

DAA-GRS-2016-00xx

Facility, Equipment, Vehicle, Property, and Supply Records (GRS 5.4)

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
February 23, 2016

GENERAL RECORDS SCHEDULE 5.4: Facility, Equipment, Vehicle, Property, and Supply Records

Draft 11 * for Agency/SHU review * February 23, 2016

This schedule covers records created and received by Federal agencies in carrying out the work of managing, operating, and maintaining Government owned and leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocation of space and management of supply stock

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to the general administration and operation of facilities, spaces, Federally owned and operated housing, land vehicles, water vehicles, equipment, stocks, and supplies. Includes:</p> <ul style="list-style-type: none"> • statistical and narrative reports • studies • request for space per Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence <p>Exclusion 1: Records of aircraft operations are covered by item 110 in this schedule.</p> <p>Exclusion 2: Records of supply and property procurement are covered under GRS 1.1, item 010.</p> <p>Exclusion 3: Requisition and supply records of General Services Administration’s GSA Global Supply program and Defense Logistics Agency concerning military supply provision are not covered by this item. Supply is those agencies’ mission. Therefore the records must be scheduled separately.</p> <p>Supersedes: GRS 3, item 4a (NC1-64-77-5 item 5a) <i>2 years</i> GRS 3, item 4b (NC1-64-77-5 item 5b) <i>1 year</i> GRS 3, item 8a (NC1-64-77-5 item 9a) <i>2 years after completion or cancellation of requisition (since requisitions are filled quickly if they are to be filled at all, 3-year retention should cover all</i></p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-000X-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p><i>contingencies of current item)</i></p> <p>GRS 3, item 8b (NC1-64-77-5 item 9b) <i>6 months</i></p> <p>GRS 3, item 9a (NC1-64-77-5 item 10a) <i>2 years</i></p> <p>GRS 3, item 9b (NC1-64-77-5 item 10b) <i>2 years</i></p> <p>GRS 3, item 9c (NC1-64-77-5 item 10c) <i>2 years</i></p> <p>GRS 10, item 1 (GRS 10, 1952, item 1) <i>2 years</i></p> <p>GRS 10, item 4 (GRS 10, 1952, item 4) <i>3 years</i></p> <p>GRS 11, item 1 (N1-GRS-96-1, item 1c) <i>2 years</i></p> <p>GRS 11, item 2a (GRS 11, 1952, item 2a) <i>2 years</i></p> <p>GRS 11, item 2b1 (GRS 11, 1952, item 2b1) <i>2 years</i></p> <p>GRS 11, item 2b2 (GRS 11, 1952, item 2b2) <i>1 year</i></p> <p>GRS 11, item 3 (GRS 11, 1952, item 3) <i>2 months</i></p> <p>GRS 15, item 1 (GRS 15, 1953, item 1) <i>2 years</i></p> <p>GRS 15, item 3 (GRS 15, 1953, item 3) <i>2 years</i></p> <p>GRS 15, item 6 (GRS 15, 1953, item 6) <i>3 years</i></p>		
Ownership			
020	<p>Real property ownership records.</p> <p>Abstract or certificate of title and other records documenting Federal ownership, survey, and chain of title of real property acquired after December 31, 1920 by purchase, condemnation, donation, exchange or otherwise.</p> <p>Exclusion 1: Records relating to property acquired prior to January 1, 1921 are not covered by this item and must be scheduled separately.</p> <p>Exclusion 2: Records of disposal of surplus real property (and related personal property) and excess real property reports are not covered by this item and must be scheduled separately.</p> <p>Supersedes:</p> <p>GRS 3, item 1a (no authority found)</p> <p>GRS 3, item 1b (no authority found)</p> <p>GRS 4, item 4--in part (no authority found)</p>	Temporary. Transfer to new owner after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.	DAA-GRS-2016-000X-0002
030	<p>Vehicle and equipment ownership records and operation manuals.</p> <p>Vehicle and equipment identification, registration, and warranty records. Also manuals and similar</p>	Temporary. Transfer with vehicle or item to new	DAA-GRS-2016-000X-

Item	Records Description	Disposition Instruction	Disposition Authority	
	documentation, whether produced locally or by the manufacturer.	owner or destroy when item is excessed, as appropriate.	0003	
040	<p>Excess personal property, equipment, and vehicle records. Records created in the process of disposing of excess or surplus personal property by sale, donation, or destruction. Includes:</p> <ul style="list-style-type: none"> • inventories and lists of excess property • lists and other records identifying approved receivers of excess property • receipts of donation • destruction certificates • documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence <p>Exclusion 1: Records documenting financial management of surplus property disposal by sale are not covered by this item. They are covered under GRS 1.1, item 010.</p> <p>Exclusion 2: Records of personal property disposal incorporated into surplus real property disposal are not covered by this item and must be scheduled separately. See item 020, Exclusion 2.</p> <p>Supersedes: GRS 4, item 1 (GRS 4, 1952, item 4) <i>2 years</i> GRS 4, item 2 (GRS 4, 1952, item 5) <i>3 years</i> GRS 10, item 6 (NARA memo 10/20/1955) <i>4 years</i></p>	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-000X-0004	
Facilities and equipment				
050	<p>Facility design, engineering and construction records. Architectural and engineering drawings and other design records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes:</p>	<p>Draft, preliminary, intermediate, working, and contract negotiation drawings.</p> <p>Supersedes: GRS 17, item 5 (N1-GRS-98-2 item 26)</p>	Temporary. Destroy when superseded, or when project terminates, as appropriate.	DAA-GRS-2016-000X-0005
051	<ul style="list-style-type: none"> • site maps and surveys • plot plans 	Final and as-built drawings, plans and designs; and all other records.	Temporary. Destroy when superseded, transfer to new owner, or destroy when	DAA-GRS-2016-000X-0006

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> • structural drawings • architectural renderings • electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings • exterior delivery of utilities drawings • materials plans and drawings • minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams • construction progress photographs • construction inspection reports • equipment location plans • paint plans and samples • furniture design and layout drawings and plans • space occupancy plans <p>Exclusion 1: Records documenting financial management of construction contracts are covered by GRS 1.1, item 010.</p> <p>Exclusion 2: Records documenting buildings deemed historically, architecturally, or technologically significant may be of permanent value and must be scheduled by the agency.</p>	<p>Supersedes: GRS 4, item 4--in part (no authority found) GRS 17, item 3 (N1-GRS-98-2 item 24) GRS 17, item 4 (N1-GRS-98-2 item 25) GRS 17, item 6 (N1-GRS-98-2 item 27) GRS 17, item 8 (N1-GRS-98-2 item 28) GRS 17, item 9 (N1-GRS-98-2 item 29) GRS 17, item 10 (N1-GRS-98-2 item 30)</p>	<p>structure is removed from Federal inventory, as appropriate.</p>	
060	<p>Facility, space, and equipment inspection, maintenance and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:</p> <ul style="list-style-type: none"> • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules 	<p>Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-000X-0007</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Note: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance.</p> <p>Exclusion: Records held for the purpose of documenting expenditure of appropriated or non-appropriated funds are not covered by these items. They are covered by GRS 1.1, item 010.</p> <p>Supersedes: GRS 11, item 5 (GRS 11, 1952, item 5) <i>3 months</i> GRS 15, item 2a (GRS 15, 1953, item 2a) <i>3 years</i> GRS 15, item 2b (GRS 15, 1953, item 2b) <i>3 years</i></p>		
070	<p>Housing rental and lease records. Applications, leases, renewals, assignments, termination notices, and related documents regarding Federally owned and operated housing facilities.</p> <p>Supersedes: GRS 15, item 4 (GRS 15, 1953, item 4) <i>3 years</i> GRS 15, item 5a (GRS 15, 1953, item 5a) <i>upon vacancy</i> GRS 15, item 5b (GRS 15, 1953, item 5b) <i>3 years</i> GRS 15, item 7a (GRS 15, 1953, item 7a) <i>1 year</i> GRS 15, item 7b (GRS 15, 1953, item 7b) <i>2 years</i></p>	Temporary. Destroy 3 years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.	DAA-GRS-2016-000X-0008
Vehicle maintenance and inspection records			
080	<p>Land and water vehicle inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes:</p> <ul style="list-style-type: none"> • work orders, service and repair requisitions, and logs • description of provided service and repair, and related papers <p>Exclusion 1: Records held for the purpose of documenting expenditure of appropriated or non-appropriated funds are not covered by these items. They are covered by GRS 1.1, item 010.</p> <p>Supersedes: GRS 10, item 2a (GRS 10, 1952, item 2a) <i>3 months</i> GRS 10, item 2b (GRS 10, 1952, item 2b) <i>1 year</i></p>	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized.	DAA-GRS-2016-000X-0009

Item	Records Description	Disposition Instruction	Disposition Authority	
	GRS 10, item 3 (GRS 10, 1952, item 3) <i>3 years</i>			
090	<p>Aircraft inspection, maintenance, and modification records. Records documenting general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding:</p> <ul style="list-style-type: none"> • servicing, manufacturing, rebuilding and testing of equipment • classifying the condition status of material 	<p>Records of unique or customized aircraft.</p> <p>Supersedes: GRS 10, item 11a (N1-GRS-04-6, item 3a)</p>	<p>Permanent. Transfer to NARA 15 years after superseded or obsolete.</p>	DAA-GRS-2016-000X-0010
091	<ul style="list-style-type: none"> • preventive maintenance • configuration and material alteration to aircraft or equipment • logistics services <p>Includes records such as:</p> <ul style="list-style-type: none"> • technical and non-technical correspondence • maintenance manuals • documentation of mechanical defects and evidence of repair • manuals annotated or different from those issued by the manufacturer • bulletins directing specific inspections and records of action taken • logbooks • diagnostic checkouts • spot check inspections • maintenance requests 	<p>Records of non-unique and non-customized aircraft.</p> <p>Supersedes: GRS 10, item 11b (N1-GRS-04-6, item 3b)--in part GRS 10, item 12 (N1-GRS-04-6, item 4)</p>	<p>Temporary. Destroy 6 years after disposal of aircraft or removal of equipment from inventory, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-000X-0011
Vehicle and equipment operations and use records				
100	<p>Vehicle and heavy equipment operator records. Records relating to individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.</p> <p>Exclusion: Records related to operation of vehicles and equipment specifically designed for military use are not covered. These must be scheduled by the agency.</p> <p>Supersedes: GRS 10, item 7 (no authority found)</p>	<p>Temporary. Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner.</p>	DAA-GRS-2016-000X-0012	
110	<p>Aircraft flight operations records. Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs,</p>	<p>Temporary. Destroy when 3 years old, but longer</p>	DAA-GRS-2016-000X-	

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>destinations, and passengers; flight orders; flight plans; load manifests; dispatch release; flight logs; and similar records.</p> <p>Exclusion: This item does not cover records of the Air Force, Navy, Army, or Federal Aviation Administration.</p> <p>Supersedes: GRS 10, item 9 (N1-GRS-04-6, item 1) 2 years</p>	retention is authorized if required for business use.	0013
120	<p>Aircraft operational support records. Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes:</p> <ul style="list-style-type: none"> • comments on regulations • directives and other records re logistics • management improvement reports • cost reduction reports • requests for substantive information re logistics • aircraft inventories <p>Supersedes: GRS 10, item 10 (N1-GRS-04-6, item 2) GRS 10, item 11b (N1-GRS-04-6, item 3b) in part</p>	Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-000X-0014
130	<p>Vehicle accident and incident records. Records relating to vehicle accidents—land, water, and air—maintained by vehicle management offices, including:</p> <ul style="list-style-type: none"> • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • copies of investigative reports (if investigation is undertaken) <p>Exclusion: Some accidents and incidents require formal investigation. If investigation is undertaken, its records are not covered by this item, but rather under GRS 5.6, item x.</p> <p>Supersedes:</p>	Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use.	DAA-GRS-2016-000X-0015

Item	Records Description	Disposition Instruction	Disposition Authority
	GRS 10, item 5 (GRS 10, 1952, item 5) <i>6 years</i>		



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Appraiser: Galen R. Wilson, ACRA
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2016-000X (schedule not yet entered into ERA)

INTRODUCTION

Schedule Overview

GRS 5.4: Facility, Equipment, Vehicle, Property, and Supply Records

Additional Background Information

This schedule addresses records grouped per the Business Process Reengineering model. It covers records created and received in pursuing the common work processes of general operations, maintenance, and management carried out in and applied to quite disparate areas (buildings, landscape, furniture, machinery, equipment, vehicles, and supply stock) that together make up an agency's overall physical or "hard" footprint. As such, it supersedes 50 items scattered among an unusually large number of old schedules: GRS 3, 4, 10, 11, 15, and 17.

This schedule was drafted based on the GRS items it supersedes. The draft was discussed with program managers and evaluated in light of records reviewed at two agencies: General Services Administration and National Park Service, both in Dayton, Ohio. Further edits were made in response to review by and comments from NASA, U.S. Forest Service, U.S. Geological Survey, and Farm Credit Administration.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 0001 (GRS 5.4, item 010): Facility, space, vehicle, equipment, stock, and supply administrative and operational records.

This item merges 17 intensely granular old GRS items with retention ranging between 6 months and 3 years. Reducing the overall number of items reflects electronic records management best practices.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 3, item 4a (NC1-64-77-5 item 5a)

GRS 3, item 4b (NC1-64-77-5 item 5b)

GRS 3, item 8a (NC1-64-77-5 item 9a)
GRS 3, item 8b (NC1-64-77-5 item 9b)
GRS 3, item 9a (NC1-64-77-5 item 10a)
GRS 3, item 9b (NC1-64-77-5 item 10b)
GRS 3, item 9c (NC1-64-77-5 item 10c)
GRS 10, item 1 (GRS 10, 1952, item 1)
GRS 10, item 4 (GRS 10, 1952, item 4)
GRS 11, item 1 (N1-GRS-96-1, item 1c)
GRS 11, item 2a (GRS 11, 1952, item 2a)
GRS 11, item 2b1 (GRS 11, 1952, item 2b1)
GRS 11, item 2b2 (GRS 11, 1952, item 2b2)
GRS 11, item 3 (GRS 11, 1952, item 3)
GRS 15, item 1 (GRS 15, 1953, item 1)
GRS 15, item 3 (GRS 15, 1953, item 3)
GRS 15, item 6 (GRS 15, 1953, item 6)

*Has little or no research value. These records are strictly administrative in content.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Three years or less retention has been in place for the superseded items since (variously) 1952, 1953, 1977, 1996, and 2004 without exciting controversy. Proposed retention responds to a growing consensus in the Federal records community that records documenting general management activity should be retained for 3 years.

Media Neutrality

Approved

Item 0002 (GRS 5.4, item 020): Real property ownership records.

This item supersedes three murky GRS items, the authority for which no paper trail can at present be located. Two of them (GRS 3, items 3a and 3b) are particularly troublesome. They authorize agencies to destroy records of great potential value to a new owner, and erroneously imply that the Federal government is the repository for legally-binding documents proving real property ownership. The third superseded item (GRS 4, item 4) unfortunately includes three conditions that must be met before records can be destroyed, one of which may not be known for years to come. Enforcing such conditions is not in the GRS's purview. The GRS should not quote them as conditions for records disposal, particularly as they really have no bearing on records retention. The proposed new item drops this problematic language.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 3, item 1a (no authority found)
GRS 3, item 1b (no authority found)
GRS 4, item 4 in part (no authority found)

* Captured elsewhere in permanent records. NARA appraisal policy states that the justification "captured elsewhere in permanent records" must be accompanied by the

authority for those permanent records. No such authority exists. In this case, the records are disposable because “elsewhere” is the civil jurisdiction in which the subject real property resides. This is generally the county (or parish in Louisiana), but in some states the city, town, or township. At any rate, the custodian of the official record of real property ownership transfer is never the Federal government. The most important records covered in this item are duplicates of permanent records held in the jurisdiction where the land transfer takes place.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. This item calls for transfer of records to the new owner. This is a much more useful disposition than the item it supersedes, which authorizes tossing the records 10 years after sale or release of property. The old retention myopically focuses only on the Federal government’s need for information, and fails to recognize the obvious value records might have to a new owner. Several years ago, this writer visited the property management office of Daniel Boone National Forest. Rows of filing cabinets hold material arranged by legal description of the Forest’s land, tract by tract. These fascinating files include manuscript grant and purchase records sometimes dating back to the 1830s and documenting numerous ownership transfers. These records were acquired by the Forest in the process of land acquisition during its establishment in the 1930s. The Forest includes land in 9 counties, and prides itself on having better records than some of those 9 courthouses. It would be irresponsible to suggest that if Daniel Boone National Forest were ever decommissioned, these records should be destroyed. The right (and obvious) thing to do with such records is to pass them along to the new owner. A new owner can, of course, decide there is no value in the records received from the Federal government regarding purchased land, and is free to destroy them. But that decision should lie with the new owner who has a vested interest in the real property, not the government which has just eliminated its interest.

Media Neutrality

Approved

Item 0003 (GRS 5.4, item 030): Vehicle and equipment ownership records and operation manuals.

This item is new to the GRS. Perhaps these were not considered “records” when GRS 10 was drafted in 1952 since the operation manual is a publication and ownership records naturally move forward with the vehicle itself upon transfer to a new owner. But while vehicles and equipment are in Federal inventory, these records are vitally important documentation.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Has little or no research value. Vehicle manufacturers—not NARA—are responsible for retaining a record copy of each operation manual. Vehicle titles are under the authority of—and are therefore the legal responsibility of—the government issuing the title.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. NARA’s role vis-à-vis these records is more that of temporary custodian. Governments issuing vehicle titles (usually the

state) require handing the physical title to the new owner to enable the new owner to register the vehicle under a new name. There is no legal requirement to pass along the owner's manual with a vehicle, but it's a logical and wise thing to do.

Media Neutrality

Approved

Item 0004 (GRS 5.4, item 040): Excess personal property, equipment, and vehicle records.

This item merges and expands upon three old GRS items, one for general records of property disposal, one for excess property reports, and one for vehicle disposal records.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 4, item 1 (GRS 4, 1952, item 4)

GRS 4, item 2 (GRS 4, 1952, item 5)

GRS 10, item 6 (NARA memo 10/20/1955)

*Has little or no research value. Detailed documentation of moveable property no longer owned by the government is voluminous and unlikely to excite research interest. Property is excessed when it is believed to have reached an end of usefulness. Value of records documenting its removal from Federal inventory is also temporary: it does not exceed the ultimate value of the property itself.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Proposed retention equals that of one superseded item and exceeds that of another. The third superseded item (GRS 10, item 6) is a 4-year retention whose authority traces to a memo written in 1955. This memo simply states that 4 years "is sufficient in the event it is necessary to document the purchase, identify the purchaser, or provide related data." I can see no reason to retain records of vehicle sale—documented in state records where the title transfer takes place—longer than records of excess property disposal, which is likely documented only in Federal records. Three-year retention is in keeping with the growing consensus of linking this time period to records of general administrative functions.

Media Neutrality

Approved

Item 0005 (GRS 5.4, item 050): Facility design, engineering and construction records: Draft, preliminary, intermediate, working, and contract negotiation drawings.

Item 0006 (GRS 5.4, item 051): Facility design, engineering and construction records: Final and as-built drawings, plans and designs; and all other records.

These items supersede a number of items in old GRS 17 regarding Federal physical plant design and engineering, but add (for the first time in the GRS) records of construction. Construction records have previously appeared in the GRS only as documentation of contracts and payment to contractors; such records remain covered in new GRS 1.1, item 010, and are specifically excluded from these items. The GRS has not previously addressed records documenting the

intermediary and final footprint and design of structures, retained specifically to enable facility maintenance.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 4, item 4 in part (no authority found)—superseded by item 0006 (051)

GRS 17, item 3 (N1-GRS- 98-2 item 24)—superseded by item 0006 (051)

GRS 17, item 4 (N1-GRS- 98-2 item 25)—superseded by item 0006 (051)

GRS 17, item 5 (N1-GRS-98-2 item 26)—superseded by item 0005 (050)

GRS 17, item 6 (N1-GRS- 98-2 item 27)—superseded by item 0006 (051)

GRS 17, item 8 (N1-GRS- 98-2 item 28)—superseded by item 0006 (051)

GRS 17, item 9 (N1-GRS- 98-2 item 29)—superseded by item 0006 (051)

GRS 17, item 10 (N1-GRS- 98-2 item 30)—superseded by item 0006 (051)

*Has little or no research value. Records documenting the footprint and specifications of non-significant structures have business use but no historical research use. Records with potential research value—those of buildings deemed historically, architecturally, or technologically significant—are excluded from these items. All such records, even those which on first glance seem so routine as to be disposable under a GRS item regardless of the building's significance, deserve appraisal in light of the structure's importance.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Records documenting current configuration of Federal buildings have obvious business value while structures are in Federal inventory, but this value diminishes to nearly zero upon demolition or transfer to a new owner. Immediate disposal of superseded material (item 050) ensures continual refreshment of a full and accurate record of current design and construction. Passing along as-built records to a new owner (item 051) makes an abundance of sense.

Media Neutrality

Approved

Item 0007 (GRS 5.4, item 060): Facility, space, and equipment inspection, maintenance and service records.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary.

GRS 11, item 5 (GRS 11, 1952, item 5)

GRS 15, item 2a (GRS 15, 1953, item 2a)

GRS 15, item 2b (GRS 15, 1953, item 2b)

*Has little or no research value. These records are strictly administrative in content.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Five-year retention for records previously retained for 3 years and in one case for only 3 months may raise questions. An earlier draft of this schedule proposed 3-year retention but subject area experts (physical plant administrators) suggested 7 years on the grounds that facility management contracts tend to run for 5 years. These administrators said that having complete records of a contract's performance is very useful when putting out a call for bids on a new contract. Ultimately, however, it was decided that not every agency contracts out all maintenance, and that 5 years should be enough to document an agency's physical plant. Retention of records to document contract performance is a secondary use. Agencies are alerted to this potential added business value in the disposition instruction; if it is applicable, they are authorized to retain records longer than 5 years.

The one old item with 3-month retention, GRS 11, item 5, was for "requests for building and equipment maintenance services." It is easy to understand how this item was viewed when drafted in 1952: a stack of forms filled out longhand requesting facility staff services such as squirting powdered carbon into a lock no longer turning smoothly. Such forms were often multi-copy, and in order to make it clear that this item pertained only to the copy kept by either the requester or the person providing the service, the item specifically excluded financial management copies used for billing the cost of the service. The electronic revolution has done away with the hard-copy service requisition as universally understood in 1952. Requisitions are still made, but it is not possible to separate the requisition per se from everything else that happens to it, including documentation of completion of the work, billing, and payment thereof. Records concerning billing and payment are covered by GRS 1.1, item 010. This item covers records retained by the property management office to document facility and equipment servicing and maintenance.

Media Neutrality

Approved

Item 0008 (GRS 5.4, item 070): Housing rental and lease records.

This item amalgamates five granular old GRS items that have aroused so little controversy as to remain untouched since first being published in 1953.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

- GRS 15, item 4 (GRS 15, 1953, item 4)
- GRS 15, item 5a (GRS 15, 1953, item 5a)
- GRS 15, item 5b (GRS 15, 1953, item 5b)
- GRS 15, item 7a (GRS 15, 1953, item 7a)
- GRS 15, item 7b (GRS 15, 1953, item 7b)

*Has little or no research value. The value of rental records is largely limited to business use. These records are of course very important when active, documenting legal and financial rights and interests of both the government and private citizens. But this value diminishes rapidly to the vanishing point after a lease becomes inactive. Even if a renter

were to become famous, the unique information in the record of his/her renting Federal housing (a secondary value of the records at best) would not likely be a huge boon to a potential biographer. Retention of the huge volume of all housing rental records would not justify the chance occurrence of a famous person being included.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Three-year retention meets or exceeds retention of all superseded items. This time period is rapidly gaining best-practices status for records documenting purely administrative functions, of which this is one.

Media Neutrality

Approved

Item 0009 (GRS 5.4, item 080): Land and water vehicle inspection, maintenance, and service records.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 10, item 2a (GRS 10, 1952, item 2a)

GRS 10, item 2b (GRS 10, 1952, item 2b)

GRS 10, item 3 (GRS 10, 1952, item 3)

*Has little or no research value. Value of vehicle maintenance records is linked directly to the vehicle itself. Once the vehicle is gone, its maintenance records have no research value.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. I have appreciated when purchasing a vehicle acquiring a full record of maintenance since the vehicle rolled off the assembly line. But even I must admit that a record of every oil change does not need to be retained until a vehicle is eventually towed to the junk yard. Three-year retention matches the standard warranty on new vehicles, during which time an agency might need to be able to prove it has kept up required maintenance.

Media Neutrality

Approved

Item 0010 (GRS 5.4, item 090): Aircraft inspection, maintenance, and modification records: Records of unique or customized aircraft.

This item largely replicates an item approved under N1-GRS-04-6. Its appraisal report by Christopher Cwynar described the records as consisting “of manuals for customized or unique aircraft, those that have been modified from the standard production model design by the manufacturer or by a Federal agency or contractor to meet agency-specific needs, or those manuals that have been annotated and are different from the manufacturer-issued manuals.”

Proposed Disposition

Permanent

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as permanent:

GRS 10, item 11a (N1-GRS-04-6, item 3a)

* High potential research value. Cwynar's 2004 appraisal of the item proposed for supersession—"I have spoken with reference archivists Patrick Osborn and Barry Zerby (NWCTM) and both agreed these maintenance manuals have archival value as they are of great interest to aircraft restorers and aviation enthusiasts"—remains valid. Osborn remains a member of NARA's staff (now office code RDTP2). I asked if he still stands behind this appraisal, and his response by email January 27, 2016 was "Yes, I still agree with the assessment. We should bring 'em in."

Adequacy of Proposed Transfer Instructions

Appropriate.

Media Neutrality

Approved

Item 0011 (GRS 5.4, item 091): Aircraft inspection, maintenance, and modification records: Records of non-unique and non-customized aircraft.

Item 0014 (GRS 5.4, item 120): Aircraft operational support records.

These items, like item 0010 (090), essentially replicate items in N1-GRS-04-6. The records' description is slightly altered for clarity of presentation, but the retention periods remain the same.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 10, item 10 (N1-GRS-04-6, item 2)—superseded by item 0014 (120) only

GRS 10, item 11b (N1-GRS-04-6, item 3b)—superseded by both items

GRS 10, item 12 (N1-GRS-04-6, item 4)—superseded by item 0011 (091) only

*Has little or no research value. These are business records documenting an aircraft's readiness for flight. Records permanently valuable because of the aircraft they document are scheduled by item 0010 (090). These two items—by definition—cover those records not identified as permanent.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Cwynar's 2004 appraisal (see above item) of these records remains valid: "retention of 6 years should be sufficient especially as it would cover several maintenance cycles for a specific aircraft." Item 0011 (091) does not offer the option of forwarding documents to a new owner, seen in item 0009 (080). This is because 14 CFR 91.419 specifies exactly what maintenance records must be transferred to a purchaser at time of sale. Including the forwarding clause in the disposition instruction would erroneously imply that transfer of some documents is optional.

Media Neutrality

Approved

Item 0012 (GRS 5.4, item 100): Vehicle and heavy equipment operator records.

This item duplicates old GRS 10, item 7, but expands it to include not just authorization to operate vehicles but also heavy equipment, such as fork-lifts. Excluded are records of military vehicle and equipment operation. (See DAA-0127-2014-0006 for examples of such vehicles.) Operation of such vehicles and equipment is mission-related and outside the scope of the GRS.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:
GRS 10, item 7 (no authority found)

*Has little or no research value.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Duplicates retention of old GRS item which we are not aware has ever been challenged. Three years gives adequate opportunity for allegations of misuse to surface after an authorization becomes inactive.

Media Neutrality

Approved

Item 0013 (GRS 5.4, item 110): Aircraft flight operations records.

This item expands slightly on a similar item in N1-GRS-04-6, adding a couple of types to the list of covered records. Excluded are records in agencies for which these are mission, rather than administrative, records.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:
GRS 10, item 9 (N1-GRS-04-6, item 1)

*Has little or no research value. The only records likely to be of interest to researchers are those documenting flights that ended in accidents. Each aircraft accident results in an investigation in which the Federal Aviation Administration (FAA) participates, and records of particularly celebrated accidents—those most likely to draw researchers—invariably end up as permanent in FAA, U.S. Attorneys, and court records.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. These records were retained for 2 years under N1-GRS-04-6. The extension to 3 years is based on the longer period becoming the standard retention for administrative records.

Media Neutrality

Approved

Item 0014 (GRS 5.4, item 120): Aircraft operational support records.

This item is appraised in conjunction with item 0011. See above.

Item 0015 (GRS 5.4, item 130): Vehicle accident and incident records.

This item copies old GRS 10, item 5 verbatim, but adds reference to one more Standard Form not included in that item. The proposed item also reduces the retention period by half.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

GRS 10, item 5 (GRS 10, 1952, item 5)

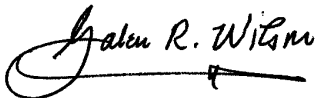
*Has little or no research value. These records are limited to those retained by transportation or logistics offices to document strictly their own management issues. Other copies of these same records may exist elsewhere in investigative files and even court cases. Records of notorious incidents that may justify permanent retention will be sought and researched in investigative and court records, not in transportation office records.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. The superseded item's retention is 6 years. No records survive to explain why such a long retention was thought necessary when the item was introduced in 1952. But while the item specifically concerned records "maintained by transportation offices," it is hard not to conclude that the retention period was really based on the records' investigative aspect, not on their documenting an agency's fleet. It would be 8 more years before the GRS covered records of accident investigations in their own right with the approval of GRS 18, item 11 in 1960 (ironically a 2-year retention). The investigatory aspect of these records is now covered in the new GRS under GRS 5.6, **item x**, whose retention is 3 years after conclusion of investigation. Three years is also sufficient for documenting an agency's vehicle pool.

Media Neutrality

Approved



GALEN R. WILSON
Senior Records Analyst

New GRS 5.4				Old GRS			
GRS No.	Item No.	Retention	ERA Number/Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.4	010	3 years	DAA-GRS-2016-000x-0001	3	4a	2 years	NC1-64-77-5 item 5a
				3	4b	1 year	NC1-64-77-5 item 5b
				3	8a	2 years	NC1-64-77-5 item 9a
				3	8b	6 months	NC1-64-77-5 item 9b
				3	9a	2 years	NC1-64-77-5 item 10a
				3	9b	2 years	NC1-64-77-5 item 10b
				3	9c	2 years	NC1-64-77-5 item 10c
				10	1	2 years	GRS 10, 1952, item 1
				10	4	3 years	GRS 10, 1952, item 4
				11	1	2 years	N1-GRS-96-1, item 1c
				11	2a	2 years	GRS 11, 1952, item 2a
				11	2b1	2 years	GRS 11, 1952, item 2b1
				11	2b2	1 year	GRS 11, 1952, item 2b2
				11	3	2 months	GRS 11, 1952, item 3
				15	1	2 years	GRS 15, 1953, item 1
15	3	2 years	GRS 15, 1953, item 3				
15	6	3 years	GRS 15, 1953, item 6				
5.4	020	Transfer to new owner	DAA-GRS-2016-000x-0002	3	1a	10 years	Authority not found
				3	1b	Transfer to new owner	Authority not found
				4	4--in part	Transfer to new owner	Authority not found
5.4	030	Transfer to new owner or destroy if excessed	DAA-GRS-2016-000x-0003	New item			
5.4	040	3 years	DAA-GRS-2016-000x-0004	4	1	2 years	GRS 4, 1952, item 4
				4	2	3 years	GRS 4, 1952, item 5
				10	6	4 years	NARA memo 10/20/1955
5.4	050	Superseded or obsolete or project termination	DAA-GRS-2016-000x-0005	17	5	Superseded or obsolete	N1-GRS- 98-2 item 26
5.4	051	Superseded or obsolete or project termination or transfer to new owner	DAA-GRS-2016-000x-0006	4	4--in part	Transfer to new owner	Authority not found
				17	3	Superseded or obsolete	N1-GRS-98-2 item 24
				17	4		N1-GRS-98-2 item 25
				17	6		N1-GRS-98-2 item 27
				17	8		N1-GRS-98-2 item 28
				17	9		N1-GRS-98-2 item 29
				17	10		N1-GRS-98-2 item 30
5.4	060	5 years	DAA-GRS-2016-000x-0007	11	5	3 months	GRS 11, 1952, item 5
				15	2a	3 years	GRS 15, 1953, item 2a
				15	2b	3 years	GRS 15, 1953, item 2b
5.4	070	3 years	DAA-GRS-2016-000x-0008	15	4	3 years	GRS 15, 1953, item 4
				15	5a	upon vacancy	GRS 15, 1953, item 5a
				15	5b	3 years	GRS 15, 1953, item 5b

				15	7a	1 year	GRS 15, 1953, item 7a
				15	7b	2 years	GRS 15, 1953, item 7b
5.4	080	3 years	DAA-GRS-2016-000x-0009	10	2a	3 months	GRS 10, 1952, item 2a
				10	2b	1 year	GRS 10, 1952, item 2b
				10	3	3 years	GRS 10, 1952, item 3
5.4	090	Permanent	DAA-GRS-2016-000x-0010	10	11a	Permanent	N1-GRS-04-6, item 3a
5.4	091	6 years	DAA-GRS-2016-000x-0011	10	11b-- in part	6 years or superseded or obsolete	N1-GRS-04-6, item 3a
				10	12	6 years	N1-GRS-04-6, item 3a
5.4	100	3 years	DAA-GRS-2016-000x-0012	10	7	3 years	Authority not found
5.4	110	3 years	DAA-GRS-2016-000x-0013	10	9	2 years	N1-GRS-04-6, item 1
				10	10	6 years	N1-GRS-04-6, item 2
5.4	120	6 years	DAA-GRS-2016-000x-0014	10	11b-- in part	6 years or superseded or obsolete	N1-GRS-04-6, item 3b
5.4	130	3 years	DAA-GRS-2016-000x-0015	10	5	6 years	GRS 10, 1952, item 5