (NC1-64-77-10 item 4a)

b. Declined offers:

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application. (NC1-64-77-10 item 4b1)

(2) Temporary or excepted appointment.

File with application (see GRS 1, items 33k, 33l, 33m, or 33n, as appropriate). (NC1-64-77-10 item 4b2)

(3) All others.

Destroy immediately. (NC1-64-77-10 item 4b3)

5. Certificate of Eligibles Files.

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old. (NC1-64-77-10 item 5)

6. Employee Record Cards. [See note after this item.]

Employee record cards used for informational purposes outside personnel offices (such as SF 7B).

Destroy on separation or transfer of employee. (NC1-64-77-10 item 6)

[**NOTE**: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]

7. Position Classification Files.

a. Position Classification Standards Files.

(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

Destroy when superseded or obsolete. (N1-GRS-81-11 item 1)

(2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.

(a) Case file.

Destroy 5 years after position is abolished or description is superseded. (NC1-64-77-10 item 7a2a)

(b) Review File.

Destroy when 2 years old. (NC1-64-77-10 item 7a2b)

b. Position Descriptions.

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Destroy 2 years after position is abolished or description is superseded. (N1-GRS-88-4 item 1)

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. (NC1-64-77-10 item 7c1a)

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded. (NC1-64-77-10 item 7c1b)

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed. (N1-GRS-90-1 item 7d1)

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded. (N1-GRS-90-1 item 7d2)

8. Interview Records.

Correspondence, reports, and other records relating to interviews with prospective employees.

Destroy 6 months after transfer or separation of employee. (NC1-64-77-10 item 8)

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews

Destroy 1 year after case is closed. (NC1-64-77-10 item 9)

10. Temporary Individual Employee Records.

a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records. (N1-GRS-97-4 item 10a)

b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency. (N1-GRS-97-4 item 10b)

11. Position Identification Strips. [See note after this item.]

Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete. (NC1-64-77-10 item 11)

[**NOTE**: Effective December 31, 1994, the SF 7D became obsolete.]

12. Employee Awards Files. [See note after item 12d.]

a. General awards records, EXCLUDING those relating to department-level awards.

(1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Destroy 2 years after approval or disapproval. (NC1-64-77-10 item 12a1)

(2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy when 2 years old. (NC1-64-77-10 item 12a2)

b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Destroy when 1 year old. (NC1-64-77-10 item 12b)

c. Letters of commendation and appreciation.

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.

Destroy when 2 years old. (NC1-64-77-10 item 12c)

d. Lists of or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations.

Destroy when superseded or obsolete. (NC1-64-77-10 item 12d)

[**NOTE**: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

13. Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old. (NC1-64-77-10 item 13)

14. Notifications of Personnel Actions.

Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

a. Chronological file copies, including fact sheets, maintained in personnel offices.

Destroy when 2 years old. (NC1-64-77-10 item 14a)

b. All other copies maintained in personnel offices.

Destroy when 1 year old. (NC1-64-77-10 item 14b)

15. RESERVED

16. Personnel Operations Statistical Reports.

Statistical reports in the operating personnel office and subordinate units relating to personnel.

Destroy when 2 years old. (NC1-64-77-10 item 16)

17. Correspondence and Forms Files.
Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.

a. Correspondence and forms relating to pending personnel actions.

Destroy when action is completed. (NC1-64-77-10 item 17a)

~~b. Retention registers and related records.~~

~~(1) Registers and related records used to effect reduction-in-force actions.~~ **Superseded by GRS 2.5, item 011 (DAA-GRS-2014-0004-0002)**

~~(2) Registers from which no reduction-in-force actions have been taken and related records.~~ **Superseded by GRS 2.5, item 010 (DAA-GRS-2014-0004-0001)**

c. All other correspondence and forms.

Destroy when 6 months old. (NC1-64-77-10 item 17c)

18. Supervisors' Personnel Files and Duplicate OPF Documentation.

a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer. (NC1-64-77-10 item 18a)

b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old. (NC1-64-77-10 item 18b)

19. Individual Non-Occupational Health Record Files.

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 6 years after date of last entry. (NC1-64-77-10 item 19)

20. Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. If information is summarized on statistical report.

Destroy 3 months after last entry. (NC1-64-77-10 item 20a)

b. If information is not summarized.

Destroy 2 years after last entry. (NC1-64-77-10 item 20b)

21. Employee Medical Folder (EMF). [See note after item 21c.]

a. Long-term medical records as defined in 5 CFR Part 293, Subpart E.

(1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

(2) Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. (N1-GRS-86-4 item 21a2)

b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM).

Destroy 1 year after separation or transfer of employee. (N1-GRS-86-4 item 21b)

c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

Destroy 60 years after retirement to the NARA records storage facility. (N1-GRS-86-4 item 21c)

[**NOTE**: Electronic master files and databases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

22. Statistical Summaries. [See note after this item.]

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Destroy 2 years after date of summary or report. (NC1-64-77-10 item 22)

[**NOTE**: Electronic master files and databases created to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

23. Employee Performance File System Records. [See note after item 23b(4).]

a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.

Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice. (N1-GRS-93-3 item 23a1)

(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded. (N1-GRS-93-3 item 23a2)

(3) Performance-related records pertaining to a former employee.

(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule. (N1-GRS-95-3 item 23a3a)

(b) All other performance plans and ratings.

Destroy when 4 years old. (N1-GRS-98-2 item 2)

(4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Destroy 4 years after date of appraisal. (N1-GRS-95-3 item 23a4)

(5) Supporting documents.

Destroy 4 years after date of appraisal. (N1-GRS-98-2 item 3)

b. SES appointees (as defined in 5 U.S.C. 3132a(2)).

(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded. (N1-GRS-82-2, item 23b1)

(2) Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule. (N1-GRS-88-3 item 23b2a)

(b) All other performance ratings and plans.

Destroy when 5 years old. (N1-GRS-98-2 item 4)

(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal. (N1-GRS-82-2 item 23b3)

(4) Supporting documents.

Destroy 5 years after date of appraisal. (N1-GRS-98-2 item 5)

[**NOTE**: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

24. Reasonable Accommodation Request Records

Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

- Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;
- Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and
- Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

a. General Files

Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.

Destroy three years after supercession or when no longer needed for reference whichever is later. (N1-GRS-04-2 item 1a)

b. Employee Case Files

Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devises and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes.

Destroy three years after employee separation from the agency or all appeals are concluded whichever is later. (N1-GRS-04-2 item 1b)

[**Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]

c. Supplemental Files

Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, notes.

Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later. (N1-GRS-04-2 item 1c)

[**Note**: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file. (N1-GRS-04-2 item 1c Note)]

d. Tracking System

Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.

Delete/destroy three years after compliance report is filed or when no longer needed for reference. (N1-GRS-04-2 item 1d)

25. <u>Equal Employment Opportunity (EEO) Records</u>.

a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

Destroy 4 years after resolution of case. (N1-GRS-80-9 item 1)

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.

Destroy 1 year after resolution of case. (NC1-64-77-10 item 26b)

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

Destroy 2 years after final resolution of case. (N1-GRS-92-3 item 25c1)

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Destroy when 2 years old. (N1-GRS-92-3 item 25c2)

d. Compliance Records.

(1) Compliance Review Files.

Reviews, background documents, and correspondence relating to contractor employment practices.

Destroy when 7 years old. (NC1-64-77-10 item 26d1)

(2) EEO Compliance Reports.

Destroy when 3 years old. (NC1-64-77-10 item 26d2)

e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase.

Destroy when 1 year old. (NC1-64-77-10 item 26e)

f. Employment Statistics Files. [See note after this item.]

Employment statistics relating to race and sex.

Destroy when 5 years old. (NC1-64-77-10 item 26f)

[**NOTE**: Electronic master files and databases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

g. EEO General Files.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. (NC1-64-77-10 item 26g)

h. EEO Affirmative Action Plans (AAP).

(1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan. (NC-64-76-4 item 27a)

(2) Agency feeder plan to consolidated AAP(s).

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. (NC-64-76-4 item 27b)

(3) Report of on-site reviews of Affirmative Action Programs.

Destroy 5 years from date of report. (N1-GRS-83-2 item 1)

(4) Agency copy of annual report of Affirmative Action accomplishments.

Destroy 5 years from date of report. (N1-GRS-83-4 item 26h4)

26. <u>Personnel Counseling Records.</u>

a. Counseling Files.

Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling. (NC1-64-77-10 item 27a)

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old. (NC1-64-77-10 item 27b)

27. Alternative Dispute Resolution (ADR) Files**.**

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

[**NOTE**: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]

a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Destroy when 3 years old. Longer retention is authorized if records are needed for agency business. (N1-GRS-03-2 item a)

b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Destroy 3 years after settlement is implemented or case is discontinued. (N1-GRS-03-2 item b)

28. Labor Management Relations Records.

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Destroy 5 years after expiration of agreement. (NC1-64-77-10 item 29a1)

(2) Other offices.

Destroy when superseded or obsolete. (NC1-64-77-10 item 29a2)

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case. (NC1-64-77-10 item 29b)

29. Training Records.

EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. [See note after item 29b.]

a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Destroy when 5 years old or 5 years after completion of a specific training program. (NC1-64-77-10 item 30b1)

(2) Background and working files.

Destroy when 3 years old. (NC1-64-77-10 item 30b2)

b. Employee training.

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Destroy when 5 years old or when superseded or obsolete, whichever is sooner. (NC1-64-77-10 item 30c)

[**NOTE**: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

30. Administrative Grievance, Disciplinary, and Adverse Action Files. [See note after item 30b.]

a. Administrative Grievance Files (5 CFR 771).

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy no sooner than 4 years but no later than 7 years after case is closed. (N1-GRS-92-1 item 30a)

b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432).

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Destroy no sooner than 4 years but no later than 7 years after case is closed. (N1-GRS-92-1 item 30b)

[**NOTE**: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the agency's records disposition manual, and any other issuance dealing with the disposition of these records. (N1-GRS-92-1 item 30 Note)]

31. Personnel Injury Files.

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. (N1-GRS-86-4 item 32)

32. Merit Promotion Case Files.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. (N1-GRS-79-2 item 1)

33. Examining and Certification Records.

a. Delegated agreements.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

Destroy 3 years after termination of agreement. (N1-GRS-86-1 item 34)

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34a)

c. Correspondence or notices received from eligibles indicating a change in name, address, or availability.

Destroy 90 days after updating the appropriate record in the registry or inventory. (N1-GRS-02-1 item 33c)

d. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock. (N1-GRS-85-2 item 34b)

Destroy when test is superseded or obsolete.

e. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cutoff. (N1-GRS-85-2 item 34c)

f. Examination Announcement Case Documentation Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off. (N1-GRS-02-1 item 33f)

g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Destroy 2 years after the date on which the register of inventory is terminated. (N1-GRS-02-1 item 33g)

h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34f)

i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old. (N1-GRS-85-2 item 34h)

j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cutoff. (N1-GRS-85-2 item 34i)

k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-02-1 item 33k)

l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory.

Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). (N1-GRS-02-1 item 33l1 [el-one])

(2) On inactive register or inventory.

Cut off annually. Destroy 1 year after cut off. (N1-GRS-02-1 item 33l2 [el-two])

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33m)

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33n)

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34k)

p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33p)

q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Cut off annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33q)

r. Interagency Placement Program (IPP) application and registration sheet.

Destroy upon expiration of employee's DEP eligibility. (N1-GRS-85-2 item 34n)

s. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off. (N1-GRS-85-2 item 34o)

t. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report. (N1-GRS-85-2 item 34p)

34. Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Destroy when 5 years old. (N1-GRS-87-6 item 35)

35. Denied Health Benefits Requests Under Spouse Equity. [See note after item 35b(2).] Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

a. Health benefits denied, not appealed.

Destroy 3 years after denial. (N1-GRS-88-2 item 1a)

b. Health benefits denied, appealed to OPM for reconsideration.

(1) Appeal successful - benefits granted.

Create enrollment file in accordance with Subchapter S17 of the **FEHB Handbook**. (N1-GRS-88-2 item 1b1)

(2) Appeal unsuccessful - benefits denied.

Destroy 3 years after denial. (N1-GRS-88-2 item 1b2)

[**NOTE**: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

36. Federal Workplace Drug Testing Program Files. [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).] (N1-GRS-98-2 item 6)

b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36b)

c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36c)

d. Records relating to the collection and handling of specimens.

(1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36d1)

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36d2)

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

(a) Employees. (N1-GRS-98-1 item 36e2a)

Destroy when employee leaves the agency or when 3 years old, whichever is later.

(b) Applicants not accepted for employment.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-98-1 item 36e2b)

(2) Negative results.

Destroy when 3 years old. (N1-GRS-98-1 item 36e1)

[**NOTES**: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s). (N1-GRS-98-1 Notes 1 and 2)]

37. Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed. (N1-GRS-92-5 item 1)

38. Wage Survey Files.

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Destroy after completion of second succeeding wage survey.

~~39. Retirement Assistance Files.~~

~~Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits~~. **Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)**

40. Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case. (N1-GRS-93-2 item 1)

41. Pay Comparability Records.

Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later. (N1-GRS-96-2)

42 Alternate Worksite Records.

a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

Destroy 1 year after end of employee's participation in the program. (N1-GRS-97-1 item 1a)

b. Unapproved requests.

Destroy 1 year after request is rejected. (N1-GRS-97-1 item 1b)

c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

Destroy when 1 year old, or when no longer needed, whichever is later. (N1-GRS-97-1 item 1c)

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civilian employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Standard Form (SF) 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management (OPM); (b) files maintained in agency space for audit by the General Accounting Office (GAO) under 31 U.S.C. 3529(c); (c) records relating to tax withholding, savings bonds, fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. The National Archives and Records Administration (NARA) must be consulted for any records created prior to January 1, 1921 before applying these disposition instructions.

Documents required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the GAO unless the agency concerned has written approval of the Comptroller General, as required by 44 U.S.C. 3309. Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6 - Pay, Leave, and Allowances and incorporated in the GAO Policy and Procedures Manual for Guidance of Federal Agencies.

In the payrolling process different types of records are accumulated. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

All payroll systems require the maintenance of a leave record used to submit data to the payroll system. Information is posted to this record from more detailed records kept by time and attendance clerks located throughout an agency. Depending on the type of system in operation, this leave record may be a hard-copy input form or it may be a wholly electronic input.

Other records incidental to the payrolling process are employee requests for tax withholding; employee requests for Thrift Savings Plan deductions; savings bond records; and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

PAYROLL

1. Individual Employee Pay Record.

   a. Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.

      Update elements and/or entire record as required. (N1-GRS-92-4 item 1a)

   b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.

      Transfer to National Personnel Records Center. Destroy when 56 years old. (N1-GRS-92-4 item 1b)

2. Noncurrent Payroll Files.

   Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.

   Destroy 15 years after close of pay year in which generated. (N1-GRS-92-4 item 2)

Items 3 through 5. Reserved.

TIME AND ATTENDANCE

6. Leave Application Files.

   SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

   a. If employee initials time card or equivalent.

      Destroy at end of following pay period. (N1-GRS-92-4 item 6a)

   b. If employee has not initialed time card or equivalent.

      Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 6b)

7. Time and Attendance Source Records.

   All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

   Destroy after GAO audit or when 6 years old, whichever is sooner. (N1-GRS-92-4 item 7)

8. Time and Attendance Input Records.

Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

Destroy after GAO audit or when 6 years old, whichever is sooner. (N1-GRS-92-4 item 8)

~~9. Leave Record.~~

~~a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.~~ **Rescinded per GRS Transmittal 24 (see GRS 2.5, item 040)**

~~b. Creating agency copy, when maintained.~~ **Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)**

Items 10 through 12. Reserved.

DEDUCTIONS, ALLOTMENTS, AND ELECTRONIC FUNDS TRANSFERS

13. Tax Files.

a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

Destroy 4 years after superseded or obsolete or upon separation of employee. (N1-GRS-92-4 item 13a)

b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old. (N1-GRS-92-4 item 13b)

c. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old. (N1-GRS-92-4 item 13c)

14. Savings Bond Purchase Files.

a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.

Destroy when superseded or after separation of employee. (N1-GRS-92-4 item 14a)

b. Bond registration files: issuing agent's copies of bond registration stubs.

Destroy 4 months after date of issuance of bond. (N1-GRS-92-4 item 14b)

c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.

Destroy 4 months after date of issuance of bond. (N1-GRS-92-4 item 14c)

15. Combined Federal Campaign and Other Allotment Authorizations.

a. Authorization for individual allotment to the Combined Federal Campaign.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 15a)

b. Other authorizations, such as union dues and savings.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 15b)

16. Thrift Savings Plan Election Form.

Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.

Destroy when superseded or after separation of employee. (N1-GRS-92-4 item 16)

17. Direct Deposit Sign-up Form (SF 1199A).

Destroy when superseded or after separation. (N1-GRS-92-4 item 17)

18. Levy and Garnishment Files.

Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

Destroy 3 years after garnishment is terminated. (N1-GRS-92-4 item 18)

Items 19 through 21. Reserved.

PAYROLL ADMINISTRATION

22. Payroll System Reports.

a. Error reports, ticklers, system operation reports.

Destroy when related actions are completed or when no longer needed, not to exceed 2 years. (N1-GRS-92-4 item 22a)

b. Reports and data used for agency workload and or personnel management purposes.

Destroy when 2 years old. (N1-GRS-92-4 item 22b)

c. Reports providing fiscal information on agency payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 22c)

23. Payroll Change Files.

Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

a. Copies subject to GAO audit.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 23a)

b. All other copies.

Destroy 1 month after end of related pay period. (N1-GRS-92-4 item 23b)

24. Payroll Correspondence.

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old. (N1-GRS-92-4 item 24)

Items 25 through 27. Reserved.

RETIREMENT

~~28. Retirement Files.~~

~~Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent~~. **Superseded by GRS 2.5, items 010 (DAA-GRS-2014-0004-0001) and 011 (DAA-GRS-2014-0004-0002)**

Items 29 through 30. Reserved.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers.

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

1. Real Property Files. [See note after item 1b.]

   Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

   a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

      Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

   b. Abstract or certificate of title.

      Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

   [**NOTE**: Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of a Standard Form (SF) 115 to NARA.]

2. General Correspondence Files.

   Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.

   Destroy when 2 years old. (NC1-64-77-5 item 3)

~~3. Routine Procurement Files~~

   ~~a. Procurement or purchase organization copy, and related papers.~~

~~(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").~~

~~(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(2) Transactions dated earlier than July 3, 1995.~~

~~(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(b) Transactions that utilize small purchase procedures and all construction contracts under $2,000~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Obligation copy~~. **Rescinded per GRS Transmittal 23**

~~c. Other copies of records described above used by component elements of a procurement office for administrative purposes~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

~~d. Data Submitted to the Federal Procurement Data System (FPDS)~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. Supply Management Files.

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

a. Copies received from other units for internal purposes or for transmission to staff agencies.

Destroy when 2 years old. (NC1-64-77-5 item 5a)

b. Copies in other reporting units and related working documents.

Destroy when 1 year old. (NC1-64-77-5 item 5b)

~~5. Solicited and Unsolicited Bids and Proposals Files.~~

~~a. Successful bids and proposals.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Solicited and unsolicited unsuccessful bids and proposals.~~

~~(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.~~

~~(a) When filed separately from contract case files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(b) When filed with contract case files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~c. Canceled solicitations files.~~

~~(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~2) Unopened bids.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~d. Lists or card files of acceptable bidders.~~ **Superseded by GRS 1.1, item 070 (DAA-GRS-2016-0001-0004) and item 071 (DAA-GRS-2016-0001-0005)**

~~6. Public Printer Files.~~

~~Records relating to requisitions on the Printer, and all supporting papers.~~

~~a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Accounting copy of requisition.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~7. Non-personnel Requisition File.~~

~~Requisitions for non-personnel services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

8. Inventory Requisition File.

Requisitions for supplies and equipment for current inventory.

a. Stockroom copy.

Destroy 2 years after completion or cancellation of requisition. (NC1-64-77-5 item 9a)

b. All other copies.

Destroy when 6 months old. (NC1-64-77-5 item 9b)

9. Inventory Files.

a. Inventory lists.

Destroy 2 years from date of list. (NC1-64-77-5 item 10a)

b. Inventory cards.

Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control. (NC1-64-77-5 item 10b)

c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.

Destroy 2 years after date of survey action or date of posting medium. (NC1-64-77-5 item 10c)

~~10. Telephone Records.~~

~~Telephone statements and toll slips~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~11. Contractors' Payroll Files.~~

~~Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers~~. **Superseded by GRS 1.1, item 050 (DAA-GRS-2013-0003-0003)**

~~12. Tax Exemption Files.~~

~~Tax exemption certificates and related papers~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~13. Unsuccessful Grant Application Files.~~

~~Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications~~. **Superseded by GRS 1.2, item 021 (DAA-GRS-2013-0008-0006)**

~~14. Grant Administrative Files. [See note after this item.]~~

~~Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program~~. **Superseded by GRS 1.2, item 010 (DAA-GRS-2013-0008-0007)**

~~15. Contract Appeals Case Files.~~

~~Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.~~

~~a. Records created prior to October 1, 1979~~. **Rescinded per GRS Transmittal 23**

~~b. Records created after September 30, 1979.~~ **Superseded by GRS 1.1, item 060 (DAA-GRS-2016-0001-0003)**

~~16. Contractor's Statement of Contingent or Other Fees.~~

~~SF 119, Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes~~.
Rescinded per GRS Transmittal 23

17. Small and Disadvantaged Business Utilization Files.

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507.

Destroy when 3 years old. (N1-GRS-87-14 item 1)

18. Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)

Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures.

[**NOTE:** Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.]

a. Circular No. A-76 case files/studies maintained by office having primary responsibility.

Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 to 10 years after cut off. (N1-GRS-05-2 item 18a)

[**NOTE:** To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.]

b. Circular No. A-76 records maintained by other offices, including information copies and background material.

   Cut off upon completion of study. Destroy 2 years after cut off. (N1-GRS-05-2 item 18b)

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration (GSA) transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the GSA and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form (SF) 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.

b. SF 120, Report of Excess Personal Property, and SF 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

1. Property Disposal Correspondence Files.

   Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.

   Destroy when 2 years old. (GRS 4, 1952, item 4)

2. Excess Personal Property Reports.

   Destroy when 3 years old. (GRS 4, 1952, item 5)

~~3. Surplus Property Case Files.~~

   ~~Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.~~

~~a. Transactions of more than $25,000~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Transactions of $25,000 or less~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. Real Property Files. [See note after this item.]

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

[**NOTE**: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of OMB and the Department of Treasury reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

1. Budget Correspondence Files.

   Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

   Destroy when 2 years old. (GRS 5, 1952, items 1 and 3)

2. Budget Background Records.

   Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

   Destroy 1 year after the close of the fiscal year covered by the budget. (NC1-GRS-81-13 item 2)

3. Budget Reports Files.

   Periodic reports on the status of appropriation accounts and apportionment.

   a. Annual report (end of fiscal year).

      Destroy when 5 years old. (GRS 5, 1952, item 5a)

   b. All other reports.

      Destroy 3 years after the end of the fiscal year. (NC-64-75-2 item 5b)

4. Budget Apportionment Files. [See note after this item.]

   Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

   Destroy 2 years after the close of the fiscal year. (GRS 5, 1952, item 6)

[**NOTE**: The following budget files are not covered by the GRS:

* Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.

* Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA. (GRS 5, 1952, items 1 and 2)]

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Department of Treasury. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if a site audit was involved. This procedure was extended and confirmed by GAO General Regulation No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form (SF) 1166 and SF 1167) for use by all agencies, effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer of the Treasury.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that an audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognizance. GAO has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal records centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Records Management, GAO. Because the records previously transferred to GAO are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

~~1. Accountable Officers' Files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.~~

~~Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.~~

~~SF 215 Deposit Ticket~~
~~SF 224 Statement of Transactions~~
~~SF 1012 Travel Voucher~~
~~SF 1034 Public Voucher for Purchases and Services Other Than Personal~~
~~SF 1036 Statement of Certificate and Award~~
~~SF 1038 Advance of Funds Application and Account~~
~~SF 1047 Public Voucher for Refunds~~
~~SF 1069 Voucher for Allowance at Foreign Posts of Duty~~
~~SF 1080 Voucher for Transfer Between Appropriations and/or Funds~~
~~SF 1081 Voucher and Schedule of Withdrawals and Credits~~
~~SF 1096 Schedule of Voucher Deductions~~
~~SF 1097 Voucher and Schedule to Effect Correction of Errors~~
~~SF 1098 Schedule of Canceled Checks~~
~~SF 1113 Public Voucher for Transportation Charges~~
~~SF 1129 Reimbursement Voucher~~
~~SF 1143 Advertising Order~~
~~SF 1145 Voucher for Payment Under Federal Tort Claims Act~~
~~SF 1154 Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee~~
~~SF 1156 Public Voucher for Fees and Mileage~~
~~SF 1164 Claim for Reimbursement for Expenditures on Official Business~~
~~SF 1166 Voucher and Schedule of Payments~~
~~SF 1185 Schedule of Undeliverable Checks for Credit to Government Agencies~~
~~SF 1218 Statement of Accountability (Foreign Service Account)~~
~~SF 1219 Statement of Accountability~~
~~SF 1220 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts~~

~~SF 1221 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)~~
~~OF 1114 Bill of Collection~~
~~OF 1114A Official Receipt~~
~~OF 1114B Collection Voucher~~

Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

~~b. Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

~~2. GAO Exceptions Files.~~

~~GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence~~. **Rescinded per GRS Transmittal 23**

~~3. Certificates Settlement Files.~~

~~Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.~~

~~a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Certificates covering periodic settlements~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~4. General Fund Files.~~

~~Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

5. Accounting Administrative Files.

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

a. Files used for workload and personnel management purposes.

Destroy when 2 years old. (NC-64-77-11, item 5a)

b. All other files.

Destroy when 3 years old. (NC-64-77-11, item 5b)

~~6. Federal Personnel Surety Bond Files.~~

~~a. Official copies of bond and attached powers of attorney.~~

~~(1) Bonds purchased before January 1, 1956~~. **Rescinded per GRS Transmittal 23**

~~(2) Bonds purchased after December 31, 1955~~. **Rescinded per GRS Transmittal 23**

~~b. Other bond files including other copies of bonds and related documents~~. **Rescinded per GRS Transmittal 23**

~~7. Gasoline Sales Tickets.~~

~~Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~8. Telephone Toll Tickets.~~

~~Originals and copies of toll tickets filed in support of telephone toll call payments~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~9. Telegrams~~.

~~Originals and copies of telegrams filed in support of telegraph bills~~. **Rescinded per GRS Transmittal 23**

10. Administrative Claims Files.

a. Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1a)

b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).

Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

(1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1b1)

(2) Claims for which collection action has been terminated under 4 CFR Part 104.

(a) Claims for which the Government's right to collect was not extended.

Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued. (N1-GRS-87-13 item 1b2a)

(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

Destroy 3 months after the end of the extended period. (N1-GRS-87-13 item 1b2b)

(3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1b3)

c. Claims files that are affected by a court order or that are subject to litigation proceedings.

Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later. (N1-GRS-87-13 item 1c)

11. Waiver of Claims Files.

Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an

employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.

a. Approved waivers (agencies may approve amounts not aggregating to more than $500 or GAO may approve any amount).

Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved. (N1-GRS-88-1 item 11a)

b. Denied waivers.

Destroy with related claims files in accordance with items 10b and 10c of this schedule. (N1-GRS-88-1 item 11b)

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they, in turn, summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.

b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Department of Treasury, and overall reports of agency fiscal condition which may be required by the General Accounting Office (GAO) (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by GAO auditors to be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Department of Treasury and the OMB, or to those formerly maintained by the GAO. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

1. Expenditure Accounting General Correspondence and Subject Files.

   Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

   Destroy when 2 years old. (GRS 7, 1952, item 1)

~~2. General Accounting Ledgers.~~

   ~~General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~3. Appropriation Allotment Files.~~

   ~~Allotment records showing status of obligations and allotments under each authorized appropriation~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~4. Expenditure Accounting Posting and Control Files.~~

   ~~Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.~~

   ~~a. Original records~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

   ~~b. Copies~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. Plant Accounting. These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. Cost Accounting. These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

1. <u>Plant, Cost, and Stores General Correspondence Files</u>.

   Correspondence files of units responsible for plant, cost, and stores accounting operations.

   Destroy when 2 years old. (GRS 8, 1952, item 1)

~~2. Stores Invoice Files.~~

~~Invoices or equivalent papers used for stores accounting purposes.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~3. Stores Accounting Files.~~

~~Stores accounting returns and reports.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~4. Stores Accounting Background Files.~~

~~Working files used in accumulating stores accounting data.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~5. Plant Accounting Files. [See note after this item.]~~

~~Plant account cards and ledgers, other than those pertaining to structures.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~6. Cost Accounting Reports.~~

~~a. Copies in units receiving reports.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~b. Copies in reporting units and related work papers.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~7. Cost Report Data Files.~~

~~Ledgers, forms, and electronic records used to accumulate data for use in cost reports.~~

~~a. Ledgers and forms.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~b. Automated records.~~

~~(1) Detail cards.~~ **Rescinded per GRS Transmittal 23**

~~(2) Summary cards.~~ **Rescinded per GRS Transmittal 23**

~~(3) Tabulations.~~ **Rescinded per GRS Transmittal 23**

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by General Records Schedule 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard-form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.

~~1.~~ ~~Commercial Freight and Passenger Transportation Files.~~

~~a. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account,~~

~~requiring the voucher to be retained beyond the 6 year retention period~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~d. Obligation copy of commercial passenger transportation vouchers~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~e. Unused ticket redemption forms, such as SF 1170~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

2. Lost or Damaged Shipments Files.

   Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.

   Destroy when 6 years old. (N1-GRS-91-3, item 2)

~~3. Noncommercial, Reimbursable Travel Files.~~

~~Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.~~

~~a. Travel administrative office files~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Obligation copies~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

4. General Travel and Transportation Files.

   a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.

      Destroy when 2 years old. (N1-GRS-91-3, item 4a)

   b. Accountability records documenting the issue or receipt of accountable documents.

      Destroy 1 year after all entries are cleared. (N1-GRS-91-3, item 4b)

5. Records Relating to Official Passports. [See notes after item 5c.]

   a. Application files.

Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

Destroy when 3 years old or upon separation of the bearer, whichever is sooner. (N1-GRS-91-1, item 5a)

b. Annual reports concerning official passports.

Reports to the Department of State concerning the number of official passports issued and related matters.

Destroy when 1 year old. (N1-GRS-91-1, item 5b)

c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when superseded or obsolete. (N1-GRS-98-2, item 9)

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State. (N1-GRS-91-1, item 5 Notes)]

6. RESERVED

7. Federal Employee Transportation Subsidy Records.

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Destroy when 3 years old. (N1-GRS-97-2, item 7)

GENERAL RECORDS SCHEDULE 10

Motor Vehicle and Aircraft Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles and aircraft used by agencies.

Motor vehicles. Items 1 through 7 pertain to motor vehicles used by agencies. 41 CFR 101-34 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Acquisition Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This portion of the schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Acquisition Service (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

Aircraft. Items 9 through 13 pertain to the management, maintenance, and operation of aircraft used by Federal agencies. 41 CFR 102-33 prescribes policies and procedures. These items include Federal records accumulated in connection with the use of leased aircraft as well as records provided by contractors for government agencies. Specifically excluded from this schedule are previously approved records series from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

[**Note:** Some of these records may be necessary for the investigation and preparation of accident/incident reports. Agencies conducting their own internal accident/incident investigation congruent with those conducted by the Federal Aviation Administration and the National Transportation Safety Board must maintain those records in accordance with item 13 of this schedule. The records of the Federal Aviation Administration and the National Transportation Safety Board are excluded from item 13 of this schedule.]

1. Motor Vehicle Correspondence Files.

   Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

   Destroy when 2 years old. (GRS 10, 1952, item 1)

2. Motor Vehicle Operating and Maintenance Files.

   a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

      Destroy when 3 months old. (GRS 10, 1952, item 2a)

b. Maintenance records, including those relating to service and repair.

Destroy when 1 year old. (GRS 10, 1952, item 2b)

3. Motor Vehicle Cost Files.

Motor vehicle ledger and worksheets providing cost and expense data.

Destroy 3 years after discontinuance of ledger or date of worksheet. (GRS 10, 1952, item 3)

4. Motor Vehicle Report Files.

Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data.

Destroy 3 years after date of report. (GRS 10, 1952, item 4)

5. Motor Vehicle Accident Files.

Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness.

Destroy 6 years after case is closed. (GRS 10, 1952, item 5)

6. Motor Vehicle Release Files.

Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle.

Destroy 4 years after vehicle leaves agency custody. (NARA memo 10/20/1955)

7. Motor Vehicle Operator Files.

Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.

Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

8. Reserved.

9. Routine Aircraft Operations.

Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records.

Destroy when 2 years old. (N1-GRS-04-6, item 1)

10. Logistical Support for Flight Operations.

Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters.

Destroy when 6 years old or when superseded, whichever is later. (N1-GRS-04-6, item 2)

11. General Aircraft Maintenance and Modifications Records.

Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see item 12 for records relating to maintenance activities involving specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of materiel, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.

a. Recordkeeping copies of maintenance manuals for unique or customized aircraft

Permanent. Transfer to the National Archives in 5-year blocks after they become superseded or obsolete. (N1-GRS-04-6, item 3a)

b. All other records

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-04-6, item 3b)

12. Individual Aircraft Maintenance and Airframe Modifications Records.

Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also

included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.

Destroy 6 years after aircraft disposal or clearance of related equipment from the program. (N1-GRS-04-6, item 4)

13. Records Required for Accident/Incident Reports.

Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies.

Keep for the duration of investigation and then destroy 1 year after completion of investigation and preparation of required reports. (N1-GRS-04-6, item 5)

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records that reflect Government-wide programs (such as the records held by the GSA Public Buildings Service). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

1. Space and Maintenance General Correspondence Files.

   Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.

   Destroy when 2 years old. (N1-GRS-96-1, item 1c)

2. Agency Space Files.

   Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.

   a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

      Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete. (GRS 11, 1952, item 2a)

   b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

      (1) Agency reports to the GSA, including Standard Form (SF) 81, Request for Space, and related documents.

          Destroy when 2 years old. (GRS 11, 1952, item 2b1)

      (2) Copies in subordinate reporting units and related work papers.

Destroy when 1 year old. (GRS 11, 1952, item 2b2)

3. Directory Service Files.

Correspondence, forms, and other records relating to the compilation of directory service listings.

Destroy 2 months after issuance of listing. (GRS 11, 1952, item 3)

4. Credentials Files.

Identification credentials and related papers.

a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Destroy credentials 3 months after return to issuing office. (GRS 11, 1952, item 4a)

b. Receipts, indexes, listings, and accountable records.

Destroy after all listed credentials are accounted for. (GRS 11, 1952, item 4b)

5. Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work is performed or requisition is canceled. (GRS 11, 1952, item 5)

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records that reflect Government-wide programs, such as records held by the U.S. Postal Service and the Information Technology Service of the General Services Administration (GSA), other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the GSA and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

1. Messenger Service Files.

   Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

   Destroy when 2 months old. (NC1-64-77-9, item 1)

2. Communication General Files.

   a. Correspondence and related records pertaining to internal administration and operation.

      Destroy when 2 years old. (NC1-64-77-9, item 2a)

   b. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

      Destroy when 3 years old. (NC1-64-77-9, item 2b)

   c. Telecommunications statistical reports including cost and volume data.

      Destroy when 1 year old. (NC1-64-77-9, item 2c)

   ~~d. Telecommunications voucher files.~~

      ~~(1) Reference copies of vouchers, bills, invoices, and related records~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

(2) Records relating to installation, change, removal, and servicing of equipment.

Destroy 1 year after audit or when 3 years old, whichever is sooner. (NC1-64-77-9, item 2d2)

e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Destroy 2 years after expiration or cancellation of agreement. (NC1-64-77-9, item 2e)

3. Telecommunications Operational Files. [See note after item 3b.]

a. Message registers, logs, performance reports, daily load reports, and related and similar records.

Destroy when 6 months old. (NC1-64-77-9, item 3a)

b. Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office.

Destroy when 2 months old. (NC1-64-77-9, item 3b)

[**NOTE**: Master files and data bases created to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

4. Telephone Use (Call Detail) Records.

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records.

Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records. (N1-GRS-96-4)

[**NOTE**: Records for those numbers associated with e-mail transmission may be deleted or destroyed as indicated above if the agency has ensured that the transmission data that is necessary for the intelligibility of the e-mail is preserved elsewhere. (N1-GRS-96-4 note)]

5. Post Office and Private Mail Company Records.

Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.

a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.

Destroy when 1 year old. (N1-GRS-87-2 item 1a)

b. Application for registration and certification of declared value mail.

Destroy when 1 year old. (N1-GRS-87-2 item 1b)

c. Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail.

Destroy when 1 year old. (N1-GRS-87-2 item 1c)

6. Mail and Delivery Service Control Files.

a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files.

Destroy when 1 year old. (NC1-64-77-9, item 6a)

b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).

Destroy when 6 months old. (NC1-64-77-9, item 6b)

c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).

Destroy when 6 months old. (NC1-64-77-9, item 6c)

d. Statistical reports and data relating to handling of mail and volume of work performed.

Destroy when 1 year old. (NC1-64-77-9, item 6d)

e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.

Destroy when 1 year old. (NC1-64-77-9, item 6e)

f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

Destroy when 6 months old. (NC1-64-77-9, item 6f)

g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

Destroy when 1 year old or when superseded or obsolete, whichever is applicable. (NC1-64-77-9, item 6g)

h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable. (NC1-64-77-9, item 6h)

7. Metered Mail Files.

Official metered mail reports and all related papers.

Destroy when 6 years old. (NC1-64-77-9, item 7)

8. Postal Irregularities File.

Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

Destroy 3 years after completion of investigation. (NC1-64-77-9, item 8)

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

1. Administrative Correspondence Files.

   Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.

   Destroy when 2 years old. (GRS 13, 1952, item 2)

2. Project Files. [See note after item 2b.]

   Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.

   a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.

      Destroy 1 year after completion of job. (GRS 13, 1952, item 3a)

   b. Files pertaining to planning and other technical matters.

      Destroy when 3 years old. (GRS 13, 1952, item 3b)

   [**NOTE**: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each

series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed. (NC1-GRS-81-5, items 1a and 1b)]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable. (GRS 13, 1952, item 4)

4. Mailing Lists.

a. Correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. (GRS 13, 1952, item 5a)

b. Card lists.

Destroy individual cards when canceled or revised. (GRS 13, 1952, item 5b)

5. Joint Committee on Printing (JCP) Reports Files.

Reports to Congress and related records.

a. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old. (GRS 13, 1952, item 6a)

b. Copies in subordinate reporting units and related work papers.

Destroy 1 year after date of report. (GRS 13, 1952, item 6b)

6. Internal Management Files.

Records relating to internal management and operation of the unit.

Destroy when 2 years old. (GRS 13, 1952, item 7)

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

~~1. Information Requests Files.~~

~~Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.~~ **Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**

~~2. Acknowledgment Files.~~

~~Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.~~ **Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**

3. Press Service Files.

Press service teletype news and similar materials.

Destroy when 3 months old.

4. Information Project Files.

Information service project case files maintained in formally designated information offices.

Destroy 1 year after close of file or 1 year after completion of project.

5. Commendation/Complaint Correspondence Files.

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

Destroy when 3 months old. (GRS 14, 1952, item 5)

6. Indexes and Check Lists.

Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.

Destroy when superseded or obsolete.

Items 7 through 10. Reserved.

~~11. FOIA Requests Files.~~

~~Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~(1) Granting access to all the requested records~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Request not appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(b) Request appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(3) Denying access to all or part of the records requested.~~

~~(a) Request not appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(b) Request appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~b. Official file copy of requested records~~. **Rescinded per GRS Transmittal 24**

~~12. FOIA Appeals Files.~~

~~Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein)~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~b. Official file copy of records under appeal~~. **Rescinded per GRS Transmittal 24**

~~13. FOIA Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

~~a. Registers or listing~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~b. Other files~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~14. FOIA Reports Files.~~

~~Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level~~. **Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)**

15. FOIA Administrative Files.

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old. (N1-GRS-98-2 item 12)

16 through 20. Reserved.

~~21. Privacy Act Requests Files.~~

~~Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~(1) Granting access to all the requested records~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Requests not appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(b) Requests appealed.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(3) Denying access to all or part of the records requested.~~

~~(a) Requests not appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(b) Requests appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~b. Official file copy of requested records~~. **Rescinded per GRS Transmittal 24**

~~22. Privacy Act Amendment Case Files.~~

~~Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).~~

~~a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials~~. **Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)**

~~b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials~~. **Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)**

~~c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record~~. **Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)**

~~23. Privacy Act Accounting of Disclosure Files~~. **Now GRS 4.2, item 050**

~~24. Privacy Act Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.~~

~~a. Registers or listings~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~b. Other files~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~25. Privacy Act Reports Files.~~

~~Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels~~. **Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)**

26. Privacy Act General Administrative Files.

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old. (N1-GRS-98-2 item 13)

27 through 30. Reserved.

~~31. Mandatory Review For Declassification Requests Files.~~

~~Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).~~

~~(1) Granting access to all the requested records~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Request not appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(b) Request appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(3) Denying access to all or part of the records requested.~~

~~(a) Request not appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~(b) Request appealed~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~b. Official file copy of requested records~~. **Rescinded per GRS Transmittal 23**

~~c. Sanitizing instructions~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~32. Mandatory Review for Declassification Appeals Files.~~

~~Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein)~~. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

~~b. Official file copy of records under appeal~~. **Rescinded per GRS Transmittal 24**

~~33. Mandatory Review for Declassification Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

~~a. Registers or listing~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~b. Other files~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~34. Mandatory Review for Declassification Reports Files.~~

~~Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office~~. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

~~35. Mandatory Review for Declassification Administrative Files.~~

~~Records relating to the general agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including notices, memoranda, correspondence, and related records~~. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

~~36. Erroneous Release Files.~~

~~Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.~~

a. ~~Files that include the official file copy of the released records~~. **Superseded by GRS 4.2, item 060 (DAA-GRS-2015-0002-0001)**

b. ~~Files that do not include the official file copy of the released records~~. **Superseded by GRS 4.2, item 061 (DAA-GRS-2015-0002-0002)**

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

1. Housing General Correspondence Files.

   Correspondence files pertaining to the maintenance and management of housing projects.

   Destroy when 2 years old. (GRS 15, 1953, item 1)

2. Housing Maintenance and Repair Files.

   Maintenance and repair records for individual units.

   a. Summary card or ledger record.

      Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control. (GRS 15, 1953, item 2a)

   b. Work orders, requisitions, and related papers involved in repair and maintenance work.

      Destroy 3 fiscal years following close of fiscal year in which work is done. (GRS 15, 1953, item 2b)

3. Housing Management Files.

Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.

Destroy when 2 years old. (GRS 15, 1953, item 3)

4. Housing Lease Files.

Copies of leases, renewals, termination notices, and related documents.

Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs or (b) litigation is concluded, whichever is later. (GRS 15, 1953, item 4)

5. Housing Assignment and Vacancy Card Files.

a. Individual tenant cards.

Destroy when tenant vacates unit. (GRS 15, 1953, item 5a)

b. Individual housing unit cards.

Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control. (GRS 15, 1953, item 5b)

6. Housing Inventory Files.

Furnishing inventory files, pertaining to items included in furnished units.

Destroy 3 fiscal years after close of fiscal year in which inventory is superseded. (GRS 15, 1953, item 6)

7. Housing Application Files (other than copies in lease files).

a. Rejected application files.

Destroy 1 year from date of rejection. (GRS 15, 1953, item 7a)

b. All others.

Destroy when 2 years old. (GRS 15, 1953, item 7b)

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of a Standard Form (SF) 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

1. <u>Administrative Issuances</u>. [See note after item 1b.]

   a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

      Destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)

   b. Case files related to (a) above that document aspects of the development of the issuance.

Destroy when issuance is destroyed. (NC1-GRS-81-5 item 3d)

[**NOTE**: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA. (NC1-64-77-8 items 1a & 2a)]

~~2. Records Disposition Files.~~

~~Descriptive inventories, disposal authorizations, schedules, and reports.~~

~~a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.~~

~~(1) SF 115s that have been approved by NARA.~~ **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

~~(2) Other records.~~ **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

~~b. Routine correspondence and memoranda.~~ **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

~~3. Forms Files.~~

~~a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.~~ **Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)**

~~b. Background materials, requisitions, specifications, processing data, and control records.~~ **Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)**

~~4. Records Holdings Files.~~

~~Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.~~

~~a. Records held by offices that prepare reports on agency-wide records holdings.~~ **Rescinded per GRS Transmittal 24**

~~b. Records held by other offices.~~ **Rescinded per GRS Transmittal 24**

5. Project Control Files.

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed. (NC1-64-77-8 item 7)

6. Reports Control Files.

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued. (NC1-GRS-80-7 item 1)

~~7. Records Management Files.~~

~~Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule~~. **Superseded by GRS 4.1, items 020 (DAA-GRS-2013-0002-0007) and 030 (DAA-GRS-2013-0002-0008)**

8. Reserved.

~~9. Feasibility Studies.~~

~~Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system~~. **Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0007)**

~~10. Microform Inspection Records.~~

~~a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230~~. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

~~b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230~~. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

11. IRM Triennial Review Files.

Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old. (N1-GRS-87-15 item 1)

12. Information Collection Budget Files.

Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old. (N1-GRS-87-16 item 1)

13. Documents Published in the Federal Register. [See note after item 13b.]

a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old. (N1-GRS-87-17 item 1a)

b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old. (N1-GRS-87-17 item 1b)

[**NOTE**: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition. (N1-GRS-87-17 item 1 Note)]

14. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such

as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded. (N1-GRS-91-5 item 1a)

b. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded. (N1-GRS-91-5 item 1b)

c. Risk analyses.

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.

Cut off closed files annually. Destroy after next review cycle. (N1-GRS-91-5 item 1c)

d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

Cut off closed files annually. Destroy after next reporting cycle. (N1-GRS-91-5 item 1d)

[**NOTE**: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA. (N1-GRS-91-5 item 1d)]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed. (N1-GRS-98-2 item 23)

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff. (N1-GRS-91-5 item 1f1)

(2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff. (N1-GRS-91-5 item 1f2)

[**NOTE**: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to **copies** maintained as internal reviews.]

GENERAL RECORDS SCHEDULE 17

Cartographic, Aerial Photographic, Architectural, and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives and Records Administration (NARA) before applying the disposition instructions in this schedule.

1. Cartographic Records Prepared During Intermediate Stages of Publication.

   Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.

   Destroy when no longer needed for revision. (N1-GRS-88-5 item 1)

2. Reserved.

3. Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.

   Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

   Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 24)

4. Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 25)

5. Contract Negotiation Drawings.

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

Destroy when the final working/as-built drawings have been produced. (N1-GRS-98-2 item 26)

6. Space Assignment Plans.

Outline floor plans indicating occupancy of a building.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 27)

7. Reserved.

8. Engineering Drawings of Routine Minor Parts.

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 28)

9. Drawings Reflecting Minor Modifications.

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 29)

10. Paint Plans and Samples. [See note after this item.]

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 30)

[**NOTE**: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting a Standard Form (SF) 115 to NARA. (N1-GRS-88-5 item 10 Note)]

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.

1. Classified Documents Administrative Correspondence Files. [See note after this item.]

   Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

   Destroy when 2 years old. (GRS 18, 1960, item 2)

   [NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

~~2. Document Receipt Files.~~

   ~~Records documenting the receipt and issuance of classified documents.~~ **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

~~3. Destruction Certificates Files.~~

~~Certificates relating to the destruction of classified documents~~. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

~~4. Classified Document Inventory Files.~~

~~Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule~~. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

~~5. Top Secret Accounting and Control Files.~~

~~a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data~~. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

~~6. Access Request Files.~~

~~Requests and authorizations for individuals to have access to classified files~~. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

~~7. Classified Document Container Security Files. [See note after item 7b.]~~

~~a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers~~. **Superseded by GRS 4.2, item 031 (DAA-GRS-2013-0007-0020)**

~~b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet~~. **Superseded by GRS 4.2, item 032 (DAA-GRS-2016-0002-0003)**

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. Security and Protective Services Administrative Correspondence Files. [See note after this item.]

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

Destroy when 2 years old. (GRS 18, 1960, item 9)

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

9. Survey and Inspection Files. (Government-owned facilities)

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Destroy when 3 years old or upon discontinuance of facility, whichever is sooner. (GRS 18, 1960, item 10)

10. Survey and Inspection Files. (privately owned facilities)

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.

Destroy when 4 years old or when security cognizance is terminated, whichever is sooner. (GRS 18, 1960, item 11)

11. Investigative Files.

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.

Destroy when 2 years old. (GRS 18, 1960, item 12)

12. Property Pass Files.

Property pass files, authorizing removal of property or materials.

Destroy 3 months after expiration or revocation. (GRS 18, 1960, item 13)

13. Guard Assignment Files.

Files relating to guard assignments and strength.

a. Ledger records.
Destroy 3 years after final entry. (GRS 18, 1960, item 14a)

b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.

Destroy when 2 years old. (GRS 18, 1960, item 14b)

14. Police Functions Files.

Files relating to exercise of police functions.

a. Ledger records of arrest, cars ticketed, and outside police contacts.

Destroy 3 years after final entry. (GRS 18, 1960, item 15a)

b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.

Destroy when 2 years old. (GRS 18, 1960, item 15b)

c. Reports on contact of outside police with building occupants.

Destroy when 1 year old. (GRS 18, 1960, item 15c)

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.

a. Ledger files.

Destroy 3 years after final entry. (GRS 18, 1960, item 16a)

b. Reports, loss statements, receipts, and other documents relating to lost and found articles.

Destroy when 1 year old. (GRS 18, 1960, item 16b)

16. Key Accountability Files.

Files relating to accountability for keys issued.

a. For areas under maximum security.

Destroy 3 years after turn-in of key. (GRS 18, 1960, item 17)

b. For other areas.

Destroy 6 months after turn-in of key. (GRS 18, 1960, item 17)

17. Visitor Control Files.

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

a. For areas under maximum security.

Destroy 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18, 1960, item 18)

b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, 1960, item 18)

18. Facilities Checks Files.

Files relating to periodic guard force facility checks.

a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule).

Destroy when 1 year old. (GRS 18, 1960, item 19a)

b. Reports of routine after-hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule.

Destroy when 1 month old. (GRS 18, 1960, item 19b)

19. Guard Service Control Files.

a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete. (GRS 18, 1960, item 20a)

b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old. (GRS 18, 1960, item 20b)

c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old. (GRS 18, 1960, item 20c)

d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms. (GRS 18, 1960, item 20d)

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule.

a. Central guard office master logs.

Destroy 2 years after final entry. (GRS 18, 1960, item 21a)

b. Individual guard post logs of occurrences entered in master logs.

Destroy 1 year after final entry. (GRS 18, 1960, item 21b)

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

21. Security Clearance Administrative Subject Files.

Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.

Destroy when 2 years old. (NC1-GRS-80-1 item 22)

22. Personnel Security Clearance Files.

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. (NC1-GRS-80-1 item 23a)

b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Destroy in accordance with the investigating agency instructions. (NC1-GRS-80-1 item 23b)

c. Index to the Personnel Security Case Files.

Destroy with related case file. (NC1-GRS-80-1 item 23c)

23. Personnel Security Clearance Status Files.
Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete. (NC1-GRS-80-1 item 24)

24. Security Violations Files.

Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.

a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutive determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations.

Destroy 5 years after close of case. (NC1-GRS-81-8 item 1a)

b. All other files, exclusive of documents placed in official personnel folders.

Destroy 2 years after completion of final action. (N1-GRS-98-2 item 31)

~~25. Classified Information Nondisclosure Agreements.~~

~~a. If maintained separately from the individual's official personnel folder.~~ **Superseded by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)**

~~b. If maintained in the individual's official personnel folder.~~ **Rescinded by GRS Transmittal 24**

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files. [See note after this item.]

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old. (GRS 18, 1960, item 27)

[**NOTE**: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]

27. Emergency Planning Case Files. [See notes after this item.]

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files.

Destroy 3 years after issuance of a new plan or directive. (NC1-GRS-81-1 item 1b)

[**NOTES**: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115. (Implied in NC1-GRS-81-1 item 1a)]

28. Emergency Operations Tests Files.

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.

Destroy when 3 years old. (NC1-GRS-81-1 item 4)

29. National Defense Executive Reserve (NDER) Case Files.
Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

a. Case files on reservists.

Destroy 5 years after termination from NDER program. (NC1-GRS-87-10 item 1a)

b. Case files on individuals whose applications were rejected or withdrawn.

Destroy when 5 years old. (NC1-GRS-87-10 item 1b)

~~GENERAL RECORDS SCHEDULE 20~~

~~Electronic Records~~

~~This schedule provides disposal authorization for certain electronic records and for specified paper, microform, or other hard copy records that are integrally related to the electronic records.~~

~~This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.~~

~~GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.~~

~~Items 1a (in part), 2a, and 16 of this schedule apply to hard copy records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for the referenced electronic records whatever the medium in which such programs and documentation exist.~~

~~This schedule has been revised to expand the authority agencies have to apply previously approved schedules to electronic records; grant broader authority to agencies to dispose of hard copy records that have been converted to an electronic format; and provide disposition instructions for ad hoc printouts and for documentation associated with permanent electronic records. Additionally, because copies of system security records are now covered by GRS 24, item 5, a cross-reference has been provided for item 11b to that effect. The items affected by the revisions to this GRS 20 schedule are 2, 3, 3.1, 11, and 16.~~

~~Electronic versions of most records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.~~

1. ~~Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.~~

a. ~~Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records~~. **Superseded by GRS 3.1, items 010 (DAA-GRS-2013-0005-0006), 011 (DAA-GRS-2013-0005-0007), and 020 (DAA-GRS-2013-0005-0004)**

b. ~~Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

c. ~~Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use~~. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**

~~2. Input/Source Records.~~

a. ~~Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).~~

(1) ~~Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format~~. **Rescinded by GRS Transmittal 23**

(2) ~~Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion~~. **Rescinded by GRS Transmittal 23**

(3) ~~Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations)~~. **Rescinded by GRS Transmittal 23**

~~(4) Hard copy documents other than those covered by Items 2(a) (1) – (3).~~

~~Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later~~. **Superseded by GRS 4.3, items 010 (DAA-GRS-2013-0001-0001), 011 (DAA-GRS-2013-0001-0002), and 012 (DAA-GRS-2013-0001-0003)**

b. ~~Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

c. ~~Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

d. ~~Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

~~3. Electronic Records That Replace Temporary Hard Copy Records.~~

~~Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)~~

~~a. Scanned images~~. **Rescinded by GRS Transmittal 23**

~~b. Electronic formats other than scanned images.~~

(1) ~~Records covered by temporary items in the GRS other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files) --*or*-- Records covered by temporary items in an agency-specific schedule that pertain to administrative housekeeping activities~~. **Rescinded by GRS Transmittal 23**

(2) ~~Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files)~~. **Rescinded by GRS Transmittal 23**

(3) ~~Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings~~. **Rescinded by GRS Transmittal 23**

(4) ~~Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records~~. **Rescinded by GRS Transmittal 23**

(5) ~~Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4)~~. **Rescinded by GRS Transmittal 23**

~~3.1 Electronic Records That Replace Permanent Hard Copy Records.~~

~~Electronic records that replace hard copy records approved as permanent in a previously approved schedule~~. **Rescinded by GRS Transmittal 23**

~~4. Data Files Consisting of Summarized Information.~~

~~Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~5. Records Consisting of Extracted Information.~~

~~Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are produced as disclosure-free files to allow public access to the data; or produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~6. Print File.~~

~~Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~7. Technical Reformat File.~~

~~Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~8. Backups of Files.~~

~~Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.~~

~~a. File identical to records scheduled for transfer to the National Archives~~. **Superseded by GRS 3.2, item 050 (DAA-GRS-2013-0006-0007)**

~~b. File identical to records authorized for disposal in a NARA-approved records schedule~~. **Superseded by GRS 3.2, item 051 (DAA-GRS-2013-0006-0008)**

~~9. Finding Aids (or Indexes).~~

~~Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records~~. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

~~10. Special Purpose Programs.~~

~~Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special-purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives~~. **Superseded by GRS 3.1, item 012 (DAA-GRS-2013-0005-0008)**

~~11. Documentation.~~

~~a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.~~

(1) ~~Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule~~. **Superseded by GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)**

(2) ~~Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule~~. **Superseded by GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)**

~~b. Copies of records relating to system security~~. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

~~12. Downloaded and Copied Data.~~

~~Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.~~

~~a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review~~. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

b. ~~Derived data that provide user access in lieu of hard copy reports that are authorized for disposal~~. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

c. ~~Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

~~13. Word Processing Files.~~

~~Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~14. Electronic Mail Records.~~

~~Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~15. Electronic Spreadsheets.~~

~~Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.~~

~~a. When used to produce hard copy that is maintained in organized files.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~b. When maintained only in electronic form.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~16. Hard copy printouts created to meet ad hoc business needs.~~

~~Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs. Excluded are printouts created to satisfy established reporting requirements (*e.g.*, a statistical report produced quarterly in accordance with an agency directive).~~ **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA) Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word “destroy” is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, “Recovery of Precious Metals.”

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

STILL PHOTOGRAPHY

1. Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency.

   Destroy when 1 year old. (N1-GRS-98-2, item 32)

2. Personnel Identification or Passport Photographs.

   Destroy when 5 years old or when superseded or obsolete, whichever is later. (N1-GRS-98-2, item 33)

3. Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency.

   Destroy 1 year after completion of training program. (N1-GRS-81-9, item I-3)

4. Reserved.

GRAPHIC ARTS

5. Viewgraphs.

   Destroy 1 year after use. (N1-GRS-98-2, item 34)

6. Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics.

   Destroy when no longer needed for publication or reprinting. (N1-GRS-98-2, item 35)

7. Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.

   Destroy when no longer needed for publication or reprinting. (N1-GRS-81-9, item II-3)

8. Line Copies of Graphs and Charts.

   Destroy when no longer needed for publication or reprinting. (N1-GRS-98-2, item 36)

MOTION PICTURES

9. Films Acquired from Outside Sources for Personnel and Management Training.

   Destroy 1 year after completion of training program. (N1-GRS-81-9, item III-1)

10. Reserved.

11. Routine Surveillance Footage.

    Destroy when 6 months old. (N1-GRS-98-2, item 37)

~~12. Routine Scientific, Medical, or Engineering Footage.~~ **Rescinded per GRS Transmittal 26**

13. Reserved.

VIDEO RECORDINGS

14. Programs Acquired from Outside Sources for Personnel and Management Training.

    Destroy 1 year after completion of training program. (N1-GRS-81-9, item IV-1)

15. Reserved.

16. Rehearsal or Practice Tapes.

    Destroy immediately. (N1-GRS-81-9, item IV-3)

17. Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency. (These include "role-play" sessions, management and supervisory instruction, etc.)

    Destroy 1 year after completion of training program. (N1-GRS-81-9, item IV-4)

18. Routine Surveillance Recordings.

    Destroy when 6 months old. (N1-GRS-98-2, item 39)

~~19. Routine Scientific, Medical, or Engineering Recordings.~~ **Rescinded per GRS Transmittal 26**

20. Recordings that Document Routine Meetings and Award Presentations.

    Destroy when 2 years old. (N1-GRS-98-2, item 41)

21. Reserved.

AUDIO (SOUND) RECORDINGS

22. Recordings of Meetings Made Exclusively for Note Taking or Transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. [See note after this item.]

    Destroy immediately after use. (N1-GRS-81-9, item V-1)

    [NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]

23. Dictation Belts or Tapes.

    Destroy immediately after use. (N1-GRS-81-9, item V-2)

24. Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production.

    Destroy immediately after use. (N1-GRS-81-9, item V-3)

25. Reserved.

26. Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis.

Destroy when 6 months old. (N1-GRS-98-2, item 42)

27. Reserved.

RELATED DOCUMENTATION

28. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records.

    Dispose of according to the instructions covering the related audiovisual records. (N1-GRS-81-9, item VI-1)

~~29. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records~~. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

GENERAL RECORDS SCHEDULE 23

Records Common to Most Offices within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

1. Office Administrative Files. [See note after this item.]

   Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

   Destroy when 2 years old. (N1-GRS-98-2 item 43)

   [**NOTE**: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA). (N1-GRS-98-2 item 43 Note)]

2-4. Reserved.

5. Schedules of Daily Activities.

   Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. [See note after item 5a.]

Destroy or delete when 2 years old. (N1-GRS-87-19 item 5a)

[**NOTE**: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. (N1-GRS-87-19 item 5a Note)]

b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Destroy or delete when no longer needed for convenience of reference. (N1-GRS-87-19 item 5b)

6. Suspense Files.

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

a. A note or other reminder to take action.

Destroy after action is taken. (N1-GRS-80-8 item 3a)

b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files. (N1-GRS-80-8 item 3b)

7. Transitory Files.

Records of short-term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:

~~* Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply~~; **Bullet superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**

* Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;

* Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;

* Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;

* Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems). (N1-GRS-04-5, item 1)

~~8. Tracking and Control Records.~~

~~Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115~~. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

~~9. Finding Aids (or Indexes).~~

~~Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records~~. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records.~~ **GRS 20 superseded by GRS Transmittal 24.**

~~1. Oversight and Compliance Files.~~

~~Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.~~

a. ~~Performance measurements and benchmarks~~. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**

b. ~~All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance~~. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**

~~2. IT Facility, Site Management, and Equipment Support Services Records.~~

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence~~.
Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)

~~3.~~ ~~IT Asset and Configuration Management Files.~~

a. ~~Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets~~.
Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)

~~b.~~ ~~Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~

(1) ~~Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management~~. **Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)**

~~(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

~~4.~~ ~~System Backups and Tape Library Records.~~

~~a.~~ ~~Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.~~

~~(1) Incremental backup tapes~~. **Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)**

~~(2) Full backup tapes~~. **Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)**

~~b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs~~. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

~~5.~~ ~~Files Related to Maintaining the Security of Systems and Data.~~

a. ~~System Security Plans and Disaster Recovery Plans~~. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data~~. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

~~6.~~ ~~User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.~~

a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records~~. **Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)**

b. ~~Routine systems, i.e., those not covered by item 6a~~. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**

~~7.~~ ~~Computer Security Incident Handling, Reporting and Follow-up Records.~~ **Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)**

~~8.~~ ~~IT Operations Records.~~

a. ~~Workload schedules, run reports, and schedules of maintenance and support activities~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

~~9.~~ ~~Financing of IT Resources and Services.~~

a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

b. ~~Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING~~

~~records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

10. IT Customer Service Files.

a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions,"' and other documents prepared in advance to assist customers.

