

Request for Records Disposition Authority

Records Schedule Number: **DAA-GRS-2013-0001**
 Schedule Status: **Approved**

Agency or Establishment: **General Records Schedules (National Archives and Records Administration)**

Record Group / Scheduling Group: **General Records Schedules**

Records Schedule applies to: **Government-wide**

Schedule Subject: **GRS 4.3 Input Records, Output Records, and Electronic Copies**

Internal agency concurrences will be provided: **No**

Background Information

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 Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	0	7	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2013-0001

Sequence Number	
1	Hardcopy or Analog Input/Source Records
1.1	Hardcopy or analog input/source records previously scheduled as TEMPORARY Disposition Authority Number: DAA-GRS-2013-0001-0001
1.2	Hardcopy or analog input/source records previously scheduled as PERMANENT Disposition Authority Number: DAA-GRS-2013-0001-0002
1.3	Hardcopy or analog input/source records NOT previously scheduled Disposition Authority Number: DAA-GRS-2013-0001-0003
2	Electronic Input/Source Records Disposition Authority Number: DAA-GRS-2013-0001-0004
3	Output Records
3.1	Ad hoc reports Disposition Authority Number: DAA-GRS-2013-0001-0005
3.2	Data File Outputs Disposition Authority Number: DAA-GRS-2013-0001-0006
4	Non-recordkeeping copies of electronic records Disposition Authority Number: DAA-GRS-2013-0001-0007

Records Schedule Items

Sequence Number	
1	<p>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 included are: • Hard copy forms used for data input • Hard copy documents that are scanned into an electronic recordkeeping system • Hard copy or analog still pictures, sound recordings, motion picture film, or video recordings (unless unscheduled or scheduled as permanent)</p>
1.1	<p>Hardcopy or analog input/source records previously scheduled as TEMPORARY Disposition Authority Number DAA-GRS-2013-0001-0001</p> <p>Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Applies to hardcopy or analog records only.</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-GRS-07-4, item 2a4 (in part)</p> <p>Disposition Instruction</p> <p>Retention Period Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Hardcopy or analog input/source records previously scheduled as PERMANENT Disposition Authority Number DAA-GRS-2013-0001-0002</p> <p>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. EXCLUSIONS: The following input records previously scheduled</p>

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. (1) Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2)) (2) Hardcopy records when the electronic versions do not meet NARA's electronic records standards. (3) Hardcopy records that are not incorporated in their entirety into an electronic system. (4) Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Applies to hardcopy or analog records only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-GRS-07-4, item 2a4 (in part)

Disposition Instruction

Retention Period 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.

Additional Information

GAO Approval Not Required

1.3

Hardcopy or analog input/source records NOT previously scheduled

Disposition Authority Number DAA-GRS-2013-0001-0003

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. EXCLUSIONS: (1) Hardcopy records when the electronic versions do not meet NARA's electronic records standards. (2) Hardcopy records that are not incorporated in their entirety into an electronic system. (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.

Final Disposition Temporary

Item Status Active

	<p>Is this item media neutral?</p> <p>Explanation of limitation</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>GRS or Superseded Authority Citation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p>	<p>No</p> <p>Applies only to hardcopy or analog records.</p> <p>No</p> <p>N1-GRS-07-4, item 2a4 (in part)</p> <p></p> <p>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.</p> <p></p> <p>Not Required</p>
<p>2</p>	<p>Electronic Input/Source Records</p> <p>Disposition Authority Number</p> <p>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. EXCLUSIONS: (1) Original electronic records maintained in the source system. (2) Electronic input records required for audit and legal purposes. (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.</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Explanation of limitation</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p>	<p>DAA-GRS-2013-0001-0004</p> <p></p> <p>Temporary</p> <p>Active</p> <p>No</p> <p>Applies to electronic records only.</p> <p>Yes</p>

Do any of the records covered by this item exist as structured electronic data?

Yes

GRS or Superseded Authority Citation

N1-GRS-87-5, item 1b
N1-GRS-87-5, item 2b
N1-GRS-87-5, item 2c
N1-GRS-87-5, item 2d
N1-GRS-95-2, item 12c

Disposition Instruction

Retention Period

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.

Additional Information

GAO Approval

Not Required

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 itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system. EXCLUSIONS: (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. (2) Any hard copy 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.

Ad hoc reports

Disposition Authority Number

DAA-GRS-2013-0001-0005

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. EXCLUSIONS: (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). (2) Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that

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3.1

contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-GRS-95-2, item 12a
N1-GRS-95-2, item 12b
N1-GRS-07-4, item 3.2

Disposition Instruction

Retention Period Destroy when business use ceases.

Additional Information

GAO Approval Not Required

Data File Outputs

Disposition Authority Number DAA-GRS-2013-0001-0006

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) EXCLUSIONS: (1) Data files that are created as disclosure-free files to allow public access to the data. (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. (3) Data extracts produced by an extraction process which changes the informational content of the source master file or database. (4) Technical reformat files created for transfer to NARA. (5) Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 15a (DAA-GRS-2013-0007-0012).

Final Disposition Temporary

3.2

Item Status Active

Is this item media neutral? No

Explanation of limitation Applies to electronic records only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-GRS-95-2, item 4
N1-GRS-95-2, item 5
N1-GRS-95-2, item 6
N1-GRS-95-2, item 7

Disposition Instruction

Retention Period Destroy when business use ceases.

Additional Information

GAO Approval Not Required

Non-recordkeeping copies of electronic records

Disposition Authority Number DAA-GRS-2013-0001-0007

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 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 a 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.

NOTES: (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. (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.

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Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Applies to electronic records only.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-GRS-95-2, item 13 N1-GRS-95-2, item 14 N1-GRS-95-2, item 15a N1-GRS-95-2, item 15b
Disposition Instruction	
Retention Period	Destroy immediately after after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
04/30/2013	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
05/21/2014	Submit for Concurrence	Andrea Riley	Supervisory Records Specialist	National Archives and Records Administration - Records Management Services
06/10/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
06/11/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/12/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist