



The General Records Schedules

Transmittal 32

National Archives and Records Administration
March 2022

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Other schedules were issued under previous Transmittals.
You can access all GRS schedules in this [table](#) or this [PDF](#).

TO: Heads of federal agencies

1. What does this document do?

GRS Transmittal 32 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittal 31 in April 2020. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies.

Transmittal 32 includes alterations to seven previously published schedules. As with the past few transmittals, this transmittal publishes only those schedules which have changed since they were last published in a transmittal. Other schedules *not* published in this transmittal remain current and authoritative. You can find all schedules (in Word and PDF formats), a master crosswalk, FAQs for all schedules, and FAQs about the whole GRS at <http://www.archives.gov/records-mgmt/grs.html>.

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

GRS Transmittal 32 publishes updates to:

- GRS 2.4 Employee Compensation and Benefits Records (see question 3 below)
- GRS 2.7 Employee Health and Safety Records (see question 4 below)
- GRS 4.2 Information Access and Protection Records (see question 5 below)
- GRS 4.4 Library Records (see question 6 below)
- GRS 5.3 Continuity and Emergency Planning Records (see question 7 below)
- GRS 5.6 Security Records (see question 8 below)
- GRS 5.7 Agency Accountability Records (see question 9 below)

3. What changes did we make to GRS 2.4?

We added a flexible retention option (“but longer retention is authorized if required for business use”) to item 035. Our omission of this flexibility from the original item was an oversight.

4. What changes did we make to GRS 2.7?

We added two items to cover records of vaccine attestations for Federal employees and contractors (item 063) and visitors (item 064), and two items to cover symptom screening and testing records for Federal employees (item 065) and contractors and visitors (item 66).

5. What changes did we make to GRS 4.2?

We reduced the retention period of item 100. It previously directed agencies to retain the records for 30 years after completing a declassification review. Now, agencies may destroy records documenting a declassification review immediately upon either of two subsequent events: the agency conducts another declassification review or the agency transfers the

reviewed records to NARA. We altered the retention period in response to a request from the Department of State, which pointed out that the previous instruction could result in agencies being required to retain records documenting the declassification process until as late as 105 years after the records were created.

6. What changes did we make to GRS 4.4?

We modified the background information to clarify that the schedule applies to library and information centers within agencies, but not to stand-alone libraries, such as the Library of Congress, or national libraries.

7. What changes did we make to GRS 5.3?

In the first sentence of the Background Information, we changed the generic word “sensitive” to a term with a precise definition: “controlled unclassified.”

8. What changes did we make to GRS 5.6?

We updated this schedule to further clarify that it does not include records related to Federal law enforcement and Federal correctional activities and that this exclusion includes border and transportation security and immigration and naturalization services. We changed the schedule title “Security Management Records” to help with this distinction.

We altered item 010 to clarify the subject matter as security *management* and expanded the description’s list of examples. We removed the bullet for standard operating procedures manuals, as they are properly covered by GRS 5.7, item 030.

We revised items 030, 090, and 100 to clarify that they do not cover records related to Federal law enforcement and correctional activities including border and transportation security and immigration and naturalization services. Item 090 was revised to make it clear that it does not apply to videos of accidents or incidents or video surveillance of accidents or incidents in Federal facilities or facilities operated by contractors on behalf of the Federal Government.

We revised item 120’s disposition instruction to be more concise. We revised item 130’s title to clarify that it covers all manner of temporary access identification records. We changed the term “sensitive data” to “controlled unclassified information” in items 180 and 181.

9. What changes did we make to GRS 5.7?

We revised this schedule to clarify that it applies only to records related to management and oversight of agency administrative functions. This included changing the name of the schedule to “Administrative Management and Oversight Records” and updating the background information to clarify that it applies only to management of administrative functions, not

functions related to agency mission. The new background section specifically excludes records related to agency strategic planning and performance management.

We altered item 010's title and revised the list of examples to remove generic records types that are arguably not "management controls."

We revised the title of item 040 and added a sentence to the description to clarify that the item applies only to requirements for reports related to administrative activities. We also added an exclusion to clarify that item 040 does not cover the reports themselves.

We eliminated from item 050's list of included records reports that are not specific to administrative activities, such as Performance and Accountability Reports (PAR). We also added an exclusion to make it clear that mandatory reports related to non-administrative matters are not covered by this item and must be scheduled by the agency

10. How do agencies cite 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. Please also include schedule and item number. For example, "DAA-GRS-2017-0007-0008 (GRS 2.2, item 070)."

11. Do agencies 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.

12. How can an agency 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>.

13. Whom should an agency contact for further information?

Please contact GRS_Team@nara.gov with any questions related to this transmittal.

A handwritten signature in black ink, appearing to read "D S Ferriero", with a long horizontal stroke extending to the right.

