

# DAA-GRS-2013-0001

This file contains three documents. The “ERA Version” of the schedule is the official version as it appears in the Electronic Records Archives. Its presentation is heavily fielded to ERA architecture. You may find the “Review Version” (the format that will appear when the approved schedule is published online) easier to read. Both versions contain the same information. The Appraisal Memorandum provides additional background explanation and includes the appraiser’s justification for the retention decisions proposed in the schedule.

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National Archives and Records Administration  
Office of the Chief Records Officer  
GRS Team  
May 1, 2013

## Request for Records Disposition Authority

Records Schedule Number	DAA-GRS-2013-0001
Schedule Status	Appraiser Working Version
Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record Group / Scheduling Group	General Records Schedules
Records Schedule applies to	Government-wide
Schedule Subject	Input Records, Output Records, and Electronic Copies
Internal agency concurrences will be provided	No

### Background Information

This schedule provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. Not covered by this schedule are electronic master files. The content of electronic master files varies and therefore this type of record must be scheduled based on the value of that content. Some electronic master file content may be covered by other General Records Schedules. Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that have been converted to an electronic format. Electronic versions of special media records such as these often do not adequately replace the original and therefore the original records may not be destroyed as "input records."

This schedule also references instructions in 36 CFR 1225.24 for applying previously approved disposition authorities to electronic versions of records and instructions from 36 CFR 1225.22 for when previously approved disposition authorities cannot be applied to permanent hardcopy/analog source records.

Computer software—the set of programs, procedures, and routines associated with the operation of a computer system, including the operating system—is a non-record and does not require a schedule. However, it needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

Some records covered by items in this schedule are authorized for destruction when the agency determines that they are no longer needed. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval of more specific disposition instructions is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Related records are covered in other General Records Schedules. For disposition of records related to the design and development of electronic systems, see GRS 3.1 System Development. For records related to maintenance and operation of electronic systems, including system documentation, see GRS 3.2 Information Technology Infrastructure and Maintenance. Finding aids and indexes related to electronic records are scheduled in GRS 4.1 Records and Information Management.

Item Count

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

GAO Approval

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

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

## Records Schedule Items

Sequence Number	
1	<p><b>Input/Source Records</b> Input records are records that are not part of the electronic system itself, but are the source of the information in an electronic system. They are records used to create, update, or modify master files. Input records may be electronic files or hard copy (non-electronic) documents.</p>
1.1	<p><b>Hardcopy or Analog Input/Source Records</b> The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be included are: • Hard copy forms used for data input • Hard copy documents that are scanned into an electronic recordkeeping system • Hard copy or analog still pictures, sound recordings, motion picture film, or video recordings (unless unscheduled or scheduled as permanent)</p>
1.1.1	<p><b>Hardcopy or analog records previously scheduled as TEMPORARY</b> Disposition Authority Number      <b>DAA-GRS-2013-0001-0001</b></p> <p>Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system. NOTES: (1) For temporary records you may apply the disposition from the original schedule to the electronic version of the records if: • The records are scheduled as temporary on an approved media neutral schedule. All schedules submitted after December 17, 2007 are considered media neutral unless they state otherwise. Schedules prior to this date must indicate that they are media neutral. (36 CFR 1225.24(d)(2)) • The records are scanned. (36 CFR 1225.24(c)) • The records are digital versions of still pictures, sound recordings, motion picture film, or video recordings. (36 CFR 1225.24(b)) • The records are covered by a temporary GRS item other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files); and GRS 25 (Ethics Program Records). (36 CFR 1225.24(d)(1)) • The records are administrative housekeeping records scheduled as temporary on an approved agency schedule. (36 CFR 1225.24(d)(1)) • Copies of previously scheduled (on a GRS or agency schedule) administrative housekeeping records maintained on an agency web site. (36 CFR 1225.22(h)(3)) • The records consist of information drawn from multiple previously scheduled hardcopy series of administrative housekeeping records. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules. (36 CFR 1225.24(d)(1)) If the electronic records do not fall into any of the above categories, then you must submit a new schedule to cover the electronic records prior to destroying hardcopy input records. (36 CFR 1225.22(h)(4)) (2) You MAY</p>

NOT apply a previously approved schedule (media neutral or not) to copies of program records maintained on agency web sites. These records must be scheduled separately.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation Applies to hardcopy or analog records only.

