

GRS 5.6 Security Management Records

This file contains two documents. The Draft Schedule contains the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule.

THE SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
July 31, 2023

DRAFT

GENERAL RECORDS SCHEDULE 5.6: Security Management Records

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

Conditions and Exclusions

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

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

| Item | Records Description | Disposition Instruction | Disposition Authority |
|-----------|--|--|------------------------|
| 010 - 040 | No change | | |
| 050 | <p>Misuse or irregularities investigations. Records about irregularities in handling mail and improper use or misuse of telephone calling cards and government charge or purchase cards. Includes, but is not limited to, postal irregularities reports and semi-annual reports on government charge card violations.</p> <p>Exclusions:</p> <ol style="list-style-type: none">1. Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020. <p><i>Supersedes DAA-GRS-2017-0006-0006 - 3 years after investigation or 3 years old</i></p> | Temporary. Destroy 3 years after final action. Longer retention is authorized for business use. | DAA-GRS-202X-000X-0001 |

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| Item | Records Description | Disposition Instruction | Disposition Authority |
|-----------|--|---|------------------------|
| 060 - 090 | No change | | |
| 100 | <p>Accident and incident records. Records documenting accidents and incidents occurring on, in, or at government-owned or -leased facilities, vehicles (land, water, and air), and property used by federal agencies.</p> <p>Exclusions:</p> <ol style="list-style-type: none"> 1. Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by federal agencies, including leased aircraft used by federal agencies. The FAA and NTSB cover these records under agency-specific schedules. 2. Records related to federal law enforcement and federal correctional activities. Federal law enforcement includes border and transportation security and immigration and naturalization services. Agencies that create these records must schedule them on agency-specific schedules. 3. Records of accidents or incidents in federal facilities involved in incarcerating or detaining individuals. Agencies that create these records must schedule them on agency-specific schedules. 4. Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records. 5. Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records. <p><i>Supersedes DAA-GRS-2021-0001-0004 - 3 years after reporting action or 3 years old</i></p> | Temporary. Destroy 3 years after final action. Longer retention is authorized for business use. | DAA-GRS-202X-000X-0002 |
| 110 - 150 | No change | | |
| 160 | <p>Canine (K-9) service records. Records documenting acquisition, training, activities, care, and retirement of canine partners.</p> <p><i>Supersedes DAA-GRS-2017-0006-0021 - superseded or obsolete or 3 years after dog is released from service</i></p> | Temporary. Destroy 3 years after canine separation. Longer retention is authorized for business use. | DAA-GRS-202X-000X-0003 |
| 170 - 240 | No change | | |



Office of the Chief
Records Officer for the
U.S. Government

Date: July 31, 2023
Appraiser: Andrea Riley, ACRS
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-202X-000X

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INTRODUCTION

Schedule Subject

GRS 5.6, Security Management Records - Revision

Additional Background Information

NARA is revising GRS 5.6, Security Management Records, to enable a computer to convert disposition instructions into code that it can implement. In other words, we seek to make the instructions machine-implementable. These instructions must have only one retention type for the computer to know what to do. A retention type identifies the general point in time when retention starts, either at the point of creation (an age- or creation-based retention, such as “Destroy when 3 years old”) or when a certain event occurs (an event-based retention, such as “Destroy 3 years after final action”).

The following changes have been made to this schedule:

- Revisions to item 050, Records of credit card abuse and postal irregularities, to change the item title and description and the disposition instruction to make it machine-implementable.
- Revisions to item 100, Accident and incident records, and item 160, Canine (K-9) service records, to make their disposition instructions machine-implementable.

Overall Recommendation

Approval of the attached schedule is recommended based on NARA Directive 1441 Appraisal Policy of the National Archives and Records Administration.

APPRAISAL

Item 0001 (GRS 5.6, item 050): Misuse or irregularities investigations.

The item title has been revised to better describe the activity it is intended to cover. The item covers records related to investigations into misuse or other irregularities in the usage of government credit cards or calling cards, as well as records related to the handling of mail. The description has also been revised for greater clarity.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Superseded items:

- DAA-GRS-2017-0006-0006 (GRS 5.6, item 050, Records of credit card abuse and postal irregularities) - Temporary

Reason for rescheduling: To update the item title and description and make the disposition instruction machine-implementable.

Appraisal Justification:

- Records document routine administrative functions, rather than an agency's core mission. These investigations are into routine, administrative matters such as handling of mail or the misuse of government credit cards. They document investigations and how issues were resolved (such as an employee accidentally using their government credit card for a personal purchase). Any serious infractions would result in legal or disciplinary actions that would be documented under other functions.
- Previously approved as temporary.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previous disposition instruction was to destroy these records when 3 years old or three years after completion of the investigation, whichever is later. We revised the disposition instruction for machine-implementation to "Destroy 3 years after final action," where final action is presumed to be completion of the investigation or decision not to investigate. Longer retention is still authorized for business use.

Media Neutrality: Approved

Item 0002 (GRS 5.6, item 100): Accident and incident records

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Superseded items:

- DAA-GRS-2021-0001-0004 (GRS 5.6, item 100, Accident and incident records) - Temporary

Reason for rescheduling: To make the disposition instruction machine-implementable.

Appraisal Justification:

- Records document routine administrative functions, rather than an agency's core mission. These records relate to the facility security function within an agency.
- Previously approved as temporary.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previous disposition instruction was to destroy when 3 years old or 3 years after final investigation or reporting action. We revised the disposition instruction for machine-implementation to "Destroy 3 years after final action," where final action is presumed to be completion of the investigation or report. Longer retention is still authorized for business use.

Media Neutrality: Approved

Item 0003 (GRS 5.6, item 160): Canine (K-9) service records

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Superseded items:

- DAA-GRS-2017-0006-0021 (GRS 5.6, item 160, Canine (K-9) service records) - Temporary

Reason for rescheduling: To make the disposition instruction machine-implementable.

Appraisal Justification:

- Records document routine administrative functions, rather than an agency's core mission. These are the equivalent of personnel and medical records for canine service animals and therefore fall under the personnel management function.
- Previously approved as temporary.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previous disposition instruction was to destroy records when superseded or obsolete or 3 years after the dog is released from service, whichever is sooner. We have simplified the disposition instruction for machine-implementation to "Destroy 3 years after canine separation." This also brings the disposition into more of an alignment with disposition practices for personnel and medical records, just with a shorter retention. Longer retention is still authorized for business use.

Media Neutrality: Approved

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