DAVID S. FERRIERO
Archivist of the United States

GENERAL RECORDS SCHEDULE 2.4: Employee Compensation and Benefits Records

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Payroll			
010	<p>Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.</p> <p>Includes:</p> <ul style="list-style-type: none"> • additions to paychecks <ul style="list-style-type: none"> ○ child care subsidies ○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) ○ other additions • deductions from paychecks <ul style="list-style-type: none"> ○ insurance ○ retirement accounts (e.g. Thrift Savings Plan, <i>my</i> Retirement Account, etc.) ○ flexible spending accounts, such as medical savings and dependent care assistance ○ union dues ○ Combined Federal Campaign ○ garnishments (IRS form 668A—Notice of Levy—and similar records) ○ Treasury bond purchases ○ other deductions • authorizations for deposits into bank accounts • changes or corrections to previous transactions either at paying agency or payroll processor • Fair Labor Standards Act exemption worksheets 	<p>Temporary. Destroy 3 years after paying agency or payroll processor validates data, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0004-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Tax withholding and adjustment documents. Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.</p> <p>Legal citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.</p>	<p>Temporary. Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0002</p>
030	<p>Time and attendance records. Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.</p> <p>Legal citation: 29 CFR 516.5a</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0004-0002</p>
035	<p>Phased-retirement employees' overtime documentation. Records documenting ordering or permitting phased-retirement employees to work overtime.</p> <p>Legal citation: 5 CFR 831.1715, section 4</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0001-0001</p>
040	<p>Agency payroll record for each pay period. Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.</p> <p>Legal citation: 5 U.S.C. 8466</p>	<p>Temporary. Destroy when 56 years old.</p>	<p>DAA-GRS-2016-0015-0004</p>
050	<p>Wage and tax statements. Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.</p> <p>Legal citations: Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3.</p>	<p>Temporary. Destroy when 4 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0005</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).			
060	Payroll program administrative records. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.	Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0006
061		Payroll system reports providing fiscal information on agency payroll.	Temporary. Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0007
Compensation and Benefits Administrative Program Records				
070	Donated leave program administrative records. Records related to managing the program, including: <ul style="list-style-type: none"> • records of leave bank management • records of leave bank governing board award decisions • publicity and program announcements • statistical and narrative reports • similar records not linked to individual employee participation 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0008
071	Donated leave program individual case files. Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.		Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0009
080	Wage survey files. Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class;		Temporary. Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the	DAA-GRS-2016-0015-0010

Item	Records Description		Disposition Instruction	Disposition Authority
	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).		two most recently completed surveys), but longer retention is authorized if required for business use.	
090	Incentive package records. Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.		Temporary. Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0011
100	Workers' Compensation (personnel injury compensation) records. Federal Employees' Compensation Act case files on injuries federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:	Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.	Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0012
101	<ul style="list-style-type: none"> • forms, reports, correspondence, claims • medical and investigatory records • administrative determinations or court rulings • payment records Exclusion 1: Copies filed in the Employee Medical Folder. Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.	Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.	Temporary. Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0013
110	Requests for health benefits under spouse equity. Applications and related papers. If applications are denied, may include denial	Successful applications, including those denied and successfully appealed.	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.	

Item	Records Description		Disposition Instruction	Disposition Authority
111	letters, appeal letters, and court orders.	Denied applications.	Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014
120	Child care subsidy program administrative records. Records related to managing the program, including: <ul style="list-style-type: none"> • determining amount of subsidy available to employees • verifying child care centers' accreditation • tracking funds disbursed to individual child care centers • publicity and program announcements • statistical and narrative reports • similar records not linked to individual employee participation 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0015
121	Child care subsidy program individual case files. Case files of individual employee participation in child care subsidy programs, such as: <ul style="list-style-type: none"> • enrollment documentation • applications and supporting documents • eligibility verification (employment, proof of income) • records of other subsidies the employee received • agreements between agencies and employees • notice of approval or denial of participation in program • child care provider information 		Temporary. Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0016
130	Transportation subsidy program administrative records. Records related to managing the program, including: <ul style="list-style-type: none"> • determining subsidy amount available to employees • publicity and program announcements • records of program-wide benefit delivery and receipt • statistical and narrative reports • similar records not linked to individual employee participation 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0017
131	Transportation subsidy program individual case files. Case files of individual employee participation in transportation subsidy programs, such as: <ul style="list-style-type: none"> • applications and supporting documents 		Temporary. Destroy 2 years after employee participation concludes, but longer	DAA-GRS-2016-0015-0018

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • eligibility verification • notice of approval or denial of participation in program • participant training documentation • periodic estimates of transit expenses • record of individual benefit delivery and receipt • de-enrollment documents • settlement of outstanding debts by employee or Government when employee leaves program 	retention is authorized if required for business use.	
140	<p>Family Medical Leave Act program administrative records. Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.</p> <p>Legal citation: 29 CFR 825.500</p>	Temporary. Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0019
141	<p>Family Medical Leave Act program individual case files. Includes:</p> <ul style="list-style-type: none"> • employee eligibility to participate in program • eligibility notice given to employee • notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them • medical certifications • employee identification data • records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid • leave request, approval/non-approval • leave records • records of premium payments of employee benefits • records of disputes between employers and eligible employees regarding designation of leave as FMLA leave • periodic reports of employee status and intent to return to work <p>Legal citation: 29 CFR 825.500</p>	Temporary. Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0020

GENERAL RECORDS SCHEDULE 2.7: Employee Health and Safety Records

This schedule covers records about employee health and safety functions within federal agencies.

Conditions and Exclusions

The following conditions and exclusions apply to all disposition authorities in this schedule.

1. Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.
2. This schedule does not apply to mission-related federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health. Such records are covered by agency-specific schedules.
3. The terms “non-occupational” and “patient” are used in this schedule to refer to nonwork-required health services and to health conditions not causally connected to the employee’s work or workplace. The terms “workplace” and “safety” refer to occupational records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Clinic scheduling records. Scheduling records of clinic visits, both occupational and non-occupational. Includes:</p> <ul style="list-style-type: none"> ● patient's name, time of appointment, and type of work to be performed ● details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit ● notifications about appointment updates ● patient visit and other scheduling-related statistics 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0001
Occupational Health Records			
020	<p>Occupational injury and illness program records. Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> ● miscellaneous reports, annual summaries or reports to the Secretary of Labor ● correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) ● OSHA 300 Log ● OSHA 301 Incident Report ● OSHA 300A Summary or equivalent <p>Exclusion: Workers’ Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>			
030	<p>Occupational health and safety training records. Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 App E(9)</p>		<p>Temporary. Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0010-0003
040	<p>Workplace environmental monitoring and exposure records. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p>	<p>OSHA-regulated substance monitoring and exposure records. Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)</p>	<p>Temporary. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0004
041	<p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific</p>	<p>Occupational noise monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.95(m)(3)(i)</p>	<p>Temporary. Destroy no sooner than 2 years after monitoring is conducted, but longer retention is</p>	DAA-GRS-2017-0010-0005

Item	Records Description		Disposition Instruction	Disposition Authority
042	<p>Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p>	<p>Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.1045 App A(vi)(C)</p>	<p>authorized if needed for business use.</p> <p>Temporary. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0006</p>
043		<p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	<p>Background data. Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p> <p>Note: Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p> <p>Legal Citation: 29 CFR Part 1910.1020(d)(1)(ii)(A)</p>	<p>Temporary. Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.</p>
050	<p>Safety Data Sheets (SDS). Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule.</p> <p>Note: Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may</p>		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0010-0008</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained.</p> <p>Legal citation: 29 CFR Part 1910.1020(d)(1)(ii)(B)</p>			
060	<p>Occupational individual medical case files. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records <p>Note: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p>	<p>Long-term records.</p> <p>Exclusion: Individual non-occupational medical records are covered by item 070.</p> <p>Note 1: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR 293.504)</p> <p>Note 2: For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Note 3: For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Legal Citations: 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).</p>	<p>Temporary. Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.</p>	DAA-GRS-2017-0010-0009
061		<p>Short-term records.</p>	<p>Temporary. Destroy 1 year after employee separation or transfer.</p>	DAA-GRS-2017-0010-0010

Item	Records Description		Disposition Instruction	Disposition Authority
062	<p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>	<p>Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</p>	<p>Temporary. Destroy 60 years after retirement to the NARA records storage facility.</p>	<p>DAA-GRS-2017-0010-0011</p>
Workplace Health Assessments				
063	<p>Vaccination attestations and proof of vaccination records. Records attesting to an individuals' current vaccination status and providing proof or certification of vaccination.</p>	<p>Federal employees and contractors. Applies only to records related to federal employees and contractors of the agency collecting the records.</p> <p>Note: If agencies file these records in occupational health files, use the disposition authority for occupational health files instead.</p>	<p>Temporary. Destroy when 3 years old.</p>	<p>DAA-GRS-2021-0003-0001</p>
064		<p>Visitors. Includes federal employees and contractors visiting from other agencies.</p>		
065	<p>Symptom screening and testing records. Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected. Includes:</p> <ul style="list-style-type: none"> ● symptom check/screening data ● testing records/results 	<p>Federal Employees. Applies only to records related to federal employees of the agency collecting the records.</p>	<p>Temporary. Destroy when 1 year old.</p>	<p>DAA-GRS-2021-0003-0003</p>
066		<p>Contractors and visitors. Includes federal employees that are visiting from another agency.</p>		
Non-Occupational Health Records				
070	<p>Non-occupational individual medical case files. Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as "patient records" in Title 5 Part 293 Subpart E.</p>		<p>Temporary. Destroy 10 years after the most recent encounter, but longer retention is</p>	<p>DAA-GRS-2017-0010-0012</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>Legal Citations: AHIMA. "Retention and Destruction of Health Information." (Updated October 2013) and 31 U.S.C. 3731(b), False Claims Act.</p>		authorized if needed for business use.	
080	<p>Non-occupational health and wellness program records. Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> ● health risk appraisals ● biometric testing ● health coaching ● disease management ● behavioral management ● preventive services ● fitness programs 		<p>Temporary. Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0013
090	<p>Employee Assistance Program (EAP) counseling records. Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p>	<p>Records related to employee performance or conduct. Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> ● leave and attendance ● performance ● alleged inappropriate behavior or workplace violence ● reason for referral ● management interventions ● illegal drug or alcohol use <ul style="list-style-type: none"> ○ test results for use of illegal drugs ○ test results for alcohol consumption on the job ○ substance abuse assessment, treatment, aftercare, and monitoring records <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>	<p>Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.</p>	DAA-GRS-2017-0010-0014

Item	Records Description		Disposition Instruction	Disposition Authority
091	<p>Records not related to performance or conduct. Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a federal, state, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> ● Privacy Act and signed written consent forms ● psychosocial history and assessments ● medical records ● correspondence with the client ● clinical and education interventions ● records of attendance at treatment, kinds of treatment, and counseling programs ● identity and contact information of treatment providers ● name, address, and phone number of treatment facilities ● notes and documentation of internal EAP counselors ● insurance data ● intervention outcomes 		<p>Temporary. Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0015
Drug-free Workplace Program Records				
100	<p>Employee drug test plans, procedures, and scheduling records. Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:</p> <ul style="list-style-type: none"> ● agency copies of plans and procedures, with related drafts, correspondence, and memoranda ● lists of selectees ● notification letters ● testing schedules <p>Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p>Exclusion 2: 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), are covered in GRS 5.7, Agency Accountability Records.</p>		<p>Temporary. Destroy when 3 years old or when superseded or obsolete.</p>	DAA-GRS-2017-0010-0016

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion 3: 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. Schedule these on agency-specific schedules.</p>			
110	<p>Employee drug test acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	<p>Temporary. Destroy when employee separates from testing-designated position.</p>	DAA-GRS-2017-0010-0017	
120	<p>Employee drug testing specimen records. Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, <i>e.g.</i>, chain-of-custody records.</p>	<p>Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later.</p>	DAA-GRS-2017-0010-0018	
130	<p>Employee drug test results. Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.</p>	<p>Positive results.</p>	<p>Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.</p>	DAA-GRS-2017-0010-0019
131	<p>Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.</p>	<p>Negative results.</p>	<p>Temporary. Destroy when 3 years old.</p>	DAA-GRS-2017-0010-0020

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.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
001	<p>FOIA, Privacy Act, and classified documents administrative records.</p> <p>Records on managing information access and protection activities. Records include:</p> <ul style="list-style-type: none"> • correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification • associated subject files • feeder and statistical reports <p>Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2019-0001-0001</p>
010	<p>General information request files.</p> <p>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.</p>	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0001</p>
020	<p>Access and disclosure request files.</p> <p>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:</p> <ul style="list-style-type: none"> • granting the request in full • granting the request in part • denying the request for any reason including: <ul style="list-style-type: none"> ○ inability to fulfill request because records do not exist ○ inability to fulfill request because request inadequately describes records 	<p>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.</p>	<p>DAA-GRS-2016-0002-0001</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ 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 <p>Includes:</p> <ul style="list-style-type: none"> ● requests (either first-party or third-party) ● replies ● copies of requested records ● administrative appeals ● related supporting documents (such as sanitizing instructions) <p>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.</p> <p>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.</p>			
030	Information access and protection operational records.	<p>Records tracking and controlling access to protected information.</p> <p>Includes:</p> <ul style="list-style-type: none"> ● records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records ● tracking databases and other records used to manage overall access program ● requests and authorizations for individuals to have access to classified and controlled unclassified records and information <p>Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.</p>	<p>Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0002
031		<p>Access control records.</p> <p>Includes:</p> <ul style="list-style-type: none"> ● safe and padlock combinations ● names or other personal identifiers of individuals who know combinations 	<p>Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0020

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> comparable data used to control access into classified document containers 		
032	<p>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.</p> <p>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.</p>	<p>Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0002-0003
040	<p>Records of accounting for and controlling access to records requested under FOIA, PA, and MDR. Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:</p> <ul style="list-style-type: none"> forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request inventories forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data agent and researcher files 	<p>Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0003
050	<p>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:</p> <ul style="list-style-type: none"> 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 	<p>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.</p>	NC1-64-77-1 item 27

Item	Records Description		Disposition Instruction	Disposition Authority
060	<p>Erroneous release records. 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. Includes:</p> <ul style="list-style-type: none"> • requests for information 		<p>Temporary. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p>	DAA-GRS-2015-0002-0001
061	<ul style="list-style-type: none"> • copies of replies • all related supporting documents <p>May include:</p> <ul style="list-style-type: none"> • official copy of records requested or copies 		<p>Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0002-0002
065	<p>Privacy complaint files. Records of privacy complaints (and responses) agencies receive in these categories:</p> <ul style="list-style-type: none"> • process and procedural (consent, collection, and appropriate notice) • redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act) • operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction) • complaints referred to another organization 		<p>Temporary. Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0004
070	<p>Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.</p> <p>Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p>		<p>Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0006
080	<p>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), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information</p>	<p>Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</p> <p>Legal citation: OMB M-07-16.</p>	<p>Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0022

Item	Records Description		Disposition Instruction	Disposition Authority
081	Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101. 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: <ul style="list-style-type: none"> • 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 after conducting next review or when subject records are transferred to NARA, but longer retention is authorized if required for business use.	DAA-GRS-2020-0002-0001
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,	Records maintained in the individual’s official personnel folder.	Apply the disposition for the official personnel folder.	

Item	Records Description		Disposition Instruction	Disposition Authority
121	<p>signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.</p> <p>Records maintained separately from the individual’s official personnel folder.</p> <p>Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).</p>		Temporary. Destroy when 50 years old.	DAA-GRS-2015-0002-0003
130	<p>Personally identifiable information extracts. System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p>Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet “Log and Verify.”</p>		Temporary. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.	DAA-GRS-2013-0007-0012
140	<p>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.</p>		Temporary. Destroy when business use ceases.	DAA-GRS-2013-0007-0013
150	<p>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).</p>		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	<p>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</p>	<p>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).</p>	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