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

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

#### Disposition Instruction

Retention Period Destroy immediately after verification of successful conversion or when no longer needed, whichever is later.

#### Additional Information

GAO Approval Not Required

1.1.2

Hardcopy or analog records previously scheduled as PERMANENT

Disposition Authority Number DAA-GRS-2013-0001-0002

Hardcopy or analog records previously scheduled as permanent used to create, update, or modify electronic records incorporated in their entirety into an electronic system in accordance with NARA's electronic records standards. EXCLUSIONS: The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule. (1) Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2)) (2) Hardcopy records when the electronic versions do not meet NARA's electronic records standards. (3) Hardcopy records that are not incorporated in their entirety into an electronic system. (4) Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. NOTES: (1) For permanent records an agency may apply the disposition from the original schedule to the electronic records after providing NARA notification, including cases where the electronic records consist of information drawn from multiple previously scheduled permanent series (36 CFR 1225.24(a)(1)). However, EXCLUDED are copies of permanent records maintained on agency web sites, which must be scheduled separately (36 CFR 1225.22(h)(3)). (2) In cases where the electronic records include information drawn from both

temporary and permanent hard copy series, an agency may apply the previously approved permanent schedule or submit an SF 115 that proposes disposal of the records if the agency believes the electronic records do not warrant permanent retention (36 CFR 1225.24(a)(2)).

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation Applies to hardcopy or analog records only.

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

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

#### Disposition Instruction

Retention Period Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion or when no longer needed, whichever is later.

#### Additional Information

GAO Approval Not Required

1.1.3

Hardcopy or analog records NOT previously scheduled

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

Hardcopy or analog records, not previously scheduled, used to create, update, or modify electronic records incorporated in their entirety into an electronic system. EXCLUSIONS: (1) Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation Applies only to hardcopy or analog records.

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

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

1.2

Disposition Instruction

Retention Period Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion or when no longer needed, whichever is later.

Additional Information

GAO Approval Not Required

Electronic Input/Source Records

Disposition Authority Number DAA-GRS-2013-0001-0004

Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including: • Electronic files that duplicate information from a source electronic system for input into another electronic system. • Electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions). • Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. • Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.  
EXCLUSIONS: (1) Original electronic records maintained in the source system. (2) Electronic input records required for audit and legal purposes. (3) Electronic Input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? No

Explanation of limitation Applies to electronic records only.

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

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

GRS or Superseded Authority Citation  
N1-GRS-87-5, item 1b  
N1-GRS-87-5, item 2b  
N1-GRS-87-5, item 2c  
N1-GRS-87-5, item 2d  
N1-GRS-95-2, item 12c

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Disposition Instruction

Retention Period Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified.

Additional Information

GAO Approval Not Required

Output Records

Output records are records derived directly from the system master file. An example is a report that agency staff print from the system by clicking on a field or radio button in the system. By contrast, reports created using system information but not created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system. EXCLUSIONS: (1) Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled. (2) Any hard copy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.

2.1

Ad hoc reports

Disposition Authority Number DAA-GRS-2013-0001-0005

Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems. EXCLUSIONS: (1) Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials). (2) Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed.)

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

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

2.2

Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-GRS-95-2, item 12a N1-GRS-95-2, item 12b N1-GRS-07-4, item 3.2
<b>Disposition Instruction</b>	
Retention Period	Destroy when no longer needed
<b>Additional Information</b>	
GAO Approval	Not Required
<b>Data File Outputs</b>	
Disposition Authority Number	DAA-GRS-2013-0001-0006
<p>Data files or copies of electronic records created from system master files or electronic records for the purposes of information sharing or reference, including:</p> <ul style="list-style-type: none"> <li>• Data files consisting of summarized information (See exclusions)</li> <li>• Electronic files consisting of extracted information (See exclusions)</li> <li>• Print file (electronic files extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.)</li> <li>• Technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions)</li> </ul> <p><b>EXCLUSIONS:</b> (1) Data files that are created as disclosure-free files to allow public access to the data (2) Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exists or can no longer be accessed (3) Data extracts produced by an extraction process which changes the informational content of the source master file or data base (4) Technical reformat files created for transfer to NARA</p>	
Final Disposition	Temporary
Item Status	Pending
Is this item media neutral?	No
Explanation of limitation	Applies to electronic records only.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-GRS-95-2, item 4 N1-GRS-95-2, item 5 N1-GRS-95-2, item 6

3	N1-GRS-95-2, item 7	
	Disposition Instruction	
	Retention Period	Destroy when no longer needed
	Additional Information	
	GAO Approval	Not Required
	Non-recordkeeping copies of electronic records	
	Disposition Authority Number	DAA-GRS-2013-0001-0007
	<p>Copies of electronic records after they have been copied to an electronic or hardcopy recordkeeping system or otherwise preserved. This includes:</p> <ul style="list-style-type: none"> <li>• Documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent</li> <li>• Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic or hardcopy recordkeeping system or otherwise preserved</li> <li>• Electronic spreadsheets</li> <li>• Digital video or audio files</li> <li>• Digital maps or architectural drawings</li> <li>• Copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves.</li> </ul> <p>NOTES: (1) For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text.</p>	
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	No
	Explanation of limitation	Applies to electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes	
GRS or Superseded Authority Citation	N1-GRS-95-2, item 13 N1-GRS-95-2, item 14 N1-GRS-95-2, item 15a N1-GRS-95-2, item 15b	
Disposition Instruction		

Retention Period

Delete when no longer needed after copying to a recordkeeping system or preservation repository.

Additional Information

GAO Approval

Not Required

## Agency Certification

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

## Signatory Information

Date	Action	By	Title	Organization
04/30/2013	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services

## Executive Summary

Summary

Permanent Item Numbers

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

NOTE: This schedule is intended to be used as an alternate review version of a Request for Records Disposition Authority submitted for approval in the Electronic Records Archive (ERA). This version contains the same information that is in ERA with one exception, it has provided hierarchical overview and item numbers. These numbers reflect the manual citation numbers that will appear in the manual version of the GRS published on NARA's website.

## REQUEST FOR RECORDS DISPOSITION AUTHORITY

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

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

**Records Group:** General Records Schedules

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

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

### Background Information:

This schedule provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. Not covered by this schedule are electronic master files. The content of electronic master files varies and therefore this type of record must be scheduled based on the value of that content. Some electronic master file content may be covered by other General Records Schedules. Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that have been converted to an electronic format. Electronic versions of special media records such as these often do not adequately replace the original and therefore the original records may not be destroyed as "input records."

This schedule also references instructions in 36 CFR 1225.24 for applying previously approved disposition authorities to electronic versions of records and instructions from 36 CFR 1225.22 for when previously approved disposition authorities cannot be applied to permanent hardcopy/analog source records.

Computer software—the set of programs, procedures, and routines associated with the operation of a computer system, including the operating system—is a non-record and does not require a schedule. However, it needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

Some records covered by items in this schedule are authorized for destruction when the agency determines that they are no longer needed. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific

disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval of more specific disposition instructions is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Related records are covered in other General Records Schedules. For disposition of records related to the design and development of electronic systems, see GRS 3.1 System Development. For records related to maintenance and operation of electronic systems, including system documentation, see GRS 3.2 Information Technology Infrastructure and Maintenance. Finding aids and indexes related to electronic records are scheduled in GRS 4.1 Records and Information Management.

### **1. Input/Source Records**

Input records are records that are not part of the electronic system itself, but are the source of the information in an electronic system. They are records used to create, update, or modify master files. Input records may be electronic files or hard copy (non-electronic) documents.

#### **a. Hardcopy or Analog Input/Source Records**

The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be included are:

- Hard copy forms used for data input
- Hard copy documents that are scanned into an electronic recordkeeping system
- Hard copy or analog still pictures, sound recordings, motion picture film, or video recordings (unless unscheduled or scheduled as permanent)

#### **(1) Hardcopy or analog records previously scheduled as TEMPORARY**

Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.

#### **NOTES:**

(1) For temporary records you may apply the disposition from the original schedule to the electronic version of the records if:

- The records are scheduled as temporary on an approved media neutral schedule. All schedules submitted after December 17, 2007 are considered media neutral unless they state otherwise. Schedules prior to this date must indicate that they are media neutral. (36 CFR 1225.24(d)(2))
- The records are scanned. (36 CFR 1225.24(c))
- The records are digital versions of still pictures, sound recordings, motion picture film, or video recordings. (36 CFR 1225.24(b))

- The records are covered by a temporary GRS item other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files); and GRS 25 (Ethics Program Records). (36 CFR 1225.24(d)(1))
- The records are administrative housekeeping records scheduled as temporary on an approved agency schedule. (36 CFR 1225.24(d)(1))
- Copies of previously scheduled (on a GRS or agency schedule) administrative housekeeping records maintained on an agency web site. (36 CFR 1225.22(h)(3))
- The records consist of information drawn from multiple previously scheduled hardcopy series of administrative housekeeping records. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules. (36 CFR 1225.24(d)(1))

If the electronic records do not fall into any of the above categories, then you must submit a new schedule to cover the electronic records prior to destroying hardcopy input records. (36 CFR 1225.22(h)(4))

(2) You MAY NOT apply a previously approved schedule (media neutral or not) to copies of program records maintained on agency web sites. These records must be scheduled separately.

**Disposition:** Temporary. Destroy immediately after verification of successful conversion or when no longer needed, whichever is later.

**Disposition Authority:** DAA-GRS-2013-0001-0001

**Media Neutral:** No. Applies to hardcopy or analog records only.

**Supersedes:** N1-GRS-07-4, item 2a4 (GRS 20, item 2a4)—in part

**GAO Approval:** Not required.

## (2) Hardcopy or analog records previously scheduled as PERMANENT

Hardcopy or analog records previously scheduled as permanent used to create, update, or modify electronic records incorporated in their entirety into an electronic system in accordance with NARA's electronic records standards.

### EXCLUSIONS:

The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule.

(1) Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2))

(2) Hardcopy records when the electronic versions do not meet NARA's electronic records standards.

- (3) Hardcopy records that are not incorporated in their entirety into an electronic system.
- (4) Original hardcopy still pictures, graphic materials/posters , aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.

NOTES:

- (1) For permanent records an agency may apply the disposition from the original schedule to the electronic records after providing NARA notification, including cases where the electronic records consist of information drawn from multiple previously scheduled permanent series (36 CFR 1225.24(a)(1)). However, EXCLUDED are copies of permanent records maintained on agency web sites, which must be scheduled separately (36 CFR 1225.22(h)(3)).
- (2) In cases where the electronic records include information drawn from both temporary and permanent hard copy series, an agency may apply the previously approved permanent schedule or submit an SF 115 that proposes disposal of the records if the agency believes the electronic records do not warrant permanent retention (36 CFR 1225.24(a)(2)).

**Disposition:** Temporary. Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion or when no longer needed, whichever is later.

**Disposition Authority:** DAA-GRS-2013-0001-0002

**Media Neutral:** No. Applies to hardcopy or analog records only.

**Supersedes:** N1-GRS-07-4, item 2a4 (GRS 20, item 2a4)—in part

**GAO Approval:** Not required.

**(3) Hardcopy or analog records NOT previously scheduled**

Hardcopy or analog records, not previously scheduled, used to create, update, or modify electronic records incorporated in their entirety into an electronic system.

EXCLUSIONS:

- (1) Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.

**Disposition:** Temporary. Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion or when no longer needed, whichever is later.

**Disposition Authority:** DAA-GRS-2013-0001-0003

**Media Neutral:** No. Applies to hardcopy or analog records only.

**Supersedes:** N1-GRS-07-4, item 2a4 (GRS 20, item 2a4)—in part

**GAO Approval:** Not required.

**b. Electronic Input/Source Records**

Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:

- Electronic files that duplicate information from a source electronic system for input into another electronic system.
- Electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions).
- Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.
- Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

**EXCLUSIONS:**

- (1) Original electronic records maintained in the source system.
- (2) Electronic input records required for audit and legal purposes.
- (3) Electronic Input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

**Disposition:** Temporary. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified.

**Disposition Authority:** DAA-GRS-2013-0001-0004

**Media Neutral:** No. Applies to electronic records only.

**Supersedes:** N1-GRS-87-5, items 1b, 2b, 2c, and 2d; N1-GRS-95-2, item 12c (GRS 20, items 1b, 2b, 2c, 2d, and 12c)

**GAO Approval:** Not required.

**2. Output Records**

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

**EXCLUSIONS:**

- (1) Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or

an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.