Destroy/delete 1 year after record is superseded or obsolete. (N1-GRS-03-1 item 10a)

b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later. (N1-GRS-03-1 item 10b)

~~11. IT Infrastructure Design and Implementation Files.~~

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.~~

a. ~~Records for projects that are not implemented~~. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**

b. ~~Records for projects that are implemented~~. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**

c. ~~Installation and testing records~~. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**

12. RESERVED.

~~13. Public Key Infrastructure (PKI) Records.~~

~~a. PKI Administrative Records.~~

~~(1) FBCA CAs~~. **Now GRS 3.2, item 060**

~~(2) Other (non-FBCA *et. al.*) CAs~~. **Now GRS 3.2, item 061**

~~b. PKI Transaction-specific Records~~. **Now GRS 3.2, item 062**

GENERAL RECORDS SCHEDULE 25

Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

~~1. Ethics Program Implementation, Interpretation, Counseling, and Development Files.~~

~~Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including:~~

~~* Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.~~

~~* Determinations, including advice and counseling to individual employees, and supporting records.~~

~~* Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.~~

~~a. Records such as determinations regarding attendance at widely-attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines.~~ **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**

~~b. All other records.~~ **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**

~~2. Financial Disclosure Reporting Files.~~

~~Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.~~

~~a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.~~

~~(1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.~~ **Superseded by GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)**

~~(2) All other SF 278s.~~ **Superseded by GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)**

~~b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.~~

~~(1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.~~ **Superseded by GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)**

~~(2) All other OGE Form 450s and OGE Optional Form 450-As.~~ **Superseded by GRS 2.8, items 071 (DAA-GRS-2014-0005-0012) and 072 (DAA-GRS-2014-0005-0013)**

~~c. Alternative or additional financial disclosure reports and related records.~~

~~(1) Reports for individuals not subsequently confirmed by the U.S. Senate.~~ **Superseded by GRS 2.8, item 080 (DAA-GRS-2014-0005-0014)**

~~(2) All other alternative or additional financial disclosure reports.~~ **Superseded by GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)**

~~3. Ethics Agreement Records.~~

~~Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:~~

~~* Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.~~

~~* Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.~~

~~* Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3)~~. **Superseded by GRS 2.8, items 100 (DAA-GRS-2014-0005-0017) and 101 (DAA-GRS-2014-0005-0018)**

~~4. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.~~

~~Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution~~. **Superseded by GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)**

~~5. Non-Federally Funded Travel Files.~~

~~a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties~~. **Superseded by GRS 2.8, item 030 (DAA-GRS-2014-0005-0003)**

~~b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel~~. **Superseded by GRS 2.8, item 031 (DAA-GRS-2014-0005-0004)**

~~6. Ethics Program Review Files.~~

~~Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.~~

~~a. OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies~~. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**

~~b. All other records produced during OGE program reviews, including notes and background materials~~. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**

~~7. Annual Agency Ethics Program Questionnaire Files.~~

~~a. Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records.~~ **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**

~~b. All other records related to responses to annual agency ethics program questionnaires.~~ **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**

8. Ethics Program Employee Training and Education Files.

a. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.

Destroy when 6 years old. (N1-GRS-01-1 item 8a)

b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 8b)

~~9. Ethics Program Procedures Files.~~

~~Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes.~~ **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**

GENERAL RECORDS SCHEDULE 26

Temporary Commissions, Boards, Councils and Committees

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term "commission" is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the Code of Federal Regulations (CFR) and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA's transfer requirements for permanent records. See 36 CFR Sections: 1228.266 – Audiovisual Records; 1228.268 – Cartographic and Architectural Records; 1228.270 – Electronic Records; 1230.026 – Microform Records

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

1. <u>Internal Agency Committees</u>

   a. Internal agency committees unrelated to an agency's mission

      Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, *e.g*. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

      Any files created and/or maintained by the committee

      Destroy/delete when no longer needed for administrative purposes. (N1-GRS-04-1 item 1a)

   b. Internal agency committees related to an agency's mission

      Committees established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

Any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.

These records are potentially permanent and must be scheduled by submission of an SF 115 to NARA. (N1-GRS-04-1 item 1b)

~~2. Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA).~~

~~[**NOTE**: The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government.]~~

~~a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as~~

- ~~original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components~~
- ~~agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed~~
- ~~one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files~~
- ~~correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission~~
- ~~substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data)~~
- ~~questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically)~~
- ~~records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act~~

- ~~documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and~~

- ~~documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.~~ **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002)**

~~[**NOTE**: Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.]~~

~~b. Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as~~

- ~~correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]~~

- ~~audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events~~

- ~~other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and~~

- ~~extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor.~~ **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005)**

~~[**NOTE**: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred.]~~

~~[**NOTE**: Administrative records generated by an advisory committee – records relating to budget, personnel, supply or similar housekeeping or facilitation functions – may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support.]~~

~~c. Web site records.~~

~~(1) Electronic version of web site(s)~~. **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005)**

~~(2) Design, management, and technical operation records~~. **Rescinded by GRS Transmittal 24**

~~(3) Electronic version of content records duplicated in textual series of commission records~~. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005)**

~~[**NOTE**: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records.]~~

~~3. Committee Records Not Maintained by the Sponsor or Secretariat~~

~~Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat~~. **Rescinded by GRS Transmittal 24**

~~[**NOTE**: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~[**NOTE**: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~4. Committee Management Records~~

~~Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5U.S.C. Appendix 2). [See note after this item.] Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.~~

~~Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer~~. **(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006)**

~~[**NOTE**: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.]~~

~~[**NOTE:** Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting s SF 115 to NARA.]~~

GENERAL RECORDS SCHEDULE 27

Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management.~~ This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA. **GRS 20 entirely superseded by GRS Transmittal 24.**

1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[**Note**: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[**Note**: Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

~~4. Legal and Regulatory Compliance Records~~

~~Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies~~. **Superseded by GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)**

5. CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[**Note**: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. CIO Subject and Office Records

Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 6)

[**Note**: Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere. (N1-GRS-04-4 item 6 Note)]

7. Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems.

Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old. (N1-GRS-04-4 item 7)

[**Note**: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter. (N1-GRS-04-4 item 7 Note)]

GRS 27, *Records of the Chief Information Officer*

Implementation Guide

ITEM TITLE	TYPES OF RECORDS
1. Information Technology (IT) Program Planning Records Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.	Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records. [**Note**: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]
2. Enterprise Architecture Records Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.	Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency's baseline or target enterprise architecture (EA). [**Note**: An "iteration" would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.] [**Note**: This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.
3. IT Capital Investment Records Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.	Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and related clearance and review records. [**Note**: Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, "Financing of IT Resources and Services," covers many such records.]

4. Legal and Regulatory Compliance Records Cut off annually. Destroy/delete when 5 years old.	Records of agency-wide compliance with Federal laws and regulations governing information resources management.
5. CIO Committee Records Cut off annually. Destroy/delete when 5 years old.	Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records. [**Note**: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]
6. CIO Subject and Office Records Cut off annually. Destroy/delete when 5 years old.	Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above. [Note: Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, "Files Related to Maintaining the Security of Systems and Data."
7. Schedules of Daily Activities Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.	Official calendars, appointment books, schedules, logs, and diaries. [**Note**: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]

Frequently Asked Questions about General Records Schedule 27, *Records of the Chief Information Officer*

1. To whom does General Records Schedule 27 apply?

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

2. Does this schedule describe all of the records of Federal CIOs?

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

3. How does this schedule differ from GRS 20, *Electronic Records*, and GRS 24, *Information Technology (IT) Operations and Management Records*?

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

4. How does GRS 27/4, "Legal and Regulatory Compliance Records," differ from GRS 24/1, "Oversight and Compliance Files"?

GRS 27/4 covers CIO records that document an agency's compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office's or a system's compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

5. Does this schedule cover records related to IT security?

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, "Legal and Regulatory Compliance Records." However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, "Files Related to Maintaining the Security of Systems and Data." Records related to specific security breaches or incidents are covered by GRS 24/7, "Computer Security Incident Handling, Reporting and Follow-up Records."

6. Does this schedule cover system data?

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to the National Archives.

7. Do records have to be arranged in these categories?

No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

8. Is this schedule only for paper records?

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

FORMS INDEX

STANDARD FORMS

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1B	List of Books to be Bound	3 13	6 2
1C	Printing and Binding Requisition for Specialty Items	3 13	6 2
2	U.S. Government Lease for Real Property	3	3
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26	Award/Contract	3	3,5
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61	Appointment Affidavits	1	1
61B	Declaration of Appointee	1	1
62	Agency Request to Pass Over a Preference Eligible or Object to an Eligible	1	5

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81	Request for Space	11	2
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82	Agency Report of Motor Vehicle Data	10	4
85	Questionnaire for Non-Sensitive Positions	18	22
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91	Motor Vehicle Accident Report	10	5
94	Statement of Witness	10	5
97	The United States Government Certificate to Obtain Title to a Vehicle	4 10	3 6
98	Notice of Intention to Make a Service Contract and Response to Notice	3	11
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114	Sale of Government Property - Bid and Award	4	3
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114C-1	Sale of Government Property - Special Sealed Bid Conditions	4	3
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114D	Sale of Government Property - Amendment of Invitation for Bids/Modification of Contract	4	3
114E	Sale of Government Property - Negotiated Sales Contract	4	3
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115	Request for Records Disposition Authority	16	2
115A	Request for Records Disposition Authority - Continuation	16	2
119	Statement of Contingent or Other Fees	3	3,5,16
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121	Annual Report of Utilization and Disposal of Excess and Surplus Personal Property	4	2
122	Transfer Order - Excess Personal Property	4	2
123	Transfer Order - Surplus Personal Property	4	2

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126	Report of Personal Property for Sale	4	2
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127	Request for Official Personnel Folder (Separated Employee)	1	17
132	Apportionment and Reapportionment Schedule	5	4
133	Report on Budget Execution	5	3
135	Records Transmittal and Receipt	16	2
135A	Records Transmittal and Receipt (Continuation)	16	2
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145	Telephone Service Request	3 12	3 2
150	Deposit Bond - Individual Invitation, Sale of Government Personal Property	4	3
151	Deposit Bond - Annual Sale of Government Personal Property	4	3
152	Request for Clearance or Cancellation of a Standard or Optional Forms or Exception	16	3
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203	Annual Audiovisual Report	16	4
215	Deposit Ticket	6	1

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225	Report on Obligations	5	3
252	Architect-Engineer Fixed-Price Contract	3	3
254	Architect-Engineer and Related Services Questionnaire	3	3
255	Architect-Engineer and Related Services Questionnaire for Specific Project	3	3
258	Agreement to Transfer Records to National Archives of the United States	16	2
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270	Request for Advance or Reimbursement	3	3
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272	Federal Cash Transactions Report	3	3
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273	Reinsurance Agreement for a Miller Act Performance Bond	3	3
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275	Reinsurance Agreement in Favor of the United States	3	3
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311	Agency Information Security Program Data	18	1
312	Classified Information Nondisclosure Agreement	18	25
344	Multiuse Standard Requisitioning/Issue System Document	3	8
360	Request to Approve an Interagency Reporting Requirement	16	3
361	Transportation Discrepancy Report	9	2
362	U.S. Government Freight Loss/Damage Claim	9	2
364	Report of Discrepancy	9	2
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1012A	Travel Voucher (Memorandum)	9	1
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1034	Public Voucher for Purchases and Services Other Than Personal	6	1
1034A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	6	1
1035	Public Voucher for Purchases and Services Other Than Personal (Continuation Sheet)	6	1

SF NUMBER	TITLE	Schedule	Item
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1038	Advance of Funds Application and Account	6 9	1 3
1047	Public Voucher for Refunds	6	1
1048	Memorandum - Public Voucher for Refunds	6	1
1049	Public Voucher for Refunds	6	1
1050	Public Voucher for Refunds (Memorandum)	6	1
1069	Voucher for Allowances at Foreign Posts of Duty	6	1
1080	Voucher for Transfers Between Appropriations and/or Funds	6	1
1081	Voucher and Schedule of Withdrawals and Credits	6	1
1093	Schedule of Withholdings Under the Davis-Bacon Act (40 U.S.C. 276a) and/or The Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)	3	3,11
1094	U.S. Tax Exemption Certificates	3	12
1094A	U.S. Tax Exemption Certificate Accountability Record	3	12
1096	Schedule of Voucher Deductions	6	1
1098	Schedule of Canceled or Undelivered Checks	6	1
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1104	U.S. Government Bill of Lading - Shipping Order	9	1

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1113	Public Voucher for Transportation Charges	6	1
1113A	Public Voucher for Transportation Charges (Memorandum)	6 9	1 1
1128	Payroll for Personal Services - Payroll Certification and Summary	6	1
1128A	Payroll for Personal Services - Payroll Certification and Summary - Memorandum	2	2
1145	Voucher for Payment Under Federal Tort Claims Act	6	1
1145A	Voucher for Payment Under Federal Tort Claims Act - Memorandum	6	1
1150	Record of Leave Data	2	9a
1151	Nonexpenditure Transfer Authorization	6	1
1152	Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee	1	1
1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	6	1
1156	Public Voucher for Fees and Mileage of Witnesses	6	1
1156A	Public Voucher for Fees and Mileage of Witnesses - Memorandum	6 9	1 3
1157	Claims for Witness Attendance Fees, Travel, and Miscellaneous Expenses	9	3
1164	Claim for Reimbursement for Expenditures on Official Business	6 9	1 3

SF NUMBER	TITLE	Schedule	Item
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1166	Voucher and Schedule of Payments	6	1
1166A	Voucher and Schedule of Payments - Memorandum	6	1
1167	Voucher and Schedule of Payments (Continuation Sheet)	6	1
1167A	Voucher and Schedule of Payments (Continuation Sheet) - Memorandum	6	1
1169A	U.S. Government Transportation Request - Memorandum Copy	9	1
1170	Redemption of Unused Tickets	9	1
1176	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces	6	1
1176A	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces - Memorandum	6	1
1177	U.S. Savings Bond Issue File Action Request	2	14c
1182	Subscriber List for Issuance of United States Savings Bonds	2	14b
1183	Subscriber List for Issuance of United States Savings Bonds	2	14b
1186	Transmittal for Transportation Schedules and Related Basic Documents	9	1
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1188	Cancellation of Payroll Deductions for Labor Organization Dues	2	15b

SF NUMBER	TITLE	Schedule	Item
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1199a	Direct Deposit Sign-up Form	2	17
1203A	U.S. Government Bill of Lading, Privately Owned Personal Property - Memorandum Copy	9	1
1204	U.S. Government Bill of Lading, Privately Owned Personal Property - Shipping Order	9	1
1205	U.S. Government Freight Waybill - Privately Owned Personal Property - Original	9	1
1218	Statement of Accountability (Foreign Service Account)	6	1
1219	Statement of Accountability	6	1
1220	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts	6 6	1 5
1221	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (Foreign Service Account)	6 6	1 5
1303	Request for Federal Cataloging/Supply Support Action	3 3	2 4
2800	Application for Death Benefits - Civil Service Retirement System	1	1
2801	Application for Immediate Retirement under the Civil Service Retirement System	1	1
2801-1	Certified Summary of Federal Service - Civil Service Retirement System	1	1
2802	Application for Refund of Retirement Deductions - Civil Service Retirement System	1	1

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2804	Application to Make Voluntary Contributions - Civil Service Retirement System	1	1
2805	Request for Recovery of Debt Due the United States	2	18
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2809	Health Benefits Registration Form - Federal Employees Health Benefits Program	1	1
2810	Notice of Change in Health Benefits Enrollment	1	1
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2812	Report of Withholdings and Contributions for Health Benefits, Life Insurance, and Retirement	2	22b
2812A	Report of Withholdings and Contributions for Health Benefits by Enrollment Code	2	22b
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OPTIONAL FORMS

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8	Position Description	1	7
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30	Motor Vehicle Service and Inspection Work Orders	10	2
55	U.S. Government Identification (Card)	11	4
68	Record of Travel Expenses	9	3
101	Summary Worksheet for Estimating Reporting Costs	16	6
108	Daily Vehicle Usage Report	10	2
112	Classified Material Receipt	18	5
116	Record of Top Secret Material	18	5
117	Notice of a Security Violation	18	24
118	Record of Violation	18	18,24
119	Record of Material Removed for Overnight Custody	18	4,5
123	Top Secret Document Inventory Record	18	5
131	Stock Control Card	3	9
136	Application for Retirement - Foreign Service Retirement and Disability System	1	1
137	Designation of Beneficiary	1	1
138	Application for Refund of Compulsory Contributions - Foreign Service Retirement System	1	1

OF NUMBER	TITLE	Schedule	Item
140	Election to Receive Extra Service Credit Towards Retirement and Report of Residence of Spouse	1	1
141	Application for Service Credit	1	1
144	Temporary Duty (TDY) Official Travel Authorization	9	1
153	Telegram	12	3
153A	Telegram (Continuation Sheet)	12	3
158	General Receipt	6	1
164	Meritorious Service Increase Certificate	1	12
187	Telegram Repeat Request	12	3
189	Travel Reimbursement Voucher	6	1
189A	Travel Reimbursement Voucher - Memorandum	6 9	1 1
189B	Travel Reimbursement Voucher (Continuation Sheet) Schedule of Expenses and Amounts Claimed	6	1
189C	Travel Reimbursement Voucher (Continuation Sheet) - Memorandum Schedule of Expenses and Amounts Claimed	6 9	1 1
190	Foreign Service Emergency Locator Information	1	6
191	Outgoing Telegram	12	3
191A	Outgoing Telegram - Continuation Sheet	12	3
199	Notice of Shipment of Effects - Residence-to-Residence Method	9	1
200	Monthly Record of Vehicle Operation Costs	10	2

OF NUMBER	TITLE	Schedule	Item
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202A	Leave Summary	2	7
205	Statement of Operating Cash Advance and Replenishment Voucher	6	1
206	Purchase Order, Receiving Report and Voucher	3	3
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	3	3
208	Statement of Collections - Foreign Service of the United States of America	6	1
612	Optional Application for Federal Employment	1	1,15, 32
1017G	Journal Voucher	7	4
1121	Bill of Lading Accountability Record	9	1
1130	Time and Attendance Report	2	7
1135	Time and Attendance Report	2	7
1136	Time and Attendance Report	2	7
1137	Leave Record	2	9