Item	Records Description		Disposition Instruction	Disposition Authority
161	<p>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.</p>	<p>Records of Privacy Impact Assessments (PIAs).</p>	<p>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.</p>	<p>DAA-GRS-2016-0003-0004</p>
170	<p>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.</p>		<p>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.</p>	<p>DAA-GRS-2016-0003-0005</p>
180	<p>Virtual public access library records. Records published by an agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:</p> <ul style="list-style-type: none"> • final concurring and dissenting opinions and orders agencies issue when adjudicating cases • statements of policy and interpretations the agency adopts but does not publish in the <i>Federal Register</i> • administrative staff manuals and instructions to staff that affect a member of the public • copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times • indexes of agency major information systems 		<p>Temporary. Destroy when no longer needed.</p>	<p>DAA-GRS-2016-0008-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • descriptions of agency major information and record locator systems • handbooks for obtaining various types and categories of agency public information <p>Exclusion: This item refers only to copies an agency publishes on line for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.</p> <p>Not media neutral. Applies to electronic records only.</p>		
<p>Controlled Unclassified Information (CUI) program records. Exclusion: Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).</p>			
190	<p>CUI program implementation records. Records of overall program management. Includes:</p> <ul style="list-style-type: none"> • records documenting the process of planning agency policy and procedure • agency submissions to the CUI Executive Agent of authorities (laws, federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI • agency submissions to the CUI Executive Agent of proposed laws, federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI • correspondence with CUI Executive Agent <p>Exclusion 1: CUI directives and formal policy documents (agencies must schedule these separately).</p> <p>Exclusion 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these).</p> <p>Exclusion 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0001-0005</p>
191	<p>CUI information sharing agreements. Agreements in which agencies agree to share CUI with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI.</p>	<p>Temporary. Destroy 7 years after canceled or superseded, but longer retention is</p>	<p>DAA-GRS-2019-0001-0006</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.	authorized if required for business use.	
192	Records of waivers of CUI requirements. Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.	Temporary. Destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0007
193	Records of requests for decontrol and challenges to CUI designations. Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.	Records filed with the record-keeping copy of the CUI-marked records.	Follow the disposition instructions approved for the records at issue.
194		Records filed separately from the record-keeping copy of the CUI-marked records.	Temporary. Destroy 6 years after change in CUI status, but longer retention is authorized if required for business use.
195	Records of CUI misuse. Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions. Exclusion: If the agency assigns such investigations to its Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.	Temporary. Destroy 5 years after completing the investigation or completing all corrective actions, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0009

GENERAL RECORDS SCHEDULE 4.4: Library Records

Agency library and information centers collect material related to their agency’s mission or focus. This schedule only applies to library or information centers within agencies, not agencies that are themselves libraries. 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 agency library and information center administration and daily operations.

Exclusions:

1. Records of standalone libraries such as the Presidential libraries, the Library of Congress, the National Agricultural Library, the National Library of Education, the National Library of Medicine, and the National Transportation Library.
2. Non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserve only for convenient reference, and stocks of publications and processed documents.
3. Unique or special collections of data, technical information, or other records, which agencies must schedule based on their content.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Library administrative records. Records documenting a library’s planning and management. Records may document library policies, procedures, and statistics. Includes records such as:</p> <ul style="list-style-type: none"> ● 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 <p>Note: For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.</p>	<p>Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.</p>	DAA-GRS-2015-0003-0001
020	<p>Library operations records. Records documenting the daily activities of running a library. Includes:</p> <ul style="list-style-type: none"> ● 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 	<p>Temporary. Destroy when business use ceases.</p>	DAA-GRS-2015-0003-0002

Item	Records Description	Disposition Instruction	Disposition Authority
030	Inter Library-Loan (ILL) requests.	Temporary. Destroy 5 years after completing the transaction.	DAA-GRS-2015-0003-0003

GENERAL RECORDS SCHEDULE 5.3: Continuity and Emergency Planning Records

This schedule covers records related to federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or controlled unclassified information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

This schedule does not include the following:

- external emergency planning records related to providing emergency response and recovery services to the public
- records related to high-level Government-wide Continuity of Government (COG) planning
- emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes
- records related to a national disaster or incident response

These records may be of permanent value and must be scheduled on an agency-specific records schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Continuity planning and related emergency planning files.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • records on continuity and emergency planning administrative and operational activities: <ul style="list-style-type: none"> ○ briefing materials and presentations ○ status reports ○ informational papers ○ files documenting policy or plan development, including policy studies ○ procedures, operational manuals, and related development records ○ implementation guidance ○ related correspondence ○ Memorandum (s) of Understanding ○ Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to: <ul style="list-style-type: none"> ○ Continuity of Operations (COOP) plans ○ Devolution Plans 	<p>Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0004-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ Occupant Emergency Plans (OEP) ○ Emergency Action Plans (EAP) ○ Facility Emergency Action Plans (FEAPS) ○ Records Emergency Plans (REMT) ○ Disaster Recovery Plans (DRP) ○ Pandemic Influenza Plans ● records on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ instructions to members participating in tests ○ staffing assignments ○ records of tests of communications and facilities ● evaluative reports on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ result reports ○ readiness reports ○ risk and vulnerability assessments ○ site evaluations and inspections ○ corrective action plans ○ after action reports/improvement plans <p>Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p>Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</p> <p>Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</p>		

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</p>		
020	<p>Employee emergency contact information. Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.</p> <p>Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020).</p>	<p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.</p>	DAA-GRS-2016-0004-0002

GENERAL RECORDS SCHEDULE 5.6: Security Management Records

Security Management involves the physical protection of an organization’s personnel, assets, and facilities (including security clearance management). Activities include: security operations for protecting agency facilities, staff, and property; managing personnel security; and insider threat protection.