(2) Any hard copy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.

**a. Ad hoc reports**

Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.

**EXCLUSIONS:**

(1) Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).

(2) Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed.)

**Disposition:** Temporary. Destroy when no longer needed.

**Disposition Authority:** DAA-GRS-2013-0001-0005

**Media Neutral:** Yes.

**Supersedes:** N1-GRS-95-2, items 12a and 12b; N1-GRS-07-4, item 3.2 (GRS 20, item 12a, 12b, and 16)

**GAO Approval:** Not required.

**b. Data File Outputs**

Data files or copies of electronic records created from system master files or electronic records for the purposes of information sharing or reference, including:

- Data files consisting of summarized information (See exclusions)
- Electronic files consisting of extracted information (See exclusions)
- Print file (electronic files extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.)
- Technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions)

**EXCLUSIONS:**

(1) Data files that are created as disclosure-free files to allow public access to the data

- (2) Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exists or can no longer be accessed
- (3) Data extracts produced by an extraction process which changes the informational content of the source master file or data base
- (4) Technical reformat files created for transfer to NARA

**Disposition:** Temporary. Destroy when no longer needed.

**Disposition Authority:** DAA-GRS-2013-0001-0006

**Media Neutral:** No. Applies to electronic records only.

**Supersedes:** N1-GRS-95-2, items 4-7 (GRS 20, items 4-7)

**GAO Approval:** Not required.

### 3. Non-recordkeeping copies of electronic records

Copies of electronic records after they have been copied to an electronic or hardcopy recordkeeping system or otherwise preserved. This includes:

- Documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent
- Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic or hardcopy recordkeeping system or otherwise preserved
- Electronic spreadsheets
- Digital video or audio files
- Digital maps or architectural drawings
- Copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves.

#### NOTES:

(1) For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text.

**Disposition:** Temporary. Delete when no longer needed after copying to a recordkeeping system or preservation repository.

**Disposition Authority:** DAA-GRS-2013-0001-0007

**Media Neutral:** No. Applies to electronic records only.

**Supersedes:** N1-GRS-95-2, items 13, 14, 15a and 15b (GRS 20, items 13-15)

**GAO Approval:** Not required.



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**Date:** April 25, 2013  
**Appraiser:** Andrea M. Riley, ACNR  
**Agency:** General Records Schedules (GRS)  
**Subject:** DAA-GRS-2013-0001

AMR 4/25/13

## INTRODUCTION

### Schedule Overview

Input Records, Output Records, and Electronic Copies

### Additional Background Information

This schedule covers common records related to electronic systems or collections of electronic records such as input or source records, system output records, and non-recordkeeping copies of electronic records. This schedule replaces the previous General Records Schedule 20 with some significant changes and a more limited scope. GRS 20 is titled “Electronic Records,” but we found that it schedules very few actual electronic records and instead is a mishmash of authorities for hardcopy and electronic input and output records, copies of electronic records, records related to system usage and performance, file backups, and system documentation; and many non-disposition authorities for electronic records replacing previously scheduled records. Comments from agencies during our 2012 survey indicated that GRS 20 is very confusing, so we have sought to try to simplify the schedule.

One of the first things we did was to relocate a number of items to more appropriate schedules:

- GRS 20/1a, Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system performance, etc.: Moved to Records Related to Information Technology Infrastructure and System Maintenance (DAA-GRS-2013-0005).
- GRS 20/1c, Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage: Moved to Information Systems Security Records (DAA-GRS-2013-0006).
- GRS 20/8a & 8b, Backups of Files: Moved to Information Systems Security Records (DAA-GRS-2013-0006).
- GRS 20/9, Finding Aids and Indexes: Moved to Records Related to Records and Information Management (DAA-GRS-2013-0002).
- GRS 20/11a1, 11a2a, & 11b, Documentation: Moved to Records Related to Information Technology Infrastructure and System Maintenance (DAA-GRS-2013-0005).