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	1a	OPFs - Transferred Employees	To receiving agency	No change		
1	1b	OPFs - Separated Employees	65 years	No change		
1	2a	Service Record Cards - 1947 and earlier	60 years	No change		
1	2b	Service Record Cards - 1948 and later	3 years	No change		
1	3	Personnel Correspondence Files	3 years	No change		
1	4a	Offers of Employment Files - Accepted	When appoint-ment is effective	No change		
1	4b1	Offers of Employment Files - Declined (cert. of eligibles)	Return to OPM	No change		
1	4b2	Offers of Employment Files - Declined (temp or excepted)	File with application	No change		
1	4b3	Offers of Employment Files - Declined (all others)	Destroy immediately	No change		
1	5	Certificate of eligibles Files	2 years	No change		
1	6	Employee record cards	Separation of employee	No change		
1	7a1	Position Classification Files - Standards	Superseded or obsolete	No change		
1	7a2a	Position Classification Files - Standards development: case	5 years	No change		
1	7a2b	Position Classification Files - Standards development: review	2 years	No change		
1	7b	Position Classification Files - PDs	2 years	No change		
1	7c1	Position Classification Files - Classification survey reports	3 years	No change		
1	7c2	Position Classification Files - Inspections and audits	Superseded or obsolete	No change		
1	7d1	Position Classification Files - Classification appeals	3 years	No change		
1	7d2	Position Classification Files - Cert. of classification	When position is abolished	No change		
1	8	Interview Records	6 months	No change		
1	9	Performance Rating Board case files	1 year	No change		
1	10a	Temporary individual employee records - Left side of OPF	Superseded or obsolete	No change		
1	10b	Temporary individual employee records - INS form I-9	3 years	No change		
1	11	Position ID strips	Superseded or obsolete	No change		
1	12a1	Employee Awards Files - General within agency	2 years	No change		
1	12a2	Employee Awards Files - General outside of agency	2 years	No change		
1	12b	Employee Awards Files - Length of service/sick leave	1 year	No change		
1	12c	Employee Awards Files - Letters of commendation	2 years	No change		
1	12d	Employee Awards Files - Lists/indexes to award nominations	Superseded or obsolete	No change		
1	13	Incentive awards	3 years	No change		
1	14a	Notifications of Personnel Actions (SF-50) - Chron file copies in pers offices	2 years	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	14b	Notifications of Personnel Actions (SF-50) - All other copies in pers offices	1 year	No change		
1	15	Does not exist		No change		
1	16	Personnel Operations statistical reports	2 years	No change		
1	17a	Correspondence and forms - Pending personnel actions	Immediate	No change		
1	17b1	Retention registers and related records used to effect reduction-in-force actions	2 years	2.5	011	2 years
1	17b2	Retention registers and related records from which no reduction-in-force actions have been taken and related records	Superseded or obsolete	2.5	010	Superseded or obsolete
1	17c	All other correspondence and forms	6 months	No change		
1	18a	Supervisors' Personnel Files	Superseded or obsolete or 1 year	No change		
1	18b	Duplicates of OPF material	6 months	No change		
1	19	Non-occupational health records	6 years	No change		
1	20a	Health Unit Control Files - Logs of visitors, summarized on statistical reports	3 months	No change		
1	20b	Health Unit Control Files - Logs not summarized	2 years	No change		
1	21a1	Employee Medical Folder (EMF) - Longterm transferred employees	See 5 CFR Part 293 Subpart E	No change		
1	21a2	Employee Medical Folder (EMF) - Longterm separated employees	75 years or 60 years or 30 years	No change		
1	21b	Employee Medical Folder (EMF) - Temp EMF records	1 year	No change		
1	21c	Employee Medical Folder (EMF) - Individual employee health file pre-EMF system	60 years	No change		
1	22	Statistical summaries re health	2 years	No change		
1	23a1	Employee Performance File System Records - Non-SES Employees - Unacceptable performance	1 year	No change		
1	23a2	Employee Performance File System Records - Non-SES Employees - Records superseded thru admin or judicial procedure	Superseded	No change		
1	23a3a	Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - Latest rating	To gaining agency or 4 years	No change		
1	23a3b	Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - All other performance plans and ratings	4 years	No change		
1	23a4	Employee Performance File System Records - Non-SES Employees - All other performance appraisal records	4 years	No change		
1	23a5	Employee Performance File System Records - Non-SES Employees - Supporting documents	4 years	No change		
1	23b1	Employee Performance File System Records - SES appointees - SES records superseded thru admin or judicial procedure	Superseded	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	23b2a	Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES latest rating	To gaining agency or 5 years	No change		
1	23b2b	Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES all other plans/ratings	5 years	No change		
1	23b3	Employee Performance File System Records - SES all other performance appraisals	5 years	No change		
1	23b4	Employee Performance File System Records - SES appointees - SES supporting documents	5 years	No change		
1	24a	Reasonable Accommodation Request Records - General	3 years	No change		
1	24b	Reasonable Accommodation Request Records - Employee case files	3 years	No change		
1	24c	Reasonable Accommodation Request Records - Supplemental files	3 years	No change		
1	24d	Reasonable Accommodation Request Records - Tracking system	3 years	No change		
1	25a	EEO Records - Discrimination complaints	4 years	No change		
1	25b	EEO Records - Duplicates of above	1 year	No change		
1	25c1	EEO Records - Prelim/bkgd files	2 years	No change		
1	25c2	EEO Records - Bkgd to complaints that don't become official discrimination cases	2 years	No change		
1	25d1	EEO Records - Compliance reviews re contractor practices	7 years	No change		
1	25d2	EEO Records - Compliance reports	3 years	No change		
1	25e	EEO Records - Employee housing requests	1 year	No change		
1	25f	EEO Records - Employment statitics re race/sex	5 years	No change		
1	25g	EEO Records - EEO general	3 years	No change		
1	25h1	EEO Records - Affirmative Action Plans: consolidated for whole agency	5 years	No change		
1	25h2	EEO Records - Feeder plans	5 years	No change		
1	25h3	EEO Records - On-site review of AAP	5 years	No change		
1	25h4	EEO Records - Agency copy of AAP annual rept	5 years	No change		
1	26a	Personnel Counseling Records - Counseling files	3 years	No change		
1	26b	Personnel Counseling Records - Alcohol and drug abuse program	3 years	No change		
1	27a	Alternative Dispute Resolution - General files	3 years	No change		
1	27b	Alternative Dispute Resolution - Case files	3 years	No change		
1	28a1	Labor Management Relations Records - General and case files, office of record	5 years	No change		
1	28a2	Labor Management Relations Records - All other offices	Superseded or obsolete	No change		
1	28b	Labor Management Relations Records - Arbitration general and case	5 years	No change		
1	29a1	Training Records - General, in-house, excluding curriculum	5 years	No change		
1	29a2	Training Records - Background	3 years	No change		
1	29b	Training Records - Training by outside opportunities	5 years	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	30a	Administrative Grievance, Disciplinary, & Adverse Action Files - Admin Grievance	4 to 7 years	No change		
1	30b	Administrative Grievance, Disciplinary, & Adverse Action Files - Adverse & performance based actions	4 to 7 years	No change		
1	31	Personal Injury Files	3 years	No change		
1	32	Merit Promotion Case Files	2 years or OPM audit	No change		
1	33a	Examining and Certification Records - Delegated agreements	3 years	No change		
1	33b	Examining and Certification Records - General correspondence	1 year	No change		
1	33c	Examining and Certification Records - Change of address/status notes from eligibles	90 days	No change		
1	33d	Examining and Certification Records - Test material stock control	Superseded or obsolete	No change		
1	33e	Examining and Certification Records - Application record card (OPM 5000A)	90 days	No change		
1	33f	Examining and Certification Records - Examination announcements	2 years	No change		
1	33g	Examining and Certification Records - Register of eligibles (OPM 5001-C)	2 years	No change		
1	33h	Examining and Certification Records - Letters denying eligibility (OPM 4896)	1 year	No change		
1	33i	Examining and Certification Records - Test answer sheets	6 months	No change		
1	33j	Examining and Certification Records - Lost/exposed test material	5 years	No change		
1	33k	Examining and Certification Records - Cancelled or ineligible applications	1 year	No change		
1	33l1	Examining and Certification Records - Eligible applications (OF 612 etc) on active register	90 days	No change		
1	33l2	Examining and Certification Records - Eligible applications (OF 612 etc) on inactive register	1 year	No change		
1	33m	Examining and Certification Records - Ineligible applications for positions filled by case	2 years	No change		
1	33n	Examining and Certification Records - Eligible applications for positions filled by case	2 years	No change		
1	33o	Examining and Certification Records - Request for prior approval of pers actions (SF 59, OPM 648)	1 year	No change		
1	33p	Examining and Certification Records - Certificates (SF 39, SF 39A)	2 years	No change		
1	33q	Examining and Certification Records - Certification request control index	2 years	No change		
1	33r	Examining and Certification Records - Interagency Placement Program	Termination of eligibility	No change		
1	33s	Examining and Certification Records - DEP control cards	2 years	No change		
1	33t	Examining and Certification Records - Audit reports	3 years	No change		
1	34	Occupational injury/illness Files	5 years	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	35a	Denied health benefits requests under spouse equity - Not appealed	3 years	No change		
1	35b1	Denied health benefits requests under spouse equity - Appealed--successful	Create enrollment file (see note)	No change		
1	35b2	Denied health benefits requests under spouse equity - Appealed--unsuccessful	3 years	No change		
1	36a	Federal Workplace Drug Testing Program Files - Test plans/procedures	3 years	No change		
1	36b	Federal Workplace Drug Testing Program Files - Employee acknowledgement of notice that drug-testing may be necessary in a position	Employee separation	No change		
1	36c	Federal Workplace Drug Testing Program Files - Selection/scheduling	3 years	No change		
1	36d1	Federal Workplace Drug Testing Program Files - Collection/handling of specimens record books	3 years	No change		
1	36d2	Federal Workplace Drug Testing Program Files - Collection/handling of specimens chain of custody	3 years	No change		
1	36e1a	Federal Workplace Drug Testing Program Files - Test results: positive: employees	3 years or employee separation	No change		
1	36e1b	Federal Workplace Drug Testing Program Files - Test results: positive: not employees	3 years	No change		
1	36e2	Federal Workplace Drug Testing Program Files - Test results: negative	3 years	No change		
1	37	Donated leave Program Case Files	1 year	No change		
1	38	Wage survey files	Completion of two more surveys	No change		
1	39	Retirement assistance files	1 year	2.5	020	1 year
1	40	Handicapped Individuals Appointment Case Files	5 years	No change		
1	41	Pay comparability records	3 years	No change		
1	42a	Alternative Worksite Records - Approved	1 year	No change		
1	42b	Alternative Worksite Records - Unapproved	1 year	No change		
1	42c	Alternative Worksite Records - Forms	1 year	No change		
2	1a	Individual Employee Pay Record - Database version	Update regularly	No change		
2	1b	Individual Employee Pay Record - Individual Pay Record, non-electronic	56 years	No change		
2	2	Noncurrent Payroll Files	15 years	No change		
2	3	Does not exist	N/A			
2	4	Does not exist	N/A			
2	5	Does not exist	N/A			
2	6a	Leave Application Files - If employee initials time card	End of following pay period	No change		
2	6b	Leave Application Files - If employee has not initialed time card	3 years or GAO audit	No change		
2	7	Time and Attendance Source Records	6 years or GAO audit	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
2	8	Time and Attendance Input Records	6 years or GAO audit	No change		
2	9a	Leave record: Record of employee leave, such as SF 1150, prepared upon transfer or separation	File on right [*sic*] side of OPF	2.5	040	File on left side of OPF
2	9b	Leave record: Creating agency copy, when maintained	3 years	2.5	020	1 year
2	10	Does not exist	N/A			
2	11	Does not exist	N/A			
2	12	Does not exist	N/A			
2	13a	Tax Files - W-4s	4 years	No change		
2	13b	Tax Files - Agency copy of W-2s	4 years	No change		
2	13c	Tax Files - Agency copy of W-3s, etc.	4 years	No change		
2	14a	Saving Bond Purchase Files - Authorization for purchase and Request for Change	Separation of employee	No change		
2	14b	Saving Bond Purchase Files - Bond registration files	4 months	No change		
2	14c	Saving Bond Purchase Files - Bond receipt and transmittal files	4 months	No change		
2	15a	Combined Federal Campaign and Other Allotment Authorizations - Authorization for individual allotment	3 years or GAO audit	No change		
2	15b	Combined Federal Campaign and Other Allotment Authorizations - Other authorizations	3 years or GAO audit	No change		
2	16	Thrift Savings Plan Election Form	Separation of employee or superseded	No change		
2	17	Direct Deposit Sign-up Form	Separation of employee or superseded	No change		
2	18	Levy and Garnishment Files	3 years	No change		
2	19	Does not exist	N/A			
2	20	Does not exist	N/A			
2	21	Does not exist	N/A			
2	22a	Payroll System Reports - Error reports, etc.	2 years	No change		
2	22b	Payroll System Reports - Reports and data used for workload and personnel mgmt	2 years	No change		
2	22c	Payroll System Reports - Reports providing fiscal info	3 years or GAO audit	No change		
2	23a	Payroll Change Files - Copies subject to GAO audit	3 years or GAO audit	No change		
2	23b	Payroll Change Files - All other copies	1 month	No change		
2	24	Payroll Correspondence	2 years	No change		
2	25	Does not exist	N/A			
2	26	Does not exist	N/A			
2	27	Does not exist	N/A			
2	28	Retirement files	Delete upon OPM acceptance	2.5	010	Superseded or obsolete
					011	2 years
3	1a	Real Property Files - Records relating to property acquired after December 31, 1920, other than abstract or certificate of title	10 years after sale	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
3	1b	Real Property Files - Abstract or certificate of title	Transfer to purchaser	No change		
3	2	General Correspondence Files	2 years	No change		
3	3a1a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions exceeding simplified acquisition threshold and construction contracts exceeding $2000	6 years, 3 months	1.1	010	6 years
3	3a1b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions below simplified acquisition threshold and constructions contracts at or below $2000	3 years	1.1	010	6 years
3	3a2a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000.	6 years, 3 months	1.1	010	6 years
3	3a2b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize small purchase procedures and all construction contracts under $2,000.	3 years	1.1	010	6 years
3	3b	Routine Procurement Files - Obligation copy	When funds are obligated	Rescinded		
3	3c	Routine Procurement Files - Other copies	Upon termination	1.1	011	Business use ceases
3	3d	Routine Procurement Files - Data submitted to FPDS	5 years	1.1	013	6 years
3	4a	Supply Management Files - Copies received from other units	2 years	No change		
3	4b	Supply Management Files - Copies in other reporting units an drelated working documents	1 year	No change		
3	5a	Solicited and Unsolicited Bids and Proposals Files - Successful bids and proposals	With related contract (see item 3)	1.1	010	6 years
3	5b1	Solicited and Unsolicited Bids and Proposals Files - Unsuccessful - Relating to small purchases	1 year after award or payment	1.1	010	6 years
3	5b2a	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - Files separated from contract case files	When related contract is completed	1.1	010	6 years
3	5b2b	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - When filed with contract case files	With related contract (see item 3)	1.1	010	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
3	5c1	Solicited and Unsolicited Bids and Proposals Files - Cancelled solicitations files - formal solicitations canceled prior to award	5 years	1.1	010	6 years
3	5c2	Unopened bids	Return to bidder	1.1	010	6 years
3	5d	Solicited and Unsolicited Bids and Proposals Files - Lists or card files of acceptable bidders	Superseded or obsolete	1.1	070	5 years
				1.1	071	3 years
3	6a	Public Printer Files - Procurement unit copy	3 years	1.1	010	6 years
3	6b	Public Printer Files - Accounting copy	3 years	1.1	010	6 years
3	7	Nonpersonal Requisition File	1 year	1.1	010	6 years
3	8a	Inventory Requisition File - Stockroom copy	2 years	No change		
3	8b	Inventory Requisition File - all other copies	6 months	No change		
3	9a	Inventory Files - Inventory lists	2 years	No change		
3	9b	Inventory Files - Inventory cards	2 years	No change		
3	9c	Inventory Files - Report of survey files etc.	2 years	No change		
3	10	Telephone Records	3 years	1.1	010	6 years
3	11	Contractors' Payroll Files	3 years	1.1	050	3 years
3	12	Tax Exemption Files	3 years	1.1	010	6 years
3	13	Unsuccessful Grant Application Files	3 years	1.2	021	3 years
3	14	Grant Administrative Files	2 years	1.2	010	3 years
3	15a	Contract Appeals Case Files - prior to Oct. 1, 1979	6 years, 3 mos	Rescinded		
3	15b	Contract Appeals Case Files - after Sep. 30, 1979	1 year	1.1	060	1 year
3	16	Contractor's Statement of Contingent or Other Fees	Superseded or obsolete	Rescinded		
3	17	Small and Disadvantaged Business Utilization Files	3 years	No change		
3	18a	Federal Activities Inventory Reform (FAIR) Act Records - maintained by office having primary responsibility	6 to 10 years (as selected by agency)	No change		
3	18b	Federal Activities Inventory Reform (FAIR) Act Records - maintaed by other offices	2 years	No change		
4	1	Property Disposal Correspondence Files	2 years	No change		
4	2	Excess Personal Property Reports	3 years	No change		
4	3a	Surplus Property Case Files - more than $25,000	6 years	1.1	010	6 years
4	3b	Surplus Property Case Files - $25,000 or less	3 years	1.1	010	6 years
4	4	Real Property Files	Transfer to new owner	No change		
5	1	Budget Correspondence	2 years	No change		
5	2	Budget Background Records	1 year	No change		
5	3a	Budget Reports Files - Annual report	5 years	No change		
5	3b	Budget Reports Files - All other reports	3 years	No change		
5	4	Budget Apportionment Files	2 years	No change		
6	1a	Accountable Officers' Files - Originals	6 years, 3 months	1.1	010	6 years
6	1b	Accountable Officers' Files - Memorandum or extra copies	1 year	1.1	011	Business use ceases
6	2	GAO Exceptions Files	1 year	Rescinded		
6	3a	Certificates Settlement Files - covering closed account settlements, etc.	2 years	1.1	010	6 years
6	3b	Certificates Settlement Files - covering periodic settlements	Receipt of new certificate	1.1	010	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
6	4	General Fund Files	3 years	1.1	010	6 years
6	5a	Accounting Administrative Files - For workload and personnel management	2 years	No change		
6	5b	Accounting Administrative Files - All other files	3 years	No change		
6	6a1	Federal Personnel Surety Bond Files - Official copies - before 1/1/1956	15 years	Rescinded		
6	6a2	Federal Personnel Surety Bond Files - Official copies - after 12/31/1955	15 years	Rescinded		
6	6b	Federal Personnel Surety Bond Files - Other	Bond becomes inactive	Rescinded		
6	7	Gasoline Sales Tickets	3 years or GAO audit	1.1	010	6 years
6	8	Telephone Toll Tickets	3 years or GAO audit	1.1	010	6 years
6	9	Telegrams	3 years or GAO audit	Rescinded		
6	10a	Administrative Claims Files - Claims against the US	6 years, 3 months	No change		
6	10b1	Administrative Claims Files - Claims by the US - Paid in full	6 years, 3 months	No change		
6	10b2a	Administrative Claims Files - Claims by the US - Collection action terminated - right to collect not extended	10 years, 3 months	No change		
6	10b2b	Administrative Claims Files - Claims by the US - Collection action terminated - entitled to additional time	3 months after litigation period	No change		
6	10b3	Administrative Claims Files - Claims by US - not owed to US	6 years, 3 months	No change		
6	10c	Administrative Claims Files - affected by court order, etc.	6 years, 3 months or end of litigation	No change		
6	11a	Waiver of Claims Files - Approved waivers	6 years, 3 months	No change		
6	11b	Waiver of Claims Files - Denied waivers	With claims in 10b/10c options	No change		
7	1	Expenditures Accounting General Correspondence and Subject Files	2 years	No change		
7	2	General Accounting Ledgers	6 years, 3 months	1.1	010	6 years
7	3	Appropriation Allotment Files	6 years, 3 months	1.1	010	6 years
7	4a	Expenditure Accounting Posting and Control Files - Originals	3 years	1.1	010	6 years
7	4b	Expenditure Accounting Posting and Control Files - Copies	2 years	1.1	010	6 years
8	1	Plant, Cost, and Stores General Correspondence Files	2 years	No change		
8	2	Stores Invoice Files	3 years	1.1	040	3 years
8	3	Stores Accounting Files	3 years	1.1	040	3 years
8	4	Stores Accounting Background Files	2 years	1.1	040	3 years
8	5	Plant Accounting Files	3 years	1.1	040	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
8	6a	Cost Accounting Reports - Copies in units receiving reports	3 years	1.1	040	3 years
8	6b	Cost Accounting Reports - Copies in reporting units and related work papers	3 years	1.1	040	3 years
8	7a	Cost Report Data Files - Ledgers and forms	3 years	1.1	040	3 years
8	7b1	Cost Report Data Files - Automated records - detail cards	6 months	Rescinded		
8	7b2	Cost Report Data Files - Automated records - summary cards	6 months	Rescinded		
8	7b3	Cost Report Data Files - Tabulations	1 year	Rescinded		
9	1a	Commercial Freight and Passenger Transportation Files - Original vouchers	6 years	1.1	010	6 years
9	1b	Commercial Freight and Passenger Transportation Files - Exclusion to 1a	10 years	1.1	010	6 years
9	1c	Commercial Freight and Passenger Transportation Files - Issuing office copies	6 years	1.1	010	6 years
9	1d	Commercial Freight and Passenger Transportation Files - Obligation copy	When funds are obligated	1.1	010	6 years
9	1e	Commercial Freight and Passenger Transportation Files - Unused ticket redemption forms	3 years	1.1	010	6 years
9	2	Lost or Damaged Shipment Files	6 years	No change		
9	3a	Noncommercial, Reimbursable Travel Files - Travel administrative office files	6 years	1.1	010	6 years
9	3b	Noncommercial, Reimbursable Travel Files - Obligation copies	When funds are obligated	1.1	011	Business use ceases
9	4a	General Travel and Transportation Files - Admin records	2 years	No change		
9	4b	General Travel and Transportation Files - Accountability Records	1 year	No change		
9	5a	Records Relating to Official Passports - Application files	3 years	No change		
9	5b	Records Relating to Official Passports - Annual reports	1 year	No change		
9	5c	Records Relating to Official Passports - Passport registers	Superseded or obsolete	No change		
9	6	Does not exist	N/A			
9	7	Federal Employee Transportation Subsidy Records	3 years	No change		
10	1	Motor Vehicle Correspondence Files	2 years	No change		
10	2a	Motor Vehicle Operating and Maintenance Files - Operating records	3 months	No change		
10	2b	Motor Vehicle Operating and Maintenance Files - Maintenance records	1 year	No change		
10	3	Motor Vehicle Cost Files	3 years	No change		
10	4	Motor Vehicle Report Files	3 years	No change		
10	5	Motor Vehicle Accident Files	6 years	No change		
10	6	Motor Vehicle Release Files	4 years	No change		
10	7	Motor Vehicle Operator Files	3 years	No change		
10	8	Does not exist	N/A			
10	9	Routine Aircraft Operations	2 years	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
10	10	Logistical Support for Flight Operations	6 years or superseded	No change		
10	11a	General Aircraft Maintenance and Modification Records - Recordkeeping copies of maintenance manuals for unique or customized aircraft	Permanent	No change		
10	11b	General Aircraft Maintenance and Modification Records - All other records	6 years or superseded or obsolete	No change		
10	12	Individual Aircraft Maintenance and Airframe Modification Records	6 years	No change		
10	13	Records Required for Accident/Incident Reports	1 year	No change		
11	1	Space and Maintenance General Correspondence Files	2 years	No change		
11	2a	Agency Space Files - Building plan files, etc.	2 years	No change		
11	2b1	Agency Space Files - Correspondence and reports - Reports to GSA	2 years	No change		
11	2b2	Agency Space Files - Copies	1 year	No change		
11	3	Directory Service Files	2 months	No change		
11	4a	Credentials Files - Identification credentials	3 months	No change		
11	4b	Credentials Files - Receipts, indexes, listings, etc.	After everything is "accounted for"	No change		
11	5	Building and Equipment Service Files	3 months	No change		
12	1	Messenger Service Files	2 months	No change		
12	2a	Communication General Files - Corres re: internal admin and operation	2 years	No change		
12	2b	Communication General Files - Telecommunications general files	3 years	No change		
12	2c	Communication General Files - Telecommunications statistical reports	1 year	No change		
12	2d1	Communication General Files - Telecommunica-tion voucher files - reference copies	1 year	1.1	011	Business use ceases
12	2d2	Communication General Files - Telecommunica-tion voucher files - relating to installation, etc.	1 year after audit or 3 years	No change		
12	2e	Communication General Files - Copies of agreements	2 years	No change		
12	3a	Telecommunications Operational Files - Message registers, etc.	6 months	No change		
12	3b	Telecommunications Operational Files - Copies of incoming/outgoing messages	2 months	No change		
12	4	Telephone Use (Call Detail) Records	3 years	No change		
12	5a	Post Office and Private Mail Company Records - re: incoming/outgoing mail	1 year	No change		
12	5b	Post Office and Private Mail Company Records - Application for registration and certification of declared value mail	1 year	No change		
12	5c	Post Office and Private Mail Company Records - Report of loss, etc.	1 year	No change		
12	6a	Mail and Delivery Service Control Files - Records of receipt and routing	1 year	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
12	6b	Mail and Delivery Service Control Files - Statistical reports of postage used	6 months	No change		
12	6c	Mail and Delivery Service Control Files - Requisition for stamps	6 months	No change		
12	6d	Mail and Delivery Service Control Files - Statistical reports and data relating to handling of mail	1 year	No change		
12	6e	Mail and Delivery Service Control Files - Records relating to checks or other valuables remitted to agency by mail	1 year	No change		
12	6f	Mail and Delivery Service Control Files - Records of and receipts for mail and packages received through Official Mail and Messenger Service	6 months	No change		
12	6g	Mail and Delivery Service Control Files - General files	1 year	No change		
12	6h	Mail and Delivery Service Control Files - Locator cards, directories, indexes, etc.	5 months	No change		
12	7	Metered Mail Files	6 years	No change		
12	8	Postal Irregularities Files	3 years	No change		
13	1	Administrative Correspondence Files	2 years	No change		
13	2a	Project Files - Files pertaining to the accomplishment of the job	1 year	No change		
13	2b	Project Files - Files pertaining to planning and other tech matters	3 years	No change		
13	3	Control Files	1 year	No change		
13	4a	Mailing Lists - Correspondence, etc.	3 months	No change		
13	4b	Mailing Lists - Card lists	When canceled or revised	No change		
13	5a	Joint Committee on Printing (JCP) Reports Files - Agency report to JCP	3 years	No change		
13	5b	Joint Committee on Printing (JCP) Reports Files - Copies in subordinate units	1 year	No change		
13	6	Internal Management Files	2 years	No change		
14	1	Information Requests Files	3 months	4.2	010	90 days
14	2	Acknowledgment Files	3 months	4.2	010	90 days
14	3	Press Service Files	3 months	No change		
14	4	Information Project Files	1 year	No change		
14	5	Commendation/Complaint Correspondence Files	3 months	No change		
14	6	Indexes and Check Lists	Superseded or obsolete	No change		
14	7-10	Do not exist	N/A			
14	11a1	FOIA Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	11a2a	FOIA Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	11a2b	FOIA Requests Files - Unable to be filled - appealed	6 years or 3 years	4.2	020	6 years
14	11a3a	FOIA Requests Files - Denied - not appealed	6 years	4.2	020	6 years
14	11a3b	FOIA Requests Files - Denied - appealed	6 years or 3 years or with related records	4.2	020	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
14	11b	FOIA Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	12a	FOIA Appeals Files - Correspondence and supporting documents	6 years or 3 years	4.2	020	6 years
14	12b	FOIA Appeals Files - Official file copy of records under appeal	Disposition for official file copy	Rescinded		
14	13a	FOIA Control Files - Registers or listings	5 years	4.2	040	5 years
14	13b	FOIA Control Files - Other files	5 years	4.2	040	5 years
14	14	FOIA Reports Files	2 years	4.2	070	2 years
14	15	FOIA Administrative Files	2 years	No change		
14	16-20	Do not exist	N/A			
14	21a1	Privacy Act Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	21a2a	Privacy Act Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	21a2b	Privacy Act Requests Files - Unable to be filled - appealed	4 years or 3 years or with related records	4.2	020	6 years
14	21a3a	Privacy Act Requests Files - Denied - not appealed	5 years	4.2	020	6 years
14	21a3b	Privacy Act Requests Files - Denied - appealed	4 years or 3 years or with related records	4.2	020	6 years
14	21b	Privacy Act Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	22a	Privacy Act Amendment Case Files - Agreed by agency	4 years or official copy disposition	4.2	090	4 years
14	22b	Privacy Act Amendment Case Files - Refused by agency	3 years, 4 years or official copy disposition	4.2	090	4 years
14	22c	Privacy Act Amendment Case Files - Refused and appealed	3 years or official copy disposition	4.2	090	4 years
14	23	Privacy Act Accounting of Disclosure Files	5 years or official copy disposition	4.2	050	5 years or official copy disposition
14	24a	Privacy Act Control Files - registers or listings	5 years	4.2	040	5 years
14	24b	Privacy Act Control Files - other files	5 years	4.2	040	5 years
14	25	Privacy Act Reports Files	2 years	4.2	070	2 years
14	26	Privacy Act General Administrative Files	2 years	No change		
14	27-30	Do not exist	N/A			
14	31a1	Mandatory Review For Declassification Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	31a2a	Mandatory Review For Declassification Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	31a2b	Mandatory Review For Declassification Requests Files - Unable to be filled - appealed	4 years or with related records	4.2	020	6 years
14	31a3a	Mandatory Review For Declassification Requests Files - Denied - not appealed	5 years	4.2	020	6 years
14	31a3b	Mandatory Review For Declassification Requests Files - Denied - appealed	4 years or with related records	4.2	020	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
14	31b	Mandatory Review For Declassification Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	31c	Mandatory Review For Declassification Requests Files - Sanitizing instructions	When requested docs are declassified or destroyed	4.2	020	6 years
14	32a	Mandatory Review for Declassification Appeals Files - Correspondence and supporting documents	4 years	4.2	020	6 years
14	32b	Mandatory Review for Declassification Appeals Files - Official file copy of records under appeal	Disposition for official file copy	Rescinded		
14	33a	Mandatory Review for Declassification Control Files - regular or listing	5 years	4.2	040	5 years
14	33b	Mandatory Review for Declassification Control Files: other files	5 years	4.2	040	5 years
14	34	Mandatory Review for Declassification Reports Files	2 years	4.2	030	2 years
14	35	Mandatory Review for Declassification Administrative Files	2 years	4.2	030	2 years
14	36a	Erroneous Release Files that include the official file copy of the released records	Disposition for official file copy or 6 years	4.2	060	6 years or with related records
14	36b	Erroneous Release Files that do not include the official file copy of the released records	6 years	4.2	061	6 years
15	1	Housing General Correspondence Files	2 years	No change		
15	2a	Housing Maintenance and Repair Files - Summary card or ledger record	3 years	No change		
15	2b	Housing Maintenance and Repair Files - Work orders, etc.	3 years	No change		
15	3	Housing Management Files	2 years	No change		
15	4	Housing Lease Files	3 years	No change		
15	5a	Housing Assignment and Vacancy Card Files - Individual tenant cards	When tenant vacates	No change		
15	5b	Housing Assignment and Vacancy Card Files - Individual housing unit cards	3 years	No change		
15	6	Housing Inventory Files	3 years	No change		
15	7a	Housing Application Files - Rejected application files	1 year	No change		
15	7b	Housing Application Files - All others	2 years	No change		
16	1a	Administrative Issuances - Notices, etc.	Superseded or obsolete	No change		
16	1b	Administrative Issuances - Case files	When issuance is destroyed	No change		
16	2a1	Records Disposition Files - Basic documentation - approved SF115s	2 years	4.1	020	6 years
16	2a2	Records Disposition Files - Basic documentation - Other records	6 years	4.1	020	6 years
16	2b	Records Disposition Files - Routine correspondence and memoranda	2 years	4.1	020	6 years
16	3a	Forms Files - One record copy of each form	5 years	4.1	040	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
16	3b	Forms Files - Background materials, etc.	Superseded or obsolete	4.1	040	3 years
16	4a	Records Holdings Files - records in offices that prepare reports on agency-wide records holdings	3 years	Rescinded		
16	4b	Records Holdings Files - records held by other offices	1 year	Rescinded		
16	5	Project Control Files	1 year	No change		
16	6	Reports Control Files	2 years	No change		
16	7	Records Management Files	6 years	4.1	020	6 years
					030	3 years
16	8	Does not exist	N/A			
16	9	Feasibility Studies	5 years	3.1	011	5 years
16	10a	Microfilm Inspection Records - re: permanent records	1 year	4.1	020	6 years
16	10b	Microfilm Inspection Records - re: temporary records	2 years	4.1	020	6 years
16	11	IRM Triennial Review Files	7 years	No change		
16	12	Information Collection Budget Files	7 years	No change		
16	13a	Documents Published in the Federal Register - Processing notices announcing matters not codified in CFR	1 year	No change		
16	13b	Documents Published in the Federal Register - Processing of semiannual regulatory agenda	2 years	No change		
16	14a	Management Control Records - Policy, procedure, and guidance files	Superseded or obsolete	No change		
16	14b	Management Control Records - Management control plans	Superseded or obsolete	No change		
16	14c	Management Control Records - Risk analyses	After next review cycle	No change		
16	14d	Management Control Records - Annual reports and eassurance statements	After next reporting cycle	No change		
16	14e	Management Control Records - Tracking files	1 year	No change		
16	14f1	Management Control Records - Review Files - Responsible office	5 years	No change		
16	14f2	Management Control Records - Review Files - Other offices	1 year	No change		
17	1	Cartographic Records Prepared During Intermediate Stages of Publication	No longer needed	No change		
17	2	Does not exist	N/A			
17	3	Architectural Drawings of Temporary Structure and Buildings or of Buildings Not Critical to the Mission of the Agency	Superseded or obsolete	No change		
17	4	Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems	Superseded or obsolete	No change		
17	5	Contract Negotiation Drawings	Superseded by as-built drawings	No change		
17	6	Space Assignment Plans	Superseded or obsolete	No change		
17	7	Does not exist	N/A			
17	8	Engineering Drawings of Routine Minor Parts	Superseded or obsolete	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
17	9	Drawings Reflecting Minor Modifications	Superseded or obsolete	No change		
17	10	Paint Plans and Samples	Superseded or obsolete	No change		
18	1	Classified Documents Administrative Correspondence Files	2 years	No change		
18	2	Document Receipt Files	2 years	4.2	030	2 years
18	3	Destruction Certificates Files	2 years	4.2	030	2 years
18	4	Classified Document Inventory Files	2 years	4.2	030	2 years
18	5a	Top Secret Accounting and Control Files - accountability over Top Secret documents	5 years	4.2	040	5 years
18	5b	Top Secret Accounting and Control Files - handling and control documents	Related doc. downgraded, transferred, or destroyed	4.2	040	5 years
18	6	Access Request Files	2 years	4.2	030	2 years
18	7a	Classified Document Container Security Files - safe and padlock combinations, names of individuals knowing combinations	Superseded or obsolete	4.2	031	Superseded by new form
18	7b	Classified Document Container Security Files - records of opening, closing, and routine checking of the security of containers	3 months	4.2	032	90 days
18	8	Security and Protective Services Administrative Correspondence Files	2 years	No change		
18	9	Survey and Inspection Files - government-owned facilities	3 years	No change		
18	10	Survey and Inspection Files - privately owned facilities	4 years	No change		
18	11	Investigative Files	2 years	No change		
18	12	Property Pass Files	3 months	No change		
18	13a	Guard Assignment Files - ledger records	3 years	No change		
18	13b	Guard Assignment Files - requests, analyses, reports, change notices, etc.	2 years	No change		
18	14a	Police Functions Files - ledger records	3 years	No change		
18	14b	Police Functions Files - reports, statements of witnesses, warning notices, etc.	2 years	No change		
18	14c	Police Functions Files - reports on contact of outside police with building occupants	1 year	No change		
18	15a	Personal Property Accountability Files - ledger files	3 years	No change		
18	15b	Personal Property Accountability Files - reports, loss statements, receipts, etc.	1 year	No change		
18	16a	Key Accountability Files - areas under maximum security	3 years	No change		
18	16b	Key Accountability Files - other areas	6 months	No change		
18	17a	Visitor Control Files - areas under maximum security	5 years	No change		
18	17b	Visitor Control Files - other areas	2 years	No change		
18	18a	Facilities Checks Files - Data sheets, door slip summaries, check sheets, and guard reports on security violations	1 year	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
18	18b	Facilities Checks Files - Reports of routine after hours security checks	1 month	No change		
18	19a	Guard Service Control Files - Control center key or code records, emergency call cards, and building record and employee identification cards	Superseded or obsolete	No change		
18	19b	Guard Service Control Files - Round reports, service reports on interruptions and tests, and punch clock dial sheets	1 year	No change		
18	19c	Guard Service Control Files - Automatic machine patrol charts and registers of patrol and alarm services	1 year	No change		
18	19d	Guard Service Control Files - Arms distribution sheets, charge records, and receipts	3 months	No change		
18	20a	Logs and Registers - central master logs	2 years	No change		
18	20b	Logs and Registers - individual posts	1 year	No change		
18	21	Security Clearance Administrative Subject Files	2 years	No change		
18	22a	Personnel Security Clearance Files - investigation done by government	5 years	No change		
18	22b	Personnel Security Clearance Files - investigation provided by other organizations	Per investigating agency instructions	No change		
18	22c	Personnel Security Clearance Files - index	With related case file	No change		
18	23	Personnel Security Clearance Status Files	Superseded or obsolete	No change		
18	24a	Security Violations Files - referred to DOJ or DOD	5 years	No change		
18	24b	Security Violations Files - all other files	2 years	No change		
18	25a	Classified Information Nondisclosure Agreements - maintained separately from OPF	70 years	4.2	121	50 years
18	25b	Classified Information Nondisclosure Agreements - maintained in OPF	See OPF disposition	Rescinded		
18	26	Emergency Planning Administrative Correspondence Files	2 years	No change		
18	27	Emergency Planning Case Files	3 years	No change		
18	28	Emergency Operations Tests Files	3 years	No change		
18	29a	National Defense Executive Reserve (NDER) Case Files - reservists	5 years	No change		
18	29b	National Defense Executive Reserve (NDER) Case Files - applications rejected or withdrawn	5 years	No change		
20	1a	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system	No longer needed	3.1	010	5 years
					011	5 years
					020	3 years
20	1b	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files/records to create/update master file	After transfer to master file	4.3	020	When verified in master file
20	1c	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage	No longer needed	3.2	030	Business use ceases