Conditions and Exclusions

The following conditions and exclusions apply to all disposition authorities in this schedule.

1. Agencies must offer any records covered by this schedule that were created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule, except records covered by items 120 and 130. Agencies must offer records covered by items 120 and 130 to the National Archives if they were created prior to January 1, 1939.
2. This schedule does not apply to records related to federal law enforcement activities and federal correctional activities (including records about their uniforms and equipment, body camera records, criminal surveillance records, records on accidents or incidents in incarceration or detention facilities, etc). Law enforcement and correctional functions differ from security functions and include border and transportation security and immigration and naturalization services. For additional description of these activities, see the FAQs for GRS 5.6. Agencies engaging in these activities must schedule such records on agency-specific schedules.
3. This schedule does not apply to records related to securing data and information systems. GRS 3.2, Information Systems Security Records, covers such records.
4. This schedule does not apply to records about protecting and accessing information. GRS 4.2, Information Access and Protection Records, covers such records.

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p>Security management administrative records. Records about routine facility security, protective services, and personnel security program administration not covered elsewhere in this schedule. Includes:</p> <ul style="list-style-type: none"> • administrative correspondence • reports, including status reports on cleared individuals • staffing level and work planning assessments, such as guard assignment records • administrative subject files 	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2021-0001-0001	
020	<p>Key and card access accountability records. Records accounting for keys and electronic access cards.</p>	<p>Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	Temporary. Destroy 3 years after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0002

Item	Records Description	Disposition Instruction	Disposition Authority
021	<p>All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p>Temporary. Destroy 6 months after return of key, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0003</p>
030	<p>Security uniform and equipment tracking records. Records tracking uniforms and equipment issued to security management personnel, including:</p> <ul style="list-style-type: none"> ● firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) ● communication devices issued to security personnel, such as mobile radios and walkie-talkies ● body armor such as bullet-proof vests ● police baton and holder ● handcuffs and keys <p>Exclusion: Does not apply to uniform and equipment tracking records for federal law enforcement and correctional officers. federal law enforcement includes border and transportation security and immigration and naturalization services.</p>	<p>Temporary. Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2021-0001-0002</p>
040	<p>Property pass records. Records authorizing removal of government and privately owned property or materials off premises owned or leased by the federal government. Also includes hand receipts when used by staff to physically remove property.</p>	<p>Temporary. Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0005</p>
050	<p>Records of credit card abuse and postal irregularities. Records about irregularities in handling mail and improper use or misuse of telephone calling cards and government charge or purchase cards. Includes:</p> <ul style="list-style-type: none"> ● postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail ● semi-annual reports on government charge card violations <p>Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.</p>	<p>Temporary. Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0006</p>

Item	Records Description		Disposition Instruction	Disposition Authority	
060	<p>Unclaimed personal property records. Records accounting for non-government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the federal government. Includes:</p> <ul style="list-style-type: none"> ● lost-and-found logs and release forms ● loss statements 		<p>Records for property valued over \$500.</p> <p>Legal Citation: 41 CFR 102-41.130</p>	<p>Temporary. Destroy when 3 years old or 3 years after the date title to the property vests in the government, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0007</p>
061	<ul style="list-style-type: none"> ● receipts ● reports 		<p>Records for property valued at \$500 or less.</p> <p>Legal citation: 41 CFR 102-41.130</p>	<p>Temporary. Destroy 30 days after the property is found, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0008</p>
Facility and physical security records.					
070	<p>Interagency Security Committee member records. Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:</p> <ul style="list-style-type: none"> ● agendas ● meeting minutes ● best practice and standards documents ● funding documents for security countermeasures <p>Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.</p>		<p>Temporary. Destroy when 10 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0009</p>	
080	<p>Facility security assessment records. Surveys and inspections of security and safety measures at government or privately owned facilities assigned a security awareness status by government agencies. Includes:</p> <ul style="list-style-type: none"> ● facility notes ● inspector notes and reports 	<p>Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p>Temporary. Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is</p>	<p>DAA-GRS-2017-0006-0010</p>	

