



The General Records Schedules

Transmittal 28

National Archives and Records Administration
July 2017

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* This schedule was issued under a previous Transmittal. You can access it in this [table](#) or this [PDF](#).

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* This schedule was issued under a previous Transmittal. You can access it in this [table](#) or this [PDF](#).

TO: Heads of Federal agencies

1. What does this document do?

GRS Transmittal 28 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittal 27 in January 2017. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies. We are nearing to the end of our five-year plan to completely rewrite the GRS. With Transmittal 28, 92% of old items are now superseded.

Transmittal 28 includes only schedules newly issued or updated since the last transmittal, those schedules' associated new-to-old crosswalks and FAQs, an update to the FAQs for GRS 6.1 (but not schedule 6.1 itself, which remains unchanged), and an update to the FAQs about Flexible Dispositions. This means that many current GRS schedules are *not* included in this Transmittal. You can find all schedules (in Word, PDF and CSV formats), crosswalks and FAQs for all schedules, and FAQs about the whole GRS at <http://www.archives.gov/records-mgmt/grs.html>. At the same location, you can also find the entire GRS (just schedules—no crosswalks or FAQs) in a [single document](#).

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

GRS Transmittal 28 publishes nine new schedules:

GRS 2.1	Employee Acquisition Records	DAA-GRS-2014-0002
GRS 2.2	Employee Management Records	DAA-GRS-2017-0007
GRS 2.3	Employee Relations Records	DAA-GRS-2015-0007
GRS 2.4	Employee Compensation and Benefits Records	DAA-GRS-2016-0015
GRS 5.1	Common Office Records	DAA-GRS-2016-0016
GRS 5.2	Transitory and Intermediary Records	DAA-GRS-2017-0003
GRS 5.6	Security Records	DAA-GRS-2017-0006
GRS 5.8	Administrative Help Desk Records	DAA-GRS-2017-0001
GRS 6.5	Public Customer Service Records	DAA-GRS-2017-0002

This transmittal also publishes a new item in one schedule: GRS 1.1, Financial Management and Reporting Records (see question 3). In addition, it supersedes in its entirety GRS 4.3, Input Records, Output Records, and Electronic Copies (see question 4).

The table of contents shows some alterations to previously published schedule titles. Research led us to conclude that it is not possible at this time to write a GRS for legal records, so the number assigned to that anticipated schedule--GRS 6.3--has been assigned instead to Information Technology Records. A new schedule for rulemaking records is GRS 6.6. Both 6.3 and 6.6 should be published in Transmittal 29.

This transmittal publishes a revised Frequently Asked Questions (FAQs) for GRS 6.1. The revisions include adding new GRS citations where appropriate; removing unnecessary

references to some CFR citations in Q3; clarifying Q4 text; clarifying culling in Q22; and clarifying how to report calendars, appointments, tasks, chat transcripts, and other communications on NA-1005 in Q27. Finally, this transmittal publishes updated FAQs on Flexible Dispositions, adding a new Q6 about batching records for disposal.

3. How has GRS 1.1 changed? How might these changes affect my agency?

We added one new item (080) to cover administrative claims made by or against the Federal Government. We also added three new questions to the GRS 1.1 FAQs concerning travel receipts scanned into e-systems (question 9), audit records (question 16) and use of item 080 (question 18).

4. Why did you delete GRS 4.3?

We deleted GRS 4.3, Input Records, Output Records, and Electronic Copies, because we have superseded its seven items with two new items in GRS 5.1 and 5.2. We superseded GRS 4.3, item 040, Non-recordkeeping copies of electronic records, with the closely parallel and identically titled GRS 5.1, item 020. We moved it to 5.1 to place it in context with other common office records. The new item is media-neutral. We superseded GRS 4.3, items 010, 011, 020, 030, 031, and 040 with GRS 5.2, item 020, Intermediary records. We found we could gather records of various formats from various sources into a single unit by recognizing this unifying trait: they are stopping points *en route* to a final record scheduled elsewhere.

7. What GRS items does GRS Transmittal 28 rescind?

Many old GRS items are superseded by new GRS items. A few old items, however, have outlived their usefulness and cannot be crosswalked to new items. The table below lists old items newly rescinded by GRS Transmittal 28.

GRS	Item	Title	Reason
1	1a	Official Personnel Folders: Transferred employees	Was simply a filing/handling instruction and never had an associated disposition authority.
1	2a 2b	Service Record Cards	The Service Record Card (SF 7) became obsolete in 1994.
1	6	Employee Record Cards	The Employee Record Card (SF 7b) became obsolete in 1993.
1	7a1	Position Classification Standards Files	Non-record technical reference in all agencies but OPM, where they are mission records.
1	7a2b	Position Classification Standards Review Files	No longer exist in the electronic world. If on paper, they are non-record duplicates.
1	7c1	Classification survey reports	OPM believes these records no longer exist.
1	7c2	Inspection, audit, and survey files	
1	11	Position Identification Strips	These records no longer exist.

1	13	Incentive Awards Program Reports	Agencies are no longer required to complete OPM Form 1465. Instead, OPM extracts data from the Enterprise Human Resources Integration-Statistical Data Mart to report Government-wide data on cash and time-off awards.
1	25b	Copies of EEO Complaint Case Files	These are non-record duplicates.
1	25e	Employee Housing Requests	Item does not appear to be in use.
1	33d	Test Material Stock Control	Blank unused forms are not records.
1	33h	Letters to Applicants Denying Transfer of Eligibility	OPM Form 4896 is obsolete and the entire work process no longer exists.
1	35b1	Health benefits denied, appealed to OPM for reconsideration: Appeal successful - benefits granted	Replaced by GRS 2.4, item 110. Like the old item, the new item instructs about filing, not disposition. As a result, it cannot be entered into ERA so cannot supersede the old. The old item must therefore be rescinded.
2	1a	Pay record for each employee as maintained in an electronic data base	Item was not a disposition instruction but rather an instruction to make sure the current record is full and correct.
2	2	Noncurrent Payroll Files	Item authorized periodic disposal of system data after long-term records were downloaded and safeguarded. Such data is now covered under 5.1, item 020.
2	14a 14b 14c	Savings Bond Purchase Files	Paper savings bond purchase via payroll deduction was discontinued in 2010. Payroll deductions under the current TreasuryDirect e-system are covered in GRS 2.4, item 010.
2	23b	Payroll Change Files: all other files	Electronic payroll processing means these records no longer exist.
26	1b	Internal agency committees related to an agency's mission	Item is not a disposition instruction. It tells agencies to submit a schedule for records. Now handled via a note in GRS 5.1, item 030.

Rescinded items are shown in context of their schedules in the old-to-new crosswalk.

8. How do I cite new GRS items?

When you send records to an FRC for storage, you should cite the records' legal authority—the "DAA" number—in the "Disposition Authority" column of the table. For informational purposes, please include schedule and item number. For example, "DAA-GRS-2017-0007-0008 (GRS 2.2, item 070)."

9. Do I have to take any action to implement these GRS changes?

NARA regulations (36 CFR 1226.12(a)) require agencies to disseminate GRS changes within six months of receipt.

Per 36 CFR 1227.12(a)(1), you must follow GRS dispositions that state they must be followed without exception.

Per 36 CFR 1227.12(a)(3), if you have an existing schedule that differs from a new GRS item that does *not* require being followed without exception, and you wish to continue using your agency-specific authority rather than the GRS authority, you must notify NARA within 120 days of the date of this transmittal.

If you do not have an already existing agency-specific authority but wish to apply a retention period that differs from that specified in the GRS, you must submit a records schedule to NARA for approval via the Electronic Records Archives.

10. How do I get copies of the new GRS?

You can download the complete current GRS, in PDF format, from NARA's web site at <http://www.archives.gov/records-mgmt/grs.html>.

11. Whom do I contact for further information?

Writing and maintaining the GRS is the responsibility of the GRS Team. You may contact the team with general questions about the GRS at GRS_Team@nara.gov. This team is part of Records Management Services in the National Records Management Program of the Office of the Chief Records Officer at NARA.

Your agency's records officer may contact the NARA appraiser or records analyst with whom your agency normally works for support in carrying out this transmittal. A list of the appraisal and scheduling work group and regional contacts is on the NARA web site at <http://www.archives.gov/records-mgmt/appraisal/index.html>.



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Archivist of the United States

GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

This schedule covers records created by Federal agencies in carrying out the work of financial management: procuring goods and services, paying bills, collecting debts, accounting for all financial transactions, and monitoring agencies' net worth. It does not apply to copies of records forwarded to the Department of Treasury or the Office of Management and Budget in fulfillment of reporting requirements. These forwarded copies serve unique business purposes at those agencies and are therefore scheduled separately as records of OMB and Treasury.

This schedule covers financial management records of grants and cooperative agreements but does not cover administrative records of such grants and agreements. These administrative records are covered in GRS 1.2.

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, anticipated to be replaced by future GRS 1.3.

This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

Item	Records Description	Disposition Instruction	Disposition Authority
001	Financial management and reporting administrative records. Records related to managing financial activities and reporting. Records include: <ul style="list-style-type: none"> correspondence subject files feeder reports workload management and assignment records 	Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0001
010	Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting. Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services,	Official record held in the office of record.	Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>paying bills, collecting debts, and accounting for all finance activity, per the following definitions.</p> <p>Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:</p>	required for business use.	
011	<p>Procurement and payment records include those such as:</p> <ul style="list-style-type: none"> • contracts • requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations <p>Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation</p>	<p>All other copies. Copies used for administrative or reference purposes</p>	<p>Temporary. Destroy when business use ceases.</p> <p>DAA-GRS-2013-0003-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>(not covered under the GRS), and Congressional appropriation, such as:</p> <ul style="list-style-type: none"> records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including: <ul style="list-style-type: none"> cash register transaction records credit card and charge cards receipts records documenting deposits records documenting allocation of fees to funds/accounts deposit lists and logs customer orders revolving fund records fee and fine collection records garnishments sale of excess and surplus personal property fee or rate schedules and supporting documentation out-leases of Federal property debt collection files and cash receipts writeoffs copies of checks payment billing coupons letters from lenders payment records money orders journal vouchers collection schedules <p>Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:</p> <ul style="list-style-type: none"> accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, 		

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>but excluding payroll records, and accounts pertaining to American Indians. Includes:</p> <ul style="list-style-type: none"> ○ statements of transactions ○ statements of accountability ○ collection schedules and vouchers ○ disbursement schedules and vouchers ● vouchers ● certificates of closed accounts ● certificates of periodic settlements ● general funds files ● general accounting ledgers ● appropriation, apportionment, and allotment files ● posting and control files ● bills of lading ● transportation and travel requests, authorizations, and vouchers ● commercial freight vouchers ● unused ticket redemption forms <p>Legal citation: 28 U.S. Code 2401(a)</p> <p>Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p>Note 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.</p> <p>Note 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.</p>		
012	<p>Bids and proposals neither solicited nor accepted.</p> <p>Bids and proposals that are both unsolicited and the subject of no further agency action.</p>	<p>Temporary. Destroy when no longer required for business use.</p>	<p>DAA-GRS-2016-0001-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
013	<p>Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of procurement information the agency transfers to the FPDS.</p> <p>Exclusion: This item does not cover data contained in the Federal Procurement Data System, which is scheduled by GSA.</p> <p>Not media-neutral. Applies to electronic records only.</p>	<p>Temporary. Destroy or delete when 6 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0001-0002</p>
020	<p>Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Includes records such as:</p> <ul style="list-style-type: none"> • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports 	<p>Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0011</p>
030	<p>Property, plant and equipment (PP&E) and other asset accounting. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:</p> <ul style="list-style-type: none"> • purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records 	<p>Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers <p>Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.</p>		
040	<p>Cost accounting for stores, inventory, and materials.</p> <p>Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:</p> <ul style="list-style-type: none"> • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures • cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts • receiving, inspection, and acceptance documentation 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0003-0012
050	<p>Construction contractors' payroll files.</p> <p>Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.</p>	<p>Temporary. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0003-0003

Item	Records Description		Disposition Instruction	Disposition Authority
060	Contract appeals case files. Records of contract appeals arising under the Contracts Dispute Act. Includes: <ul style="list-style-type: none"> • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers 		Temporary. Destroy 1 year after final resolution, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0003
070	Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.	Records of suspensions and debarments for violation of the Drug-Free Workplace Act.	Temporary. Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0004
071		Records of all other suspensions and debarments and all approved vendors and bidders.	Temporary. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0005
080	Administrative claims by or against the United States. Records of monetary or property claims <i>by</i> the United States subject to the Federal Claims Collection Standards, completed or closed by: <ul style="list-style-type: none"> • payment in full 		Temporary. Destroy 7 years after final action, but longer	DAA-GRS-2017-0005-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • compromise agreement • termination of collection action • determination that money or property is not owed to the United States • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard • lifting of court order <p>Also, records of monetary claims <i>against</i> the United States, completed or closed by:</p> <ul style="list-style-type: none"> • disallowance in full • allowance in full or in part with final payment awarded • settlement, compromise, or withdrawal • lifting of court order <p>Legal Citations: 31 CFR 900-904 28 U.S.C. 2401 28 U.S.C. 2415(a) 31 U.S.C. 3716(c) 31 U.S.C. 3716(e)</p>	retention is authorized if required for business use.	

New GRS 1.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
1.1	001	3 years	DAA-GRS-2016-0013-0001	3	2	2 years	NC1-64-77-5, item 3
				6	5a	2 years	NC1-64-77-11, item 5a
				6	5b	3 years	NC1-64-77-11, item 5b
				7	1	2 years	GRS 7, 1952, item 1
				8	1	2 years	GRS 8, 1952, item 1
				9	4a	2 years	N1-GRS-91-3, item 4a
1.1	010	6 years	DAA-GRS-2013-0003-0001	3	3a1a	6 years, 3 months	N1-GRS-95-4 item 3a1a
				3	3a1b	3 years	N1-GRS-95-4 item 3a1b
				3	3a2a	6 years, 3 months	N1-GRS-95-4 item 3a2a
				3	3a2b	3 years	N1-GRS-95-4 item 3a2b
				3	5a	With related contract (see item 3)	NC1-GRS-81-2 item 6a
				3	5b1	1 year after award or payment	NC1-GRS-81-2 item 6b1
				3	5b2a	When related contract is completed	NC1-GRS-81-2 item 6b2a
				3	5b2b	With related contract (see item 3)	NC1-GRS-81-2 item 6b2b
				3	5c1	5 years	NC1-GRS-81-2 item 6c1
				3	5c2	Return to bidder	NC1-GRS-81-2 item 6c2
				3	6a	3 years	NC1-64-77-5 item 7a
				3	6b	3 years	NC1-64-77-5 item 7b
				3	7	1 year	NC1-64-77-5 item 8
				3	10	3 years	NC1-64-77-5 item 11
				3	12	3 years	NC1-64-77-5 item 13
				4	3a	6 years	N1-GRS-87-11, item 6a
				4	3b	3 years	N1-GRS-87-11, item 6b
				6	1a	6 years, 3 months	N1-GRS-91-3
				6	3a	2 years	GRS 6, 1952, item 3a
				6	3b	Receipt of subsequent certificate	GRS 6, 1952, item 3b
				6	4	3 years	NC174-105, item 5
				6	7	3 years or GAO audit	NC-64-77-11, item 7
				6	8	3 years or GAO audit	NC-64-77-11, item 8
				7	2	6 years, 3 months	NC1-GRS-83-5, item 1
				7	3	6 years, 3 months	NC1-GRS-83-5, item 2
				7	4a	3 years	NC-64-75-2, item 4a
				7	4b	2 years	NC-64-75-2, item 4b
				9	1a	6 years	N1-GRS-91-3, item 1a
				9	1b	10 years	N1-GRS-91-3, item 1b
				9	1c	6 years	N1-GRS-91-3, item 1c
				9	1d	When funds are obligated	N1-GRS-91-3, item 1e
				9	1e	3 years	N1-GRS-98-2, item 8
				9	3a	6 years	N1-GRS-91-3, item 3a
1.1	011	When business use ceases	DAA-GRS-2013-0003-0002	3	3c	Upon termination	NC1-64-77-5 item 4c
				6	1b	1 year	N1-GRS-86-3, item 1b
				9	3b	When funds are obligated	N1-GRS-91-3, item 3b
				12	2d1	1 year	NC1-64-77-9 item 2d1
1.1	012	No longer required	DAA-GRS-2016-0001-0001	New item			
1.1	013	6 years	DAA-GRS-2016-0001-0002	1.1	010 bullet*	6 years	DAA-GRS-2013-0003-0001, bullet*
				1.1	011 bullet*	When business use ceases	DAA-GRS-2013-0003-0002, bullet*
				3	3d	5 years	N1-GRS-87-8 item 4d
1.1	020	2 years	DAA-GRS-2013-0003-0011	New item			
1.1	030	2 years	DAA-GRS-2013-0003-0004	New item			
1.1	040	3 years	DAA-GRS-2013-0003-0012	8	2	3 years	NC-64-75-2, item 3
				8	3	3 years	NC-64-75-2, item 4
				8	4	2 years	GRS 8, 1952, item 5
				8	5	3 years	GRS 8, 1952, item 6
				8	6a	3 years	NC-64-75-2, item 7a
				8	6b	3 years	NC-64-75-2, item 7b
				8	7a	3 years	NC-64-75-2, item 8a
1.1	050	3 years	DAA-GRS-2013-0003-0003	3	11	3 years	NC1-64-77-5 item 12
1.1	060	1 year	DAA-GRS-2016-0001-0003	3	15b	1 year	N1-GRS-87-9 item 19b
1.1	070	5 years	DAA-GRS-2016-0001-0004	3	5d	Superseded or obsolete	NC1-GRS-81-2 item 6d
1.1	071	3 years	DAA-GRS-2016-0001-0005				

* Only this bullet: "data submitted to the Federal Procurement Data System (FPDS)"

July 2017

New GRS 1.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
1.1	080	7 years	DAA-GRS-2017-0005-0001	6	10a	6 years, 3 months	N1-GRS-87-13, item 1a
				6	10b1	6 years, 3 months	N1-GRS-87-13, item 1b1
				6	10b2a	10 years, 3 months	N1-GRS-87-13, item 1b2a
				6	10b2b	3 months after right to collect ends	N1-GRS-87-13, item 1b2b
				6	10b3	6 years, 3 months	N1-GRS-87-13, item 1b3
				6	10c	6 years, 3 months	N1-GRS-87-13, item 1c
				6	11a	6 years, 3 months	N1-GRS-88-1, item 11a
				6	11b	6 years, 3 months --or-- 10 years, 3 months --or-- 3 months after right to litigate ends	N1-GRS-88-1, item 11b

Frequently Asked Questions (FAQs) about GRS 1.1, Financial Management and Reporting Records

Revised July 2017

INTRODUCTION

1. What is the purpose of GRS 1.1?

This schedule provides disposition authority for records created and received in the course of carrying out an agency's financial management and reporting responsibilities.

2. From whom may I request more information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 1.1 differ from the old GRS?

The biggest difference is the amalgamation of 34 items in old GRS 3, 4, 6, 7, and 9 into one item (010) covering financial transaction records (see details in the GRS 1.1 Crosswalk). This change occurred as a result of the new GRS aligning where feasible with the Federal Enterprise Architecture Lines-of-Business model. Under this model, the GRS groups records by the business processes that create them. The related business processes of paying bills and collecting debts—and accounting for both—are further consolidated by the fact that all share a single audit. Uniting these records under a single schedule item is also useful because most financial transactions are now conducted electronically and their documentation is born digital. Many large e-systems contain records covered by most or even all of the 34 old items superseded by new item 010.

Two new items cover records not before scheduled by the GRS: Records supporting compilation of agency financial statements and related audit, and all records of all other reports (item 020) and property, plant, equipment and other asset accounting (item 030).

4. Why did you intermingle travel and transportation records with financial management records in items 010 and 011 when they were in a separate schedule in the old GRS?

Several items in GRS 9, Travel and Transportation Records, covered records documenting movement of people (travel) and movement of goods (transportation). While the logistics of arranging for travel and transportation may be a distinct business process, at root many of these records document paying money in exchange for services and agencies retain them primarily to enable financial audit. That is why we have folded them into items 010 and 011, which cover a wide range of financial transaction records.

5. Why are you removing items that were in the old GRS?

The following old GRS items that most logically would have mapped to this schedule are rescinded:

GRS item	Series title	Explanation
GRS 3/3b	Routine Procurement— Obligation copy	This copy of a multi-copy form was to keep an obligation on the radar screen until funds were in fact obligated. Hard copies no longer exist in the e-system work-process pipeline.
GRS 3/15a	Contract Appeals Case Files created prior to October 1979	No longer needed because all such records should have been destroyed as of 1986.
GRS 3/16	Contractor's Statement of Contingent or Other Fees	SF 119 is no longer in the GSA forms library. The Federal Acquisition Regulation (FAR) was amended (see FAR case 93-009, published in the <i>Federal Register</i> November 13, 1995) to state that these statements are no longer required.
GRS 6/2	GAO Exceptions Files	SF 1100 no longer exists.
GRS 6/6a1 GRS 6/6a2 GRS 6/6b	Federal Personnel Surety Bond Files	According to 31 USC 9302, surety bonds posted by the government concerning Federal personnel were discontinued by Public Law 97-258 in 1982.
GRS 6/9	Telegrams filed to support telegraph bills	These no longer exist.
GRS 8/7b1 GRS 8/7b2 GRS 8/7b3	Cost Report Data Files: Detail cards Cost Report Data Files: Summary cards Cost Report Data Files: Tabulations	These three items are unchanged since GRS 8 was first published in 1952. They refer to an ancient system of electronic tabulation via key-punch cards. The records are no longer created nor have they been for possibly three decades. No records are in FRCs.

QUESTIONS RELATED TO ITEM 010

6. Why is the retention of accountable officers' records reduced from 6 years and 3 months to 6 years?

From the advent of the GRS in 1952 until 1977, general financial management records were retained for 6 years. The change in retention for some records to 6 years and 3 months was codified in 1977 by schedule job number NC1-064-77-5, apparently in response to 28 USC 2415. This law set the Government's right to litigate on behalf of a recognized American Indian band or tribe to "six years and ninety days" while for all other purposes the Government's right to litigate ceases after 6 years (28 USC 2401). Item 010 returns all financial transactions to 6-year retention *except* for those transactions concerning recognized American Indian bands or tribes, which are excluded from the GRS. Serious issues surround accounts concerning American Indian band/tribal finances. Litigation has put these records into frozen status unlikely to be altered any time soon. They will likely be ultimately scheduled for long-term temporary or even permanent retention. Their appraisal must be made on a case-by-case basis, which is outside the scope of the GRS.

7. My agency, seeking to get away from the awkward 6-year-3-month retention period, already scheduled accountable officers' and similar financial records for 7-year retention. Which takes precedence: my agency's 7-year retention or the GRS 6-year retention?

Your agency can choose whether to follow the GRS new 6-year retention or continue to retain records for 7 years in keeping with its agency-specific schedule. Retaining the records for 7 years might be necessary if your agency folded financial management records along with other administrative records into a single bucket item with 7-year retention. In such a case, it may not be possible to extract the financial management records from the bucket item without destroying the bucket.

8. If my agency chooses to continue using its own 7-year schedule item instead of the GRS, must it notify NARA?

It depends. The GRS permits business-purpose retention beyond 6 years. If your agency updates its manual to cite new GRS 1.1, item 010, as the authority for its 7-year retention, you do not need to notify NARA. If your agency has a previously approved deviation-from-the-GRS authority (such as a big bucket schedule item