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
20	2a1	Input/Source Records - Hard-copy - Previously scheduled; must be transferred in hard-copy	Permanent	Rescinded		
20	2a2	Input/Source Records - Hard-copy - Previously scheduled; e-recs don't meet transfer standards	Permanent	Rescinded		
20	2a3	Input/Source Records - Hard-copy - Contain info not captured in electronic version	Apply previously approved schedule	Rescinded		
20	2a4	Input/Source Records - Hard-copy - Records not covered by 2a1-3.	When e-version is verified, etc.	4.3	010	When verified
					011	60 days
					012	Approval of schedule for elec records & verification
20	2b	Input/Source Records - Electronc records (except notied in 2c) entered during update proces	When verified in master file	4.3	020	When verified in master file
20	2c	Input/Source Records - Electronic records received from another agency	When verified in master file	4.3	020	When verified in master file
20	2d	Input/Source Records - Uncalibrated or unvalidated observational data	When verified in master file	4.3	020	When verified in master file
20	3a	Electronic Versions of Records Scheduled for Disposal - Scanned images	When hard copy retention expires	Rescinded		
20	3b1	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Administrative records	When hard copy retention expires	Rescinded		
20	3b2	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Records covered by GRS 1, Item 21; GRS 1, Item 22; GRS 1, Item 25f; GRS 12, Item 3; and GRS 18, Item 5.	Submit SF-115	Rescinded		
20	3b3	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Digital still pictures, sound or video	When hard copy retention expires	Rescinded		
20	3b4	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Media neutral program records	Apply previously approved schedule	Rescinded		
20	3b5	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)1, 3(b)(3), or 3(b)(4).	Submit SF-115	Rescinded		
20	3.1	Electronic Records that Replace Permanent Hard Copy Records	Permanent	Rescinded		
20	4	Data Files Consisting of Summarized Information	No longer needed	4.3	031	No longer needed
20	5	Records Consisting of Extracted Information	No longer needed	4.3	031	No longer needed
20	6	Print File	No longer needed	4.3	031	No longer needed
20	7	Technical Reformat File	No longer needed	4.3	031	No longer needed
20	8a	Backups of Files - Identical to permanent records	When backed up or transferred to NARA	3.2	050	After capture or transfer request

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
20	8b	Backups of Files - Identical to temporary records	Superseded or obsolete	3.2	051	After identical records deleted
20	9	Finding Aids (or Indexes)	No longer needed	4.1	010	No longer needed
20	10	Special Purpose Programs	When related master file is deleted	3.1	012	When master file is deleted
20	11a1	Documentation - Related to temporary systems	When related master file is deleted	3.1	051	5 years
20	11a2	Documentation - Related to permanent systems	Permanent	3.1	050	Permanent
20	11b	Documentation - Copies of records relating to system security	See GRS 24, item 5	3.2	010	1 year
20	12a	Downloaded and Copied Data - Derived data for ad-hoc reports	No longer needed	4.3	030	No longer needed
20	12b	Downloaded and Copied Data - Derived data in lieu of hard copy reports	No longer needed	4.3	030	No longer needed
20	12c	Downloaded and Copied Data - Metadata or reference data	No longer needed	4.3	020	When verified in master file
20	13	Word Processing Files	No longer needed	4.3	040	After copying to recordkeeping system
20	14	Electronic Mail Records	After copying to recordkeeping system	4.3	040	After copying to recordkeeping system
20	15a	Electronic Spreadsheets - Used to produce hard copy that is maintained in organized files	No longer needed	4.3	040	After copying to recordkeeping system
20	15b	Electronic Spreadsheets - Maintained in electronic form	When hard copy retention expires	4.3	040	After copying to recordkeeping system
20	16	Hard Copy Printouts Created to Meet Ad Hoc Business Needs	No longer needed	4.3	030	No longer needed
21	1	Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency (Still Photography)	1 year	No change		
21	2	Personnel Identification or Passport Photographs (Still Photography)	Superseded or obsolete or 5 years	No change		
21	3	Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not reflect the Mission of the Agency (Still Photog.)	1 year	No change		
21	4	Does not exist	N/A			
21	5	Viewgraphs	1 year	No change		
21	6	Routine Artwork for Handbills, Flyers, Posters, Letterhead, and Other Graphics	No longer needed	No change		
21	7	Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction	No longer needed	No change		
21	8	Line Copies of Graphs and Charts	No longer needed	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
21	9	Films Acquired from Outside Sources for Personnel and Management Training (Motion Pictures)	1 year	No change		
21	10	Does not exist	N/A			
21	11	Routine Surveillance Footage (Motion Pictures)	6 months	No change		
21	12	Routine Scientific, Medical, or Engineering Footage (Motion Pictures)	2 years	Rescinded		
21	13	Does not exist	N/A			
21	14	Programs Acquired from Outside Sources for Personnel and Management Training (Video Recordings)	1 year	No change		
21	15	Does not exist	N/A			
21	16	Rehearsal or Practice Tapes (Video Recordings)	Immediate	No change		
21	17	Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency (Video Recordings)	1 year	No change		
21	18	Routine Surveillance Recordings (Video Recordings)	6 months	No change		
21	19	Routine Scientific, Medical, or Engineering Recordings (Video Recordings)	2 years	Rescinded		
21	20	Recordings that Document Routine Meetings and Award Presentations (Video Recordings)	2 years	No change		
21	21	Does not exist	N/A			
21	22	Recordings of Meetings Made Exclusively for Note Taking or Transcription (Audio/Sound Recordings)	Immediate	No change		
21	23	Dictation Belts or Tapes (Audio/Sound Recordings)	Immediate	No change		
21	24	Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production (Audio/Sound Recordings)	Immediate	No change		
21	25	Does not exist	N/A			
21	26	Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis (Audio/Sound Recordings)	6 months	No change		
21	27	Does not exist	N/A			
21	28	Production Files or Similar Files that Document Origin, Development, Acquisition, Use and Ownership of Temporary Audiovisual Records	With related records	No change		
21	29	Finding Aids for Temporary Audiovisual Records	With related records	4.1	010	No longer needed
23	1	Office Administration Files	2 years	No change		
23	2-4	Do not exist	N/A			
23	5a	Schedules of Daily Activities - substantive information	2 years	No change		
23	5b	Schedules of Daily Activities - routine activities	No longer needed	No change		
23	6a	Suspense Files - A note or reminder	Immediate	No change		
23	6b	Suspense Files - Copy of outgoing communication	Immediate	No change		
23	7	Transitory Files (first bullet only) - Routine requests for information	No longer needed	4.2	010	No longer needed
23	7	Transitory Files (all other bullets)	No longer needed	No change		
23	8	Tracking and Control Records	2 years	4.1	010	No longer needed