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> vulnerability assessments 		authorized if required for business use.	
081		<p>All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p>Temporary. Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0011
090	<p>Facility security management operations records. Records about detecting potential security risks, threats, or prohibited items carried onto federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> control center key or code records registers of patrol and alarm services service reports on interruptions and tests emergency alarm contact call lists temporary identification cards correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date round and perimeter check reports, including facility patrol tour data surveillance records that do not document accidents or incidents <ul style="list-style-type: none"> recordings of protective mobile radio transmissions video surveillance recordings closed circuit television (CCTV) records door slip summaries <p>Exclusions: The following records are excluded and must be scheduled on agency-specific schedules:</p>		<p>Temporary. Destroy when 30 days old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2021-0001-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	<ol style="list-style-type: none"> 1. Records related to federal law enforcement and federal correctional activities, such as body camera recordings and criminal surveillance records. federal law enforcement includes border and transportation security and immigration and naturalization services. 2. Records related to accident or incident investigations (see note 1 below). Surveillance recordings that include accidents or incidents may be destroyed using this disposition authority provided a copy is retained in the accident or incident investigation records. <p>Notes:</p> <ol style="list-style-type: none"> 1. Item 100 covers records of accidents and incidents. 2. Items 110 and 111 cover records of visitor processing. 		
100	<p>Accident and incident records. Records documenting accidents and incidents occurring on, in, or at government-owned or -leased facilities, vehicles (land, water, and air), and property used by federal agencies. Includes:</p> <ul style="list-style-type: none"> ● statements of witnesses ● warning notices ● records about arrests, commitments, and traffic violations ● accident and incident reports ● law enforcement agency requests for information <p>Exclusions:</p> <ol style="list-style-type: none"> 1. Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by federal agencies, including leased aircraft used by federal agencies. The FAA and NTSB cover these records under agency-specific schedules. 2. Records related to federal law enforcement and federal correctional activities. Federal law enforcement includes border and transportation security and immigration and naturalization services. Agencies that create these records must schedule them on agency-specific schedules. 3. Records of accidents or incidents in federal facilities involved in incarcerating or detaining individuals. Agencies that create these records must schedule them on agency-specific schedules. 4. Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records. 5. Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records. 	<p>Temporary. Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	DAA-GRS-2021-0001-0004

Item	Records Description		Disposition Instruction	Disposition Authority
110	<p>Visitor processing records. Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.</p>	<p>Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p>Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0014</p>
111	<p>Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.</p>	<p>All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p>Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0015</p>
120	<p>Personal identification credentials and cards. Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to federally controlled government facilities, and logical access to government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p> <p>Exclusion: Records of certain classes of government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542. Agencies must schedule these records on agency-specific schedules.</p>	<p>Application and activation records. Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> ● application for identification card ● a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected ● lost or stolen credential documentation or police report <p>Note 1: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p> <p>Note 2: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.</p>	<p>Temporary. Destroy 6 years after the end of an employee or contractor's tenure, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2021-0001-0005</p>

Item	Records Description		Disposition Instruction	Disposition Authority
121	Cards.		Temporary. Destroy after expiration, confiscation, or return.	DAA-GRS-2017-0006-0017
130	<p>Temporary and local facility identification and card access records. Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> ● temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance ● supplemental cards issued to access elevators ● personnel identification records stored in an identity management system for temporary card issuance ● parking permits <p>Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>		Temporary. Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2021-0001-0006
140	<p>Sensitive Compartmented Information Facility (SCIF) accreditation records. Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> ● initial Fixed Facility Checklist ● pre-accreditation inspection report ● Construction Security Plan (CSP) ● TEMPEST Checklist 		Temporary. Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0019
150	<p>Sensitive Compartmented Information Facility (SCIF) inspection records. Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> ● Fixed Facility Checklists ● accreditation authorization documents ● inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation ● operating procedures ● Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters ● memoranda of agreements (MOAs) ● Emergency Action Plans 		Temporary. Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0020

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ● copies of any waivers granted by the Cognizant Security Authority (CSA) ● co-utilization approvals 			
160	<p>Canine (K-9) service records. Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> ● acquisition records ● breeder and lineage records ● vaccination and medical history records ● microchip number and identification records ● deficiencies/remedies ● training courses taken and resulting grades and certifications ● initial report of positive detections and bite incidents ● end-of-service documentation (through retirement or death) 		<p>Temporary. Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0021
Personnel security records.				
170	<p>Personnel security investigative reports. Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.</p>	<p>Personnel suitability and eligibility investigative reports.</p>	<p>Temporary. Destroy in accordance with the investigating agency instruction.</p>	DAA-GRS-2017-0006-0022
171		<p>Reports and records created by agencies conducting investigations under delegated investigative authority.</p>	<p>Temporary. Destroy in accordance with delegated authority agreement or memorandum of understanding.</p>	DAA-GRS-2017-0006-0023
180	<p>Personnel security and access clearance records. Records about security clearances, and other clearances for access to government facilities or to controlled unclassified information, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:</p> <ul style="list-style-type: none"> ● questionnaires 	<p>Records of people not issued clearances. Includes case files of applicants not hired.</p> <p>Exclusion: Copies of investigative reports covered in items 170 and 171.</p>	<p>Temporary. Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.</p>	DAA-GRS-2021-0001-0007

Item	Records Description	Disposition Instruction	Disposition Authority	
181	<ul style="list-style-type: none"> ● summaries of reports prepared by the investigating agency ● documentation of agency adjudication process and final determination <p>Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.</p>	<p>Records of people issued clearances.</p> <p>Exclusion: Copies of investigative reports covered in items 170 and 171.</p>	<p>Temporary. Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.</p>	DAA-GRS-2021-0001-0008
190	<p>Index to the personnel security case files. Lists or reports showing the current security clearance status of individuals.</p>	<p>Temporary. Destroy when superseded or obsolete.</p>	DAA-GRS-2017-0006-0026	
200	<p>Information security violations records. Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.</p> <p>Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.</p> <p>Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p>Temporary. Destroy 5 years after close of case or final action, whichever occurs sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0027	
Insider threat records.				
210	<p>Insider threat administrative and operations records. Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> ● correspondence related to data gathering ● briefing materials and presentations ● status reports ● procedures, operational manuals, and related development records ● implementation guidance ● periodic inventory of all information, files, and systems owned ● plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> ○ independent and self-assessments 	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0028	

