

DAA-GRS-2016-00xx

General Administration Records
(GRS 5.1)

This file contains three documents. The draft schedule describes the records proposed for inclusion in this new GRS. The appraisal memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. The crosswalk matches authorities in the draft schedule with current GRS authorities.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

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National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
April 14, 2016

GENERAL RECORDS SCHEDULE 5.1: General Administrative Records

This schedule provides for the disposal of certain routine administrative records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Administrative records are created and maintained in carrying out general, non-mission-related activities that keep an office operating. In contrast, mission records are created in the processes of an agency carrying out the unique activities for which the agency has been established. While the schedule may be applied to records in offices that carry out mission-related activities, it may only be applied to administrative activities within those offices.

This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and administrative records is that administrative records generally have a longer period of business use (which includes use for reference) than transitory records. Transitory records are more intermediary in nature than administrative records. This schedule does not cover materials an agency has determined to be non-record or personal.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Administrative records maintained in any agency office.</p> <p>Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists.</p> <p>Records include:</p> <ul style="list-style-type: none"> ● staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1) ● office-level administrative policies and procedures and files related to their development (see Note 1) ● copies of administrative records held in offices other than the office of record ● employee calendars or schedules of daily activities (see Exclusion 2) ● records documenting expenditure of funds within the office ● records on office personnel related to training and travel ● requests and receipts on supplies, offices services and equipment ● internal office activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) ● ● non-mission related management reviews and surveys ● routine administrative reports (see Note 2) ● minutes of meetings related to administrative activities 	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-20XX-XXXX-0001</p>

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	<p>Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office.</p> <p>Exclusion 2: Excludes calendars or schedules of daily activities of high-level officials. High-level officials are defined in GRS 6.1, item 010.</p> <p>Note 1: This item covers administrative policies and procedures at the office/unit level. Agency-level administrative issuances or directives are scheduled in GRS 5.7.</p> <p>Note 2: This item does not cover reports or copies of reports that are submitted to oversight agencies. These reports are scheduled in GRS 5.7.</p> <p>Supersedes: GRS 1, item 14b (NC1-64-77-10, item 14b) -- <i>1 year</i> GRS 2, item 23b (N1-GRS-92-4, item 23b) -- <i>1 month</i> GRS 3, item 8b (NC1-64-77-5, item 9b) -- <i>6 months</i> GRS 13, item 5b (GRS 13, 1952, item 6b) -- <i>1 year</i> GRS 23, item 1 (N1-GRS-98-2, item 43) -- <i>2 years</i> GRS 23, item 5a (N1-GRS-87-19, item 5a) -- <i>2 years</i> GRS 23, item 5b (N1-GRS-87-19, item 5b) -- <i>no longer needed</i> GRS 1.1, item 011 (DAA-GRS-2013-0003-0002) -- <i>business use ceases</i> GRS 1.2, item 022 (DAA-GRS-2013-0008-0002) -- <i>business use ceases</i></p>		
020	<p>Non-recordkeeping copies of electronic records. Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:</p> <ul style="list-style-type: none"> documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent 	<p>Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	DAA-GRS-20XX-XXXX-0002

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	<ul style="list-style-type: none"> • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to an recordkeeping system or otherwise preserved • electronic spreadsheets • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves <p>Note 1: Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.</p> <p>Note 2: For electronic message records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p> <p>Supersedes: GRS 4.3, item 040 (DAA-GRS-2013-0001-0007) -- <i>after copying to recordkeeping system</i></p>			
030	<p>Records of non-mission related internal agency committees. Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act. Records include:</p>	<p>CIO committee records. Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities.</p> <p>Supersedes:</p>	<p>Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-20XX-XXXX-0003

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	<ul style="list-style-type: none"> ● meeting minutes, summaries, agendas, and transcripts 	<p>GRS 27, item 5 (N1-GRS-04-4, item 5) -- <i>5 years</i></p>		
031	<ul style="list-style-type: none"> ● reports and studies ● membership records ● correspondence, mailing, and distribution records <p>Exclusion: These items do not cover records of interagency committees.</p> <p>Note: Records of mission-related committees are potentially permanent and must be scheduled by an agency-specific records schedule.</p>	<p>Records of all other committees. Records maintained by committees tasked with administrative activities such as organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.</p> <p>Supersedes: GRS 26, item 1a (N1-GRS-04-1, item 1a) -- <i>no longer needed</i></p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-20XX-XXXX-0004</p>



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Date: April 14, 2016
Appraiser: Andrea M. Riley, ACNR
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-20XX-000X

DRAFT

INTRODUCTION

Schedule Overview

GRS 5.1 General Administrative Records

Additional Background Information

This schedule covers records related to day-to-day administrative activities in both administrative and program offices that are not covered elsewhere in the GRS. It brings together various parts of the “Old GRS” that relate to such activities, including day-to-day administrative records, copies that have record status, and the records of internal committees related to administrative activities. It primarily reschedules records found in GRS 23, Records Common to Most Offices Within Agencies. It also reschedules copies of records, including administrative copies scheduled by various items throughout the old GRS, and electronic non-recordkeeping copies, recently rescheduled in GRS 4.3 (see item below for further information on why this item is being rescheduled). Finally, it includes items from GRS 26 and 27 for administrative committees. Ultimately, the most significant change to the records covered by this schedule is that we simply brought them together on the same schedule. There is very little if any change to the actual coverage of these items.

A team made up of appraisal archivists from ACRA, a policy analyst from ACPP, and members of the GRS Team worked on revisions to this schedule.

Rescinded items:

- GRS 26, item 1b (N1-GRS-04-1 item 1b): This item is rescinded because it is not a disposition instruction but an instruction for agencies to submit a schedule for these records. This requirement will be handled in a note in the overview for items 040 and 041.
- GRS 27, item 6 (N1-GRS-04-4, item 6): CIOs are now considered high-level officials under the Capstone email guidance, therefore, we no longer think it appropriate to schedule their subject and office files as temporary, since there could be records of permanent value as they document high-level decisions.
- GRS 27, item 7 (N1-GRS-04-4, item 7): CIOs are now considered high-level officials under the Capstone email guidance, therefore, we no longer think it appropriate to schedule their calendars or schedules of daily activities in the GRS as temporary.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 0001 (GRS 5.1, item 010): Administrative records maintained in any agency office.

This item attempts to more clearly define Office Administrative Files (GRS 23, item 1). The list of included records is based on the existing item, but adds other records from GRS 23 such as calendars (GRS 23, items 5a and 5b). It also adds copies of administrative records when the office is not the office of record; in other words, copies of financial, personnel and similar records held in offices that are not officially responsible for documenting financial, personnel, and similar administrative activities. Many such records are found throughout the Old GRS and even in the New GRS, labeled as “all other copies.” Since these are administrative records maintained in any agency office, we decided it was appropriate to include such copies—which often are records—under this item.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 1, item 14b (NC1-64-77-10, item 14b) -- *1 year*

GRS 2, item 23b (N1-GRS-92-4, item 23b) -- *1 month*

GRS 3, item 8b (NC1-64-77-5, item 9b) -- *6 months*

GRS 13, item 5b (GRS 13, 1952, item 6b) -- *1 year*

GRS 23, item 1 (N1-GRS-98-2, item 43) -- *2 years*

GRS 23, item 5a (N1-GRS-87-19, item 5a) -- *2 years*

GRS 23, item 5b (N1-GRS-87-19, item 5b) -- *no longer needed*

GRS 1.1, item 011 (DAA-GRS-2013-0003-0002) -- *business use ceases*

GRS 1.2, item 022 (DAA-GRS-2013-0008-0002) -- *business use ceases*

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previously approved retentions for the records superseded by this item were to destroy when superseded or obsolete, when 6 months old, when 2 years old, or when no longer needed. We found that many general administrative records were given a 2 year retention with no justification. Given that these records have little usefulness after business use ceases, we believe that the proposed disposition instruction to destroy the records when business use ceases covers when records become superseded or obsolete, as well as when they are no longer needed. If an agency wishes to keep the records longer, the instructions gives it the flexibility to determine if a more specific retention is required to meet business needs.

Media Neutrality: Requested and approved.

Item 0002 (GRS 5.1, item 020): Non-recordkeeping copies of electronic records.

The only difference between this item and the superseded item, GRS 4.3, item 040, is that we are rescheduling the records to make them media neutral. The existing item applies only to electronic records, but we have since determined that this item could also be applied to hard copy

printouts of electronic records where the recordkeeping copy has been preserved by other means. There is no change other than removing the media specificity.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 4.3, item 040 (DAA-GRS-2013-0001-0007) -- *after copying to recordkeeping system*

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. There is no change to the disposition instruction. The records are only being rescheduled to make them media neutral.

Media Neutrality: Requested and approved.

Item 0003 (GRS 5.1, item 030): Records of non-mission related internal agency committees – CIO committee records.

Item 0004 (GRS 5.1, item 031): Records of non-mission related internal agency committees – Records of all other committees

The only changes being made to these items are in their descriptions. We combined language from both GRS 26, item 1a, and GRS 27, item 5, to create the overview and developed each item description from the existing item descriptions.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 26, item 1a (N1-GRS-04-1, item 1a) -- *no longer needed*

GRS 27, item 5 (N1-GRS-04-4, item 5) -- *5 years*

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

Media Neutrality: Requested and approved.

ANDREA M. RILEY

Appraiser

GRS 5.1 General Administrative Records

Crosswalk

New GRS				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.1	010	business use ceases	DAA-GRS-20XX-00XX-0001	1	14b	1 year	NC1-64-77-10, item 14b
				2	23b	1 month	N1-GRS-92-4, item 23b
				3	8b	6 months	NC1-64-77-5, item 9b
				13	5b	1 year	GRS 13, 1952, item 6b
				23	1	2 years	N1-GRS-98-2, item 43
				23	5a	2 years	N1-GRS-87-19, item 5a
				23	5b	no longer needed	N1-GRS-87-19, item 5b
				1.1	011	business use ceases	DAA-GRS-2013-0003-0002
				1.2	022	business use ceases	DAA-GRS-2013-0008-0002
5.1	020	after copying to a recordkeeping system	DAA-GRS-20XX-00XX-0002	4.3	040	after copying to a recordkeeping system	DAA-GRS-2013-0001-0007
5.1	030	5 years	DAA-GRS-20XX-00XX-0003	27	5	5 years	N1-GRS-04-4, item 5
5.1	031	business use ceases	DAA-GRS-20XX-00XX-0004	26	1a	no longer needed	N1-GRS-04-1, item 1a