We found that quite a few items were not appropriate for the GRS, including many items that are instructions rather than disposition authorities. We have removed these items from the GRS entirely:

- GRS 20/2a1, 2a2, and 2a3, Input/Source Records - Hard-copy: These three items were removed because they are not actual disposition authorities, but instructions that are exceptions to the general rule that hardcopy inputs can be destroyed after verification of conversion (for temporary records) or upon notification to NARA and verification (for permanent records), or in other words, item 2a4. We're not changing this rule, but simply reformatting how it is presented. These three items now appear as exclusions to item 0002. GRS 20/2a3 is also generally covered by items 0001-0003 in that they explicitly state that the items only apply to records converted to electronic format in their entirety.
- GRS 20/3a, 3b1, 3b3, 3b4, Electronic Versions of Records Scheduled for Disposal and GRS 20/3.1, Electronic Records that Replace Permanent Hard Copy Records: These items have been removed from the GRS because they do not have actual disposition instructions. All are instructions to either apply an existing schedule or to submit a new SF-115. Even though some disposition instructions under old item 3 start with "Delete," the actual instruction says "Delete after the expiration of the retention period authorized for the hard copy records." This instruction is no different than an instruction to apply the existing approved schedule. Additionally, disposition instructions must now start with either "Temporary" or "Permanent." Any instruction to submit a new schedule cannot universally state that the records are either temporary or permanent. That is why a schedule must be submitted—to determine the value of the records. Further, removing these items doesn't mean that the rules as defined in the CFR (where these items originated) do not apply. The regulations still provide guidance on when agencies can apply existing schedules and when they have to reschedule records. We continue to provide this guidance in the GRS in the form of notes to items 0001 and 0002.
- GRS 20/10, Special Purpose Programs: This item was removed because it is for software, which is non-record.

Please note that most of the items on this schedule are NOT media neutral: items 0001, 0002, 0003, 0004, 0006 and 0007. Due to differing disposition instruction requirements, various exclusions, and regulations for applying media neutrality, we determined that it would be too confusing for users if we merged hardcopy and electronic input records (items 0001-0004) into a single media neutral item. Since most of the exclusions are specific to the media of the input record, it made more sense to create media specific items. Similarly, item 0006 is media neutral because of exclusions specific to date file outputs. Moreover, the purpose and function of data file outputs is not the same as ad hoc reports. Finally, item 0007 is media specific because it is meant to only apply to electronic copies. We considered whether a media neutral item could be developed, but determined that the function and purpose of similar hardcopy copies is different enough from the records in this item that it was not appropriate to make this a media neutral item.

The following agencies assisted in the development of this schedule: National Nuclear Security Administration, Merit Systems Protection Board, Federal Reserve System Board, Transportation Security Administration, Western Area Power Administration, Department of Justice, OPIC, Department of Energy – Savannah River Site, NASA, EPA, Bureau of Labor Statistics, Business Operations Center/Department of Labor, National Security Agency, and National Geospatial-Intelligence Agency. The schedule was further refined by comments received from the following agencies: Drug Enforcement Agency, Federal Bureau of Investigation, National Reconnaissance

Office, Army, and the Department of Housing and Urban Development. Schedule development and initial review also included representatives from NARA's custodial units: RDEP and RDTP2, as well as NARA's General Counsel's office.

### **Overall Recommendation**

I recommend approval of this schedule.

### **APPRAISAL**

#### **Item 0001: Input/Source Records - Hardcopy or Analog Input/Source Records - Hardcopy or analog records previously scheduled as TEMPORARY**

#### **Item 0002: Input/Source Records - Hardcopy or Analog Input/Source Records - Hardcopy or analog records previously scheduled as PERMANENT**

#### **Item 0003: Input/Source Records - Hardcopy or Analog Input/Source Records - Hardcopy or analog records NOT previously scheduled**