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ corrective action plans ○ evaluative reports <p>Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.</p>		
220	<p>Insider threat inquiry records. Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p> <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	Temporary. Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0029
230	<p>Insider threat information. Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <ul style="list-style-type: none"> ● Counterintelligence and security information <ul style="list-style-type: none"> ○ personnel security files ○ polygraph examination reports ○ facility access records, including visitor records ○ security violation files ○ travel records ○ foreign contact reports ○ financial disclosure filings ○ referral records ○ intelligence records ● Information assurance information <ul style="list-style-type: none"> ○ personnel usernames and aliases ○ levels of network access ○ levels of physical access ○ enterprise audit data which is user attributable ○ unauthorized use of removable media ○ print logs ● Human resources information 	Temporary. Destroy when 25 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0030

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ personnel files ○ payroll and voucher files ○ outside work and activities requests ○ disciplinary files ○ personal contact records ○ medical records/data ● Investigatory and law enforcement information <ul style="list-style-type: none"> ○ statements of complainants, informants, suspects, and witnesses ○ agency, bureau, or department data ● Public information <ul style="list-style-type: none"> ○ court records ○ private industry data ○ personal biographical and identification data, including U.S. Government name check data ○ generic open source and social media data <p>Exclusion: Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>		
240	<p>Insider threat user activity monitoring (UAM) data. User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:</p> <ul style="list-style-type: none"> ● identify and evaluate anomalous activity involving National Security Systems (NSS) ● identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders ● support authorized inquiries and investigations <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p> <p>Legal authority: CNSSD No. 504, 4 February 2014</p>	<p>Temporary. Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0031

GENERAL RECORDS SCHEDULE 5.7: Administrative Management and Oversight Records

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

Exclusions and Conditions

1. Excluded from this schedule are records about management and oversight of non-administrative activities, including agency mission-related performance management records, strategic plans, risk management records, audit records, organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories.
2. Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Administrative Internal Controls			
010	<p>Administrative internal control management records. Records related to internal evaluations of accounting and administrative controls, mandated or governed by: OMB Circulars A-123, A-130, and A-76; Government Accountability Office’s (GAO) Standards for Internal Control in the Federal Government (the “Green Book”); and similar requirements or directives. Includes:</p> <ul style="list-style-type: none"> ● copies of internal and external directives outlining management control policy ● management control plans and records of the planning process ● comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements ● reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions ● feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) ● records tracking assignments, tasks, and responsibilities ● related correspondence <p>Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).</p>	<p>Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2020-0001-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p>Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).</p>		
020	<p>Internal control review, response, and mitigation management records. Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p>Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).</p>	<p>Temporary. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0002
Administrative Policy, Standards, and Guidelines			
030	<p>Administrative directives and notices. Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.</p> <p>Exclusion: Documents related to mission activities (agencies schedule these separately).</p>	<p>Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later.</p>	DAA-GRS-2017-0008-0003
Administrative Results Management and Reporting			
040	<p>Administrative management report requirements records. Processing and submission files on mandatory management reports an agency creates or proposes. Includes:</p> <ul style="list-style-type: none"> • copies of authorizing directives • preparation instructions • descriptions of required or standardized formats • clearance forms • documents on evaluating, continuing, revising, and discontinuing reporting requirements. 	<p>Temporary. Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.</p>	DAA-GRS-2020-0001-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>This item applies only to management reports related to administrative activities.</p> <p>Exclusion: Final reports created using these requirements. Use GRS 5.7, item 050, for mandatory reports related to administrative matters.</p>		
050	<p>Mandatory reports to external federal entities regarding administrative activities. Agency-level reports that external federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA), require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements, and the FAIR Act. Examples include:</p> <ul style="list-style-type: none"> ● Agency Financial Report (AFR) ● Statement of Assurance (per FMFIA), or equivalent ● information collection clearances ● report on financial management systems' compliance with requirements (per FMFIA), or equivalent ● report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) ● EEOC reports ● Analysis and Action Plans and other reports required by EEOC's MD 715 ● No FEAR Act reports ● service organization auditor report, or equivalent ● improper payments report ● premium class travel report ● report on property provided to non-federal recipients, schools, and nonprofit educational institutions ● feeder reports to the Status of Telework in the Federal Government Report to Congress ● feeder reports to GSA fleet reports <p>Includes ancillary records such as:</p> <ul style="list-style-type: none"> ● background and research records ● submission packets and compilations ● related files <p>Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.</p>	<p>Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2020-0001-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 2: Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately).</p> <p>Exclusion 3: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040, cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080, covers these).</p>		
060	<p>Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction. Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof.</p> <p>Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).</p> <p>Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).</p>	<p>Temporary. Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0006
Records Related to the <i>Federal Register</i>			
070	<p><i>Federal Register</i> notices other than proposed and final rules. Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency's seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.</p> <p>Note 1: SORNs <i>per se</i> are covered by GRS 4.2, item 150.</p>	<p>Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0012-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Note 2: PRA Information Collection reports are covered by GRS 5.7, item 050.</p> <p>Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.</p>		
080	<p>Agency input into the unified agenda. Records that process agency input into the publication of:</p> <ul style="list-style-type: none"> ● The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the “unified agenda” or “semiannual regulatory agenda”) published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) ● agency regulatory flexibility agendas ● The Regulatory Plan <p>Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.</p>	<p>Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0005</p>