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
23	9	Finding Aids (or Indexes)	With related records	4.1	010	No longer needed
24	1a	Oversight and Compliance Files - Performance measurements and benchmarks	5 years or 1 year	3.1	040	5 years
24	1b	Oversight and Compliance Files - All other oversite and compliance records	3 years or 1 year	3.1	040	5 years
24	2	IT Facility, Site Management, and Equipment Support Services Records	3 years or superseded	3.1	020	3 years
24	3a	IT Asset and Configuration Management Files - Inventories	1 year	3.1	020	3 years
24	3b1	IT Asset and Configuration Management Files - Management Records - system implementations, applications, modifications	1 year	3.1	030	5 years
24	3b2	IT Asset and Configuration Management Files - Management Records - routine IT maintenance	3 years or 1 year	3.1	020	3 years
24	4a1	System Backups and Tape Library Records - Backup tapes - Incremental backup tapes	Superseded or obsolete	3.2	040	Superseded
24	4a2	System Backups and Tape Library Records - Backup tapes - Full backup tapes	After second subsequent backup	3.2	041	When second subsequent backup verified
24	4b	System Backups and Tape Library Records - Tape library records	Superseded or obsolete	4.1	010	No longer needed
24	5a	Files Related to Maintaining the Security of Systems and Data - System Security Plans and Disaster Recovery Plans	1 year	3.2	010	1 year
24	5b	Files Related to Maintaining the Security of Systems and Data - IT risks, etc.	1 year	3.2	010	1 year
24	6a	User Identification, Profiles, Authorizations, and Password Files - Systems requiring special accountability	6 years	3.2	031	6 years
24	6b	User Identification, Profiles, Authorizations, and Password Files - Routine systems	See GRS 20, item 1c	3.2	030	Business use ceases
24	7	Computer Security Incident Handling, Reporting, and Follow-up Records	3 years	3.2	020	3 years
24	8a	IT Operations Records - Workload schedules, etc.	1 year	3.1	020	3 years
24	8b	IT Operations Records - Problem reports, etc.	1 year	3.1	020	3 years
24	8c	IT Operations Records - Operations reports, etc.	3 years	3.1	020	3 years
24	9a	Financing of IT Resources and Services - Agreements	3 years	3.1	020	3 years
24	9b	Financing of IT Resources and Services - Files related to managing third-party services	3 years	3.1	020	3 years
24	9c	Financing of IT Resources and Services - allocate charges, track payments	3 years	3.1	020	3 years
24	10a	IT Customer Service Files - Help desk information	1 year	No change		
24	10b	IT Customer Service Files - Logs, reports, etc.	1 year	No change		
24	11a	IT Infrastructure Design and Implementation Files - Not implemented	1 year	3.1	010	5 years
24	11b	IT Infrastructure Design and Implementation Files - Implemented	5 years	3.1	010	5 years
24	11c	IT Infrastructure Design and Implementation Files - Installation and testing	3 years	3.1	010	5 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
24	12	Does not exist	N/A			
24	13a1	PKI Records - PKI Administrative Records - FBCA Cas	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	3.2	060	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months
24	13a2	PKI Records - PKI Administrative Records - Other Cas	7 years, 6 months to 20 years, 6 months	3.2	061	7 years, 6 months to 20 years, 6 months
24	13b	PKI Records - Transaction specific records	7 years, 6 months to 20 years, 6 months	3.2	062	7 years, 6 months to 20 years, 6 months
25	1a	Ethics Program Implementation, Interpretation, Counseling, and Development Files - [see records list in schedule]	3 years	2.8	010	6 years
25	1b	Ethics Program Implementation, Interpretation, Counseling, and Development Files - all other records	6 years	2.8	010	6 years
25	2a1	Financial Disclosure Reporting Files - public reports - individuals not subsequently confirmed or elected	1 year	2.8	060	1 year
25	2a2	Financial Disclosure Reporting Files - public reports - all other reports	6 years	2.8	061	6 years
25	2b1	Financial Disclosure Reporting Files - confidential reports - individuals not subsequently confirmed or elected	1 year	2.8	070	1 year
25	2b2	Financial Disclosure Reporting Files - confidential reports - all other reports	6 years	2.8	071	6 years
					072	6 years
25	2c1	Financial Disclosure Reporting Files - alternative or additional - individuals not subsequently confirmed or elected	1 year	2.8	080	1 year
25	2c2	Financial Disclosure Reporting Files - alternative or additional - all other reports	6 years	2.8	081	6 years
25	3	Ethics Agreement Records	6 years	2.8	100	6 years
					101	Destruction of last disclosure report
25	4	Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files	6 years	2.8	020	6 years
25	5a	Non-Federally Funded Travel Files - Semiannual Expense Reports	3 years	2.8	030	3 years
25	5b	Non-Federally Funded Travel Files - records used to compile Semiannual Expense Reports	1 year	2.8	031	1 year
25	6a	Ethics Program Review Files - OGE program review reports, etc.	6 years	2.8	050	6 years
25	6b	Ethics Program Review Files - all other records	1 year	2.8	050	6 years
25	7a	Annual Agency Ethics Program Questionnaire Files - questionnaire completed by ethics officials in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978	3 years	2.8	040	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
25	7b	Annual Agency Ethics Program Questionnaire Files - all other records	1 year	2.8	040	3 years
25	8a	Ethics Program Employee Training and Education Files - administration	6 years	No change		
25	8b	Ethics Program Employee Training and Education Files - training materials	6 years	No change		
25	9	Ethics Program Procedures Files	6 years	2.8	010	6 years
26	1a	Internal Agency Committees - unrelated to mission	No longer needed	No change		
26	1b	Internal Agency Committees - related to mission	Must be scheduled	No change		
26	2a	FACA Committees - establishment, policy, etc.	Permanent	6.2	010	Permanent
					020	Permanent
26	2b	FACA Committees - day-to-day activities	3 years	6.2	050	Superseded, no longer needed or committee termination
26	2c1	FACA Committees - websites - electronic version	At termination or no longer needed	6.2	010	Permanent
					050	Superseded, no longer needed or committee termination
26	2c2	FACA Committees - websites - design and management	At termination or no longer needed	Rescinded		
26	2c3	FACA Committees - websites - electronic version of records duplicated elsewhere	At termination or no longer needed	6.2	050	Superseded, no longer needed or committee termination
26	3	Records not maintained by sponsor or secretariat	3 years	Rescinded		
26	4	Committee management records	6 years	6.2	040	6 years
					050	Superseded, no longer needed or committee termination
					060	3 years
27	1	Information Technology Program Planning Records	7 years	No change		
27	2	Enterprise Architecture Records	7 years	No change		
27	3	Information Technology Capital Investment Records	7 years	No change		
27	4	Legal and Regulatory Compliance Records	5 years	4.2	080	5 years
27	5	CIO Committee Records	5 years	No change		
27	6	CIO Subject and Office Records	5 years	No change		
27	7	Schedules of Daily Activities	2 years	No change		

Frequently Asked Questions (FAQs) about the General Records Schedules

Revised June 2016

1. What are the General Records Schedules (GRS)?

The General Records Schedules (GRS) are issued by the Archivist of the United States to provide agencies with disposition authority for records common to several or all agencies of the Federal Government. "The GRS" refers to the entire set of schedules, but "GRS" is also commonly used to refer to a single schedule within the whole. These schedules authorize, after specified periods of time, the destruction of temporary records or the transfer of permanent records to the National Archives of the United States (NARA). (36 CFR 1227.10)

2. What are the "New General Records Schedules"?

The New General Records Schedules are the product of NARA's five-year project to update and revise the GRS. This project came out of OMB/NARA M-12-18, Managing Government Records Directive, and is being carried out by the GRS Team in the Office of the Chief Records Officer at NARA.

The new schedules will eventually completely replace the old GRS chapters with an organizational structure based on functional areas. New General Records Schedules are identifiable by their X.X number, as opposed to the old Chapter X identifier. Eventually, the entire old GRS will be replaced with new schedules.

3. What do numbers in the GRS mean?

Each GRS bears a chapter number (GRS X or GRS X.X). Each individual item in a GRS bears both an item number and citation of the legal instrument that gives the item authority—the NARA job number (starts with DAA, N1, or NC1), plus an item number within that job. "GRS 1.1 item 010" identifies where you can find the item in the GRS. "DAA-GRS-2013-0007-0001" authorizes agencies to destroy records described by that item.

The GRS chapter number is similar to an agency manual number or citation. It is the number NARA assigns to each GRS. Old GRS were assigned chapter numbers 1-27. In the new GRS, NARA assigns chapter numbers in a hierarchical structure by function. So, for example, all finance-related records are under 1.0 and have chapter (schedule) numbers such as 1.1, 1.2, and 1.3. Item numbers in the new GRS look like 010, 020, 021, 030, etc. We went with this numbering scheme to make it easier to add items in between if we ever need to. Older GRS item numbers are in alpha-numeric hierarchy: 1, 1a, 1a1, 1a1a, 1a1b, *etc*. The chapter number and the item number make up a complete GRS item citation, for example: "GRS 1.1, item 010."

The NARA job number is a code assigned by NARA to each records schedule, such as DAA-GRS-2013-0003. Schedules that agencies submit via ERA begin with "DAA" (Disposition Authority

Agency), followed by the record group, the fiscal year in which the schedule was created, and a sequence number. Older schedules have N1 or NC1 codes at the beginning of the job number, followed by the record group, fiscal year (abbreviated to the last two digits), and sequence number. In both cases, the job number is part of what makes up the disposition authority for a records item. The last part of disposition authority is the item number. In ERA, this is four digits (e.g., 0001). In older schedules, the item number can take a variety of forms, such as 1, 1a, 1a2b, etc. The complete disposition authority—job number and item number—is the legal citation allowing disposal of the records, for example DAA-GRS-2013-0003-0001 (ERA schedules) or N1-GRS-92-4, item 3a (older schedules). The disposition authority is required to transfer permanent records to NARA.

4. Is there a NARA glossary of terms and definitions related to the GRS?

There is no glossary of terms specifically related to the GRS. You can find terms and definitions relevant to the GRS in 36 CFR 1220.18, NARA's records management definitions regulation. The FAQs for an individual new GRS may also contain definitions specific to that schedule.

5. What are "administrative," "program," and "program support" records? Which are covered by the GRS?

Record type	*Definition*	*Examples*	*GRS coverage*
Administrative records	Records created in carrying out general, non-mission-related functions that keep an office operating.	Records tracking employee time and attendance, hiring personnel, paying bills, monitoring stocks of supplies, pursuing information technology processes, maintaining vehicles, providing security, and carrying out a myriad of housekeeping tasks.	The GRS offers nearly complete coverage. These records document functions common to the entire Federal Government (or at least wide swaths of it). GRS items can be used by any agency since they are scheduled Government-wide for retention based on their business value.
Program (mission) records	Records created in pursuing an agency's mission—the unique functions for which the agency has been established.	Records documenting collecting taxes (Internal Revenue Service), protecting the environment (Environmental Protection Agency), caring for national parkland (National Park Service), and responding to threats to public health (Centers for Disease Control).	Generally not covered in the GRS. Must be scheduled individually by the agency responsible for the mission, with the exception of committees established under the Federal Advisory Committee Act, the records of which are covered in GRS 6.2.
Program (mission) support records	Records of professional functions providing ancillary support to agency	Records created by agency functions such as legal counsel, public affairs, grant administration, and monitoring and evaluating	The GRS covers these records when their business and historical value can be established Government-wide. The GRS sometimes makes note

Record type	*Definition*	*Examples*	*GRS coverage*
	mission accomplishment.	how an agency carries out its mission.	where it cannot cover specific program support records and refers their scheduling for historical value to individual agencies.
Administrative or Program records, depending...	Some functions are the mission of one agency and administrative for all other agencies Government-wide.	Personnel position classification and employee recruitment are program (mission) functions of the Office of Personnel Management. They are administrative processes everywhere else.	The GRS covers these for agencies where the function is administrative. It does not cover records created by agencies for which the function is a mission.

6. When must agencies apply the GRS?

There are situations in which agencies must apply a GRS and situations in which an agency may either apply a GRS or request a deviation (36 CFR 1227.12). These situations are:

If	*then*
the particular GRS states that its provisions must be followed without exception	your agency must follow the disposition instructions in the GRS, regardless of whether your agency has existing schedules. Your agency may not request a deviation from a GRS that states the provisions must be followed without exception.
the particular GRS allows agencies to use existing agency schedules	your agency may follow the disposition instructions in either the GRS or the existing agency schedule, but it must follow the same disposition instructions throughout the agency and instruct its staff to do so. **If an agency chooses to follow its own schedule, it must notify NARA within 120 days after NARA has issued the new or revised GRS.** Notification may be submitted via e-mail to GRS_Team@nara.gov. NARA will review your agency's notification to determine whether your agency-specific schedule is still appropriate. NARA reserves the right, in some instances, to deny the use of the agency-specific schedule if it is no longer appropriate due to the passage of time, change in value of the records, or other reasons. NARA will notify your agency's records officer of the notification's status within 90 calendar days.
your agency does not have existing schedules covering records scheduled by a GRS	your agency must follow the disposition instructions of the GRS.
your agency requires a different retention period to	your agency must submit a records schedule in accordance with 36 CFR 1225 and a justification for the deviation.

If	*then*
meet its business needs	
your agency does not create or maintain the records covered by the particular GRS	no action is required.

7. Where can I find additional information on the General Records Schedules?

Additional information about the GRS can be found on the GRS web page or in other GRS-related FAQs. Questions may also be sent to the GRS Team at GRS_Team@nara.gov.

Frequently Asked Questions (FAQs) about the GRS Update Project

Revised June 2016

GENERAL ISSUES

1. How does OMB/NARA M-12-18, Managing Government Records Directive, affect this effort, or how does this effort fit into the Directive?

OMB/NARA M-12-18, Managing Government Records Directive, requires that NARA revise, update, and expand the GRS by December 31, 2017. The GRS Update Project is the effort to meet that mandate by revising the existing schedules and adding new content.

NARA recognizes that the Directive requires agencies to submit schedules for all unscheduled paper and other non-electronic records by December 31, 2016, and that this deadline may, at times, result in agencies scheduling records that ultimately end up covered by a new GRS as well. Unfortunately, NARA cannot condense its GRS update project timeframe to adjust for this because of the scope of the project. NARA apologizes for the inconvenience, but recommends agencies continue to follow their own scheduling timeline to meet their Directive requirements, rather than wait on a future GRS update.

2. How does the new GRS differ from the old GRS?

The new GRS incorporates these changes:

- A new structure: the GRS is completely reorganized along functional lines.
- Streamlined and big-bucket items: we aggregate previously and newly scheduled records whenever retention requirements allow.
- General updating: we revise records descriptions and retention to reflect current business practices and rescind items no longer needed.
- Flexible retention periods: new disposition instructions for temporary records establish retention parameters (usually minimum periods), allowing agencies to set longer retentions based on their own business needs without having to request approval from NARA. This aids agencies looking to include GRS items in their own big buckets—they can extend retention periods without NARA approval. This also provides more clarity as to when a retention period is fixed and cannot be deviated from without significant justification.
- Additional clarity: FAQs and other implementation aides for individual schedules help interpret and implement the GRS.
- New content is included in updated items to reflect current business practices. For instance, library records make their debut in the GRS with Transmittal 26 (GRS 4.4).

3. Does the new GRS include new record content?

The new GRS may include new record series related to the functions mapped to the current GRS. We are also planning to add some completely new functional areas to the GRS, such as Public Affairs Records and Legal Records, but inclusion of these records depends on whether series are ultimately appropriate for a GRS. Because new content takes more time to research and verify, some of the proposed new schedules may not be completed by December 31, 2017.

4. Are any legacy GRS items being retired?

Disposition items no longer needed are rescinded from the GRS as new schedules replace old ones. For instance, "telegrams filed in support of telegraph bills," added to the GRS in 1977, make their exit with Transmittal 23. NARA makes the rescissions known by issuing transmittal memos sent out via RM Communication and posted on the GRS website.

5. Why do the new schedules no longer match up with the original GRS Restructuring Plan item list?

The GRS Team used *The New GRS: A Plan for Restructuring and Updating the General Records Schedules* (September 2012) as a fluid framework to map the older GRS authorities to functional lines of business (LOB) based in part on the Federal Enterprise Architecture (FEA). These functions and sub-functions were not meant to be the actual buckets under which records would be aggregated and scheduled. The functions and sub-functions only identified the general structure for the new GRS and the organizational structure of the published version of the GRS. During the schedule research and writing phases, the GRS Team found the need to make changes to the original restructuring plan.

THE GRS UPDATE PROCESS

6. Does NARA update the entire GRS at one time or in parts? When will the GRS be updated again?

The GRS has always actually been multiple schedules—1 through 27 in the old GRS. Over the years, they have been updated individually in whole or in part, but not until the Update Project has the whole compendium been updated at once. The new GRS is also comprised of multiple schedules and like its predecessor is being issued in parts. In Fiscal Year 2013, the GRS Team started a five-year process of updating the GRS. As new schedules are released they replace parts of the old GRS. Superseded items are clearly marked in each new GRS Transmittal until the entire old GRS has been replaced. Once the five-year revision project is complete, the GRS Team will continue with periodic updates and revisions of the GRS as needed.

7. How does NARA inform agencies of new GRS updates?

NARA has multiple ways to keep agencies aware of GRS updates. NARA issues new schedules through GRS Transmittals distributed via RM Communications to agency records management staff. NARA also posts updates on its GRS web page. New schedules are published online; both

as individual schedules in the Records Control Schedules online repository, and as incorporated with other schedules in GRS Transmittals. The GRS Team has given, and will continue to give, regular updates on the project during NARA's Bimonthly Records and Information Discussion Group (BRIDG) meetings, to which representatives from all agencies are invited.

8. Does NARA solicit agency participation in developing new GRSs?

The GRS Team works closely with agencies to gather information about processes, their related records, and business needs for those records. We solicit agency input in a variety of ways, such as focus groups, and approach some agencies specifically based on their subject matter expertise. We are always looking for new ways to get agency input on new schedules. If you have thoughts about a particular schedule, please contact us at GRS_Team@nara.gov.

THE NEW SCHEDULES

9. Why do the new schedules have flexible disposition instructions such as "when no longer needed" or "longer retention is authorized if required for business use"?

The flexible GRS authorities set parameters for retention periods, rather than specific lengths, so that agencies have some latitude in implementing the GRS for their programs. Agencies may establish fixed retention periods within those parameters without further NARA approval. Agencies may also create big-bucket items for records within the flexible GRS retention parameters without requesting approval by NARA.

10. How can agencies using electronic records management applications (RMAs), which require fixed cut-off statements and retention periods, implement the open-ended disposition authorities in the GRS?

The agency may continue to use fixed disposition instructions suited to RMAs as long as the instructions fit within the parameters of GRS disposition instructions and the agency cites the GRS authority. If the agency-schedule fixed disposition instructions do not fit within the parameters of the new GRS disposition instructions, the agency may use its existing schedules by notifying the GRS Team within 120 days of the new GRS issuance (if the GRS permits). If the agency finds the new GRS authority covers records not previously scheduled by the agency and its business needs require fixed disposition instructions outside the parameters of the new GRS, the agency may request a deviation from the GRS by submitting a new schedule.

11. Why does the GRS include items for copies of records? Aren't copies "non-record" material?

Some copies of records are used in the course of agency business to make decisions or take action. These, even though they are copies, are also Federal records and the new GRS schedules them. For example, a program office may initiate and track a case file and send a copy to another program office to support the second office's mandate. The agency then has

two copies of the case file fulfilling different program directives, and both are Federal records. Other copies are kept only for convenience of reference. Those are *non-records* and for that reason are not mentioned in the GRS.

PROJECT TIMELINE

12. Why does it take five years to complete this project?

The revision project isn't a matter of updating a single schedule. While the GRS Team builds upon current schedules, each new schedule must be built fresh from the ground up. We reexamine old authorities to see if they are still relevant, investigate current business practices to identify new records series that need to be added, solicit and incorporate agency input as much as possible, and analyze all this information to create more comprehensive schedules. We are also committed to building new schedules on the bucket model wherever useful. It is not a small task. It's comparable to an agency updating and revising its entire records manual after 20 years, but even more complicated; rather than looking at records in just one agency, we seek to accommodate all agencies.

13. How long does it take for the GRS Team to finish and issue each new GRS schedule?

The GRS Team estimates it takes about 24 months to draft, review, and issue a new GRS schedule. Depending on the complexity of the schedule and review or other variables, the scheduling process for a particular schedule may be shorter or longer than that estimate.

Frequently Asked Questions (FAQs) about the Impact of the New GRS on Agencies

Revised June 2016

IMPACT ON AGENCY RECORDS SCHEDULING

1. Should an agency proceed with scheduling records that are going to be covered by a GRS?

If an agency needs disposition authorities ahead of the GRS timetable, it should go ahead and schedule the records. There is no guarantee that new record series proposed for the GRS will ultimately be included. Many factors may either delay certain series or prevent their inclusion in a GRS.

2. Will NARA stop accepting agency-submitted schedules, or processing schedules already in the queue, in anticipation of a pending new GRS?

NARA continues to accept and process agency schedules even if the records may be covered by a pending GRS. An agency may also withdraw a submitted schedule or an item on a schedule at any time. If you have questions about when a GRS is scheduled to be revised please contact the GRS Team at GRS_Team@nara.gov.

3. Do new GRS items supersede agency-specific disposition authorities?

According to 36 CFR 1227.12, agencies *must* use a new or revised GRS only when the GRS states that agencies must follow the provisions without exception. In all other cases, if your agency has an existing schedule and the new or revised GRS permits use of existing agency-specific schedules, you may choose to follow either your agency-specific disposition instruction or the GRS. If your agency chooses to follow its own schedule, you must notify NARA at GRS_Team@nara.gov within 120 days of the issuance of the new or revised GRS.

4. If the new GRS does not meet an agency's disposition needs what should the agency do?

If the agency already has an approved agency schedule and the GRS permits the use of existing agency schedules, the agency may choose to use its own schedule, notifying NARA at GRS_Team@nara.gov of its intent within 120 days of the new or revised GRS issuance. If an agency does not have an approved schedule for the records and the new or revised GRS allows for deviations, the agency may request a deviation from the GRS by submitting a schedule to NARA that explains why a deviation is necessary for the agency's records. Please keep in mind that, as long as the agency disposition instruction is within the parameters set by the GRS, a deviation request is not required.

5. Are new GRS schedules mandatory?

The GRS is mandatory, but unless an item or schedule says that agencies must follow it without exception, an agency may request a deviation from a specific GRS item by submitting a schedule to NARA with a justification for the deviation. This rule applies to permanent GRS items as well. However, please keep in mind that while an agency may request a deviation, NARA may not agree to approve it, especially for permanent records. Currently, the only GRS items that must be followed without exception are GRS 2.8, items 060, 061, 062, 063, 070, 071, 072, 080, and 081.

IMPACT ON RECORDS IN FEDERAL RECORDS CENTERS

6. Should agencies continue to use existing GRS items to transfer records to the Federal Record Centers (FRCs) or other storage facilities and the NARA custodial units even though the items are being revised?

Yes. If NARA determines existing GRS disposition or retention instructions are in significant conflict with proposed GRS revisions, it will inform agencies not to destroy the affected records until the GRS changes are approved and ready for implementation. This information will be distributed via the GRS web page and an RM Communications email to agencies.

7. Does NARA provide FRCs with the new GRS retention requirements for records in storage?

The FRC Program is an internal stakeholder in the GRS revision process and is kept well-informed about disposition changes affecting records in storage. The GRS Team provides the FRC Program with copies of the crosswalks for mapping new GRS disposition authorities to superseded ones. However, these crosswalks cover only records retired by agencies under old GRS authorities. Agencies need to notify the Federal Records Center Program (FRCP) of any agency-schedule retention requirements that are superseded by new GRS items, including revised manual citations, if applicable.

8. Does NARA charge my agency for the mass data changes that result from new GRS authorities superseding old GRS ones?

No. Your agency will not be charged because mass data changes are a baseline service provided by the FRCP to agencies, paid for in the initial processing fee for each transfer. The FRCP will automatically update records center holdings coded under superseded GRS disposal authorities to new GRS authorities in the Archives and Records Centers Information System (ARCIS). Agencies incorporating a new GRS into their comprehensive records schedules, and desiring mass data changes to ARCIS, must inform the FRC Program of revisions in the retention period or item numbering within their comprehensive agency schedule.

Frequently Asked Questions (FAQs) about General Records Schedule Deviations

Revised July 2015

1. What is a deviation from the GRS?

A deviation from the GRS occurs when an agency uses a retention period for records different from the retention period authorized by the GRS. Deviations are of two types: those that require NARA approval and those that do not.

DEVIATIONS THAT REQUIRE NARA APPROVAL

2. How does an agency request a deviation from a newly issued GRS when it already has a schedule for the records?

The agency needs to submit a GRS notification to NARA within 120 days of issuance of the new GRS. NARA reviews the notification to determine whether a deviation is justified. For further information, see the FAQs about GRS notifications.

3. Under what circumstances must an agency submit a schedule for NARA approval to request a deviation from the GRS?

The agency must submit a schedule for NARA approval when it needs to deviate from the GRS and does not have an existing NARA-approved agency schedule for the records. This process can happen at any time; it is not bound by the 120-day limit mentioned in answer 2.

4. Why would an agency submit a schedule to seek a deviation from a current GRS?

These examples of actual requests illustrate some situations in which an agency might submit a schedule to request a deviation (not exhaustive):

a. Extending retention period for Personnel Awards (old GRS 1/item12a) from 2 years to 10 years because the agency has frequent need to refer back to these records for employee promotions
b. Merging GRS items to create a new retention period of 4 years (thus extending the current retention periods ranging from 3 months to 3 years) for Motor Vehicle Maintenance/Operations, Costs and Reports Files (old GRS 10/items 2, 3, and 4) because the agency's business practice is to maintain these records as a single system of records
c. Extending retention period from 3 months to 4 years for Complaint Correspondence files (old GRS 14/item 5) because this agency reviews these letters for possible patterns that may have investigatory value
d. Reducing retention period for Badging and Access Control Data (old GRS 18/item 17b) from 2 years to 6 months because the agency determined it had no business need to retain the records for the entire GRS retention period

5. What is required when submitting a records schedule requesting deviation from the GRS?

When an agency submits a records schedule requesting a disposition other than that approved in the GRS, that schedule must cite each GRS item from which the agency wants to deviate, identify the agency schedule item proposed to supersede it, and provide a justification for the deviation. This applies whether the records are scheduled in the GRS as temporary or permanent. Some GRS items, such as accountable officer records, require additional concurrence from other oversight agencies such as GAO. Please contact the GRS Team at GRS_Team@nara.gov if you have questions about whether a request requires additional agency review as the current list of oversight agencies is in flux.

ADDITIONAL QUESTIONS

6. Can an agency ever diverge from the GRS without submitting a schedule?

Yes, under the following circumstances:

a. When the GRS disposition is open-ended and the agency wishes to have a more specific retention period, as long as it falls within the parameters established by the GRS. See also question 8, below; or
b. When an agency seeks only to temporarily extend the retention period. Per 36 CFR 1226.18a, agencies may temporarily retain records approved for destruction beyond their NARA-approved retention period if special circumstances (such as a records freeze or hold) alter the normal administrative, legal, or fiscal value of the records. How to request a records freeze is detailed in the Freeze Process Overview/FAQ on NARA's web site.

7. When is a deviation from the GRS not allowed?

Agencies must use the GRS and cannot request deviations when a GRS states that its provisions must be followed without exception. Currently, the only GRS items that must be followed without exception are GRS 2.8, items 060, 061, 062, 063, 070, 071, 072, 080, and 081.

8. A GRS disposition instruction is open-ended, stating that records *must* be kept for a certain period of time but *may* be kept even longer to meet agency business needs. My agency either already has or wants a more specific disposition instruction than allowed by the GRS. Does my agency need to notify NARA that it will use its own schedule or request a deviation via a new schedule?

Examples of an open-ended disposition include "Destroy when no longer needed" or "Destroy when no longer needed for business use, or audit requirements, or to fulfill legal requirements." Open-ended dispositions may also contain a specific time period for destruction of records (e.g., "Destroy when 6 years old") and include wording like "or when no longer needed for business use, whichever is later" or "Longer retention is authorized if

required for business use." Such disposition instructions are designed as open-ended to meet the needs of more agencies, while still establishing basic requirements for destruction of the records.

When the GRS disposition is open-ended, an agency may issue its own more specific disposition instructions, provided that these instructions meet the requirements of the GRS disposition. The agency does not need to request a deviation or otherwise notify NARA. For example, if the GRS disposition is "Destroy when no longer needed," the agency may set a disposition of "Destroy when 3 years old." The agency might choose such a disposition when it decides that it would not need any of the records beyond 3 years.

9. Where do I go for more information?

For questions related to this FAQ or the GRS Transmittal, please contact NARA's GRS Team at GRS_Team@nara.gov. For questions related to scheduling records for a deviation from the GRS, please contact your agency's appraisal archivist. A list of appraisal archivists by agency can be found at http://www.archives.gov/records-mgmt/appraisal/work-group-all.html.

Frequently Asked Questions (FAQs) about GRS Notifications

1. What is a GRS notification?

A GRS notification is a request made by an agency to use its own approved agency-specific disposition authority rather than a newly transmitted GRS.

2. What is the purpose of a GRS notification?

The purpose of a GRS notification is to inform NARA of an agency's intent to use its own disposition authority. Consistent with 36 CFR 1227.12, agencies *must* use a new or revised GRS only when the GRS states that agencies must follow without exception. In all other cases, if your agency has an existing schedule, you may either use the GRS or ask to use your agency-specific disposition instruction. If you seek to use your own agency-specific authority, you must notify NARA within 120 days of issuance of the transmittal of the new GRS.

The notification also allows NARA to review the request to insure that the agency authority is still appropriate. In some cases, the GRS has been updated to comply with changes in statutes or regulations. If an agency authority does not alignwith the GRS content, the agency authority may not comply with current statutes and regulations, therefore putting the agency at risk for improper disposal of records.

3. When do agencies need to submit GRS notifications?

My situation	and	and	Must I notify NARA?
An item in a new GRS transmittal supersedes my existing agency-specific disposition authority	my agency-specific item retention period falls outside new GRS item parameters[1]	my agency wishes to continue using its own authority and retention	Yes
		my agency is willing to abandon its own authority and use the GRS authority and retention instead	No
	my agency-specific item retention period is within new GRS item parameters[1]	my agency wishes to continue using its own authority	Yes[2]
		my agency is willing to abandon its own authority and cite the GRS authority instead	No
	my agency-specific item is a big bucket item covering at least one new GRS item	my agency wishes to continue using its own authority	Yes

[1] Many GRS items state that "longer retention is authorized if required for business use." For example, if the GRS item is 6 years but longer retention is authorized, and your agency retention is 7 years, your retention is within the parameters of the GRS item.

[2] We recommend that agencies cite the GRS wherever possible. The impact on agency disposition manuals of future changes to GRS items will then be more obvious.

My situation	and	and	Must I notify NARA?
A new GRS transmittal contains no items that supersede any existing agency-specific items			No

4. How are GRS notifications submitted?

If an agency wishes to follow its own schedule instead of a new or newly revised GRS, and if the new GRS does not state that agencies must follow it without exception, the agency must notify NARA within 120 days of the transmittal of the new or revised GRS. Notification should be sent to GRS_Team@nara.gov with the subject heading "<Agency name> GRS Notification." Please use the spreadsheet located at http://www.archives.gov/records-mgmt/grs/no-longer-in-effect.html when submitting your request. The spreadsheet includes the following information: the agency citation (NARA disposition authority, agency manual citation, and retention) and the superseded GRS citation (new GRS number, item number, and retention).

5. When might a GRS notification be denied?

NARA reviews all GRS notifications and determines if the agency can properly use its own authority as a deviation from the GRS. NARA may deny requests if the agency retention period differs from the GRS and the agency retention period will put the records or the agency at risk. NARA may also deny requests if the value of the records has changed. For example, the records may have been scheduled years ago in the agency as permanent, but since that time NARA has determined that the records are temporary and scheduled them as such in the GRS. We review such cases closely to determine if value still exists for the records of the requesting agency.

Frequently Asked Questions (FAQs) about Flexible Disposition Instructions in the GRS

1. What are flexible disposition instructions?

Flexible disposition instructions are those that are in some way open-ended. Examples in the GRS include those that set a minimum retention period, then state "longer retention is authorized if required for business use." Flexible disposition instructions can allow for either longer or shorter retention periods than the minimum or maximum set by the disposition instruction. For further information on flexible disposition instructions, see Section 3 ("Flexible Retention Periods") of the FAQs about Flexible Scheduling, at http://www.archives.gov/records-mgmt/faqs/flexible-scheduling.html.

2. Why do so many of the new General Records Schedule items have flexible disposition instructions?

The GRS are not like agency-specific schedules. They must apply to all agencies throughout the Federal Government. But we recognize that all agencies may not have identical retention needs, even for records commonly created by multiple agencies. We have approached the GRS instructions as guidelines for agencies in retaining their records. We establish basic retention requirements—usually minimum retention periods—but otherwise, leave it to the agencies to determine their business needs for the records. In other words, with flexible disposition instructions, NARA does not need to review an agency's disposition instructions for records covered by the GRS as long as they meet the basic retention requirements.

The benefits of this approach are:

- GRS disposition instructions make clear the basic retention requirements and when longer or shorter retention periods are permissible;
- Agencies don't have to request deviations to the GRS as long as their retention periods fall within the parameters of the GRS instruction;
- The flexible disposition instructions allow multiple GRS items to be bucketed to the longest common retention period, as chosen by the agency; and
- We can potentially cover more temporary items in the GRS, even if agencies have different retention needs.

3. How should flexible disposition instructions be implemented in traditional, non-bucket schedules?

You should update the schedules for your agency to reflect new GRS items and, in doing so, determine the appropriate retention period for your agency's business needs. You may:

- Use only the minimum retention period. In that case, do not include "longer retention is authorized if required for business use" in your disposition manual;
- Set a specific retention or retention band within the parameters established by the GRS. For example, if the GRS says "Destroy when 3 years old but longer retention is

authorized if required for business use," then the agency disposition manual may say "Destroy when 5 years old"; or

- Use the disposition instruction exactly as written, leaving specific retention up to offices or individual users.

In some cases, you may not have to do anything other than update the GRS disposition authority. As long as your agency's retention period already falls into the parameters of the GRS, you can cite the GRS without making any other change to your agency's disposition instructions.

4. How should flexible instructions be implemented in big bucket schedules?

If you wish to continue using an existing big bucket schedule when a new GRS is issued, you need to notify NARA (per 36 CFR 1227.12) of your intent to use your own agency-specific big bucket schedule rather than the GRS. See the "FAQs about GRS Notifications" above in this document. However, as long as the retention periods fall within the parameters of the GRS, there should be no problem with NARA approving use of your agency's bucket schedule. Be aware that, when determining whether an existing bucket item's retention period falls within the GRS retention period, you must take into consideration the individual cutoff instructions (when the retention period begins), which may affect retention periods for different items within the bucket.

Records should be bucketed to the longest retention period, but pay attention to cutoff instructions! We often see cases where an agency has incorporated a GRS item with a 3-year retention period into a bucket with 5-year retention. This seems well and good until we look at the GRS item's cutoff instructions. "Destroy when 5 years old" means the clock starts ticking at document creation. "Destroy 3 years after superseded or obsolete" means the clock may not begin ticking until the document is already several years old. Destruction of everything in a bucket at 5 years of age could wipe out records still in active use.

So how do you resolve this issue in big bucket schedules? The most common way we have seen agencies do it while not completely dismantling buckets is to include non-specific cutoff instructions in the bucket disposition and specific cutoff instructions in an accompanying crosswalk. For example, the disposition instruction states "destroy 5 years after cutoff" and the user refers to the crosswalk to identify the cutoff instruction for the GRS items covered by the bucket. Then each GRS item can indicate unique cutoff requirements.

5. How can agencies using electronic records management applications (RMAs), which require fixed cut-off statements and retention periods, implement the open-ended GRS disposition authorities?

The agency may continue to use fixed disposition instructions suited to RMAs as long as the instructions fit within the parameters of GRS disposition instructions and the agency cites the GRS authority. If the agency schedule's fixed disposition instructions do not fit within the

parameters of the new GRS disposition instructions, the agency may ask to use its existing schedules by notifying the GRS Team within 120 days of the new GRS issuance (if the GRS permits). If the agency finds the new GRS authority covers records not previously scheduled by the agency and its business needs require fixed disposition instructions outside the parameters of the new GRS, the agency may request a deviation from the GRS by submitting a new schedule.

Checklist for Implementing the GRS

The purpose of this optional checklist is to assist agencies to implement a new General Records Schedule (GRS) when one is issued. Agencies may use this tool, in full or in part, as they need when updating agency materials on records disposition. Such materials may include comprehensive schedules, bucket schedules, or disposition manuals. Questions about GRS implementation may be addressed to the GRS Team at GRS_Team@nara.gov.

When NARA issues a new GRS transmittal, an agency should:

☐ 1. Identify old GRS items in its comprehensive disposition manual that are superseded by any new GRS items. Use the new to old crosswalks for each new schedule, included in the GRS Transmittal, to aid in this process.

☐ 2. Identify agency-specific authorities that are covered by new GRS items.

☐ 3. Determine whether it is necessary to revise the agency's comprehensive disposition manual to conform to new GRS item(s).

- If the GRS item states that it is mandatory and must be followed without exception, the agency must follow the GRS and cannot use an agency authority, even if previously approved by NARA. The agency must update its agency comprehensive disposition manual with the new GRS disposition authority.
- If agency-specific schedule disposition instructions fall within the parameters of the new GRS disposition instructions, update the agency-specific schedule with the new GRS disposition authority.
  - The agency may define cutoff instructions and set retention periods different from the GRS ones and still cite the new GRS disposition authority—as long as the agency instructions and retention periods fall within the parameters of the new GRS flexible disposition instructions. For instance, if the GRS retention instruction is "destroy 3 years after program closure, but longer retention is authorized if required for business use," the agency may choose to specify destruction 6 years after program closure and still cite the GRS item as the authority, if the agency has a business need for longer retention.
- If the agency-specific schedule disposition instructions do not fall within the parameters of the GRS disposition instruction, the agency has two options:
  - If the new GRS disposition instruction is appropriate for the records, revise the agency-specific disposition instructions in accordance with the new GRS authority.
  - If the new GRS disposition instruction does not meet agency needs, the agency may use its current disposition rather than the GRS one, but must inform NARA within 120 days of its intention to do so. Send notification to GRS_Team@nara.gov with the subject heading "<Agency name> GRS Notification." In the body of the email, include:

        - agency name;
        - name of requester and/or point of contact (POC);
        - requester/POC email address and telephone number;
        - NARA SF-115 or DAA number and item number;
        - agency manual number and item number; and
        - title of the record series or system of records or bucket schedule item
    - If the agency has unscheduled records covered by the new GRS item, the agency may choose between the following two options for the unscheduled records:
        - If the agency determines that the new GRS disposition instructions meet its business needs for the records, the agency should add the GRS item to its agency comprehensive disposition manual.
        - If the agency determines that it needs disposition instructions outside the parameters of the new GRS instructions, the agency must submit to NARA a schedule requesting a deviation from the GRS. Note that unless explicitly prohibited, an agency may request to deviate from the new GRS for permanent as well as temporary records.

☐ 4. Make changes to the agency's comprehensive disposition manual as needed. Keep track of changes to inform the Federal Records Center Program (FRCP) or storage service providers and agency staff.

☐ 5. Issue comprehensive records disposition manuals updated to conform to new GRS items through the agency's policy process.
    - Consider vetting the proposed changes with concerned stakeholders such as affected program offices, General Counsel, Inspector General, and others designated as part of the agency policy approval process.
    - Submit new schedules or change transmittals through the agency directive approval process.
    - Prepare schedules and/or manual for normal agency distribution (e.g., through publication on the agency intranet or Internet).

☐ 6. Communicate changes in the agency schedule and/or records management manual to agency staff.
    - Consider rolling out training with the issuance of new agency-specific schedules.

☐ 7. Identify changes in agency schedules resulting from new GRS items that affect agency records stored in FRCs or other agency records storage facilities, as appropriate.

☐ 8. Inform the FRC account manager and/or other storage service provider of changes to agency comprehensive records disposition manuals, as applicable.
    - NARA provides the FRC program with crosswalks from old to new GRS items. Transfers using existing GRS citations are updated in ARCIS by the FRCP. The

agency needs to inform the FRCP of alterations to agency-specific schedule authorities and/or comprehensive records disposition manuals affecting records stored in an FRC in order to accomplish any other required ARCIS updates.

- Contact information for agency FRCP account managers can be found at http://www.archives.gov/frc/acct-reps.html.
- NARA does not provide GRS crosswalks to commercial records storage facilities. If an agency stores records at such a facility, it must inform the service provider of any changes in records retention or disposition.