These items replace GRS 20, item 2a4. We have added language to clarify that the GRS applies only to hardcopy records converted to an electronic format in their entirety. This is not a change from the intent of the current GRS (specifically, GRS 20/2a3 requires application of the original schedule to records that contain information that is not or cannot be captured in the electronic version). The intent has always been that the GRS applies only when there is a one-to-one relationship between information on the hardcopy source record and the electronic record. We have included notes to indicate exclusions to these items similar to what is currently in the GRS. We have also added a new exclusion that the GRS cannot be applied to original permanent or unscheduled special media records used to create electronic versions. Original special media records scheduled as permanent or that might be scheduled as permanent may not be destroyed and must be transferred to NARA because the originals have inherent permanent value (aesthetic quality, visual quality, authenticity, etc.) that can never be matched in the electronic version (which is valuable in other ways).

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary (N1-GRS-07-4, item 2a4/GRS 20, item 2a4).

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. There is no substantial change to the retention of these records. The previous item has been divided into three separate items to reflect different disposition instructions as well as different exclusions and rules related to the application of media neutrality to electronic versions of previously scheduled hardcopy records.

**Media Neutrality:** Not requested. This authority applies to hardcopy/analog records only.

#### **Item 0004: Input/Source Records - Electronic Input/Source Records**

This item combines four items to cover electronic input files. GRS 20/12c was added into this item because it is described as data transferred between computers for the purpose of input, updating, or transaction processing, which fits with the purpose of electronic input records. We have included the same exclusions as were previously noted in the GRS notes for this item.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary (N1-GRS-87-5, item 1b/GRS 20, item 1b; N1-GRS-87-5, item 2b/GRS 20, item 2b; N1-GRS-87-5, item 2c/GRS 20, item 2c; N1-GRS-87-5, item 2d/GRS 20, item 2d; N1-GRS-95-2, item 12c/GRS 20, item 12c).

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The superseded items all have a similar disposition instruction to delete when entered into the master file and verified, or when incorporated into the master file, or when no longer needed for processing. The new disposition is to delete when data have been entered or otherwise incorporated into the master file or database and verified.

**Media Neutrality:** Not requested. This authority applies to electronic records only.

#### **Item 0005: Output Records - Ad hoc reports**

This item combines three previous media specific GRS items for ad hoc reports into one media neutral item. We have also clarified per a request from agencies that helped develop the schedule that this new item includes ad hoc reports created or queries conducted across multiple linked databases or systems.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary (N1-GRS-95-2, item 12a/GRS 20, item 12a; N1-GRS-95-2, item 12b/GRS 20, item 12b; N1-GRS-07-4, item 3.2/GRS 20, item 16)

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. There is no substantial change to the retention of these records.

**Media Neutrality:** Approved

#### **Item 0006: Output Records - Data File Outputs**

This item combines various data file outputs (extracts, summary files, etc.) already scheduled in the GRS.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary (N1-GRS-95-2, item 4/GRS 20, item 4; N1-GRS-95-2, item 5/GRS 20, item 5; N1-GRS-95-2, item 6/GRS 20, item 6; N1-GRS-95-2, item 7/GRS 20, item 7)

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. There is no substantial change to the retention of these records.

**Media Neutrality:** Not requested. This authority applies to electronic records only.

#### **Item 0007: Non-recordkeeping copies of electronic records**

This item merges previous GRS items for copies of word processing files, email, and electronic spreadsheets that have been moved to an electronic recordkeeping system or other mechanism for long-term retention and expands the item to cover additional electronic formats. The intention is for this item to cover copies of electronic records in email systems, computer hard drives or networks, web servers, or any other location once a recordkeeping copy has established elsewhere.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary (N1-GRS-95-2, item 13/GRS 20, item 13; N1-GRS-95-2, item 14/GRS 20, item 14; N1-GRS-95-2, item 15a/GRS 20, item 15a; N1-GRS-95-2, item 15b/GRS 20, item 15b)

\*Similar records have been approved as temporary. The current GRS authorities (cited above) cover only word processing, email and spreadsheets. This item has been expanded to cover electronic records in virtually any format, but all have temporary value because they are non-recordkeeping copies.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. There is no substantial change to the retention of these records.

**Media Neutrality:** Not requested. This authority applies only to electronic records.

ANDREA M. RILEY  
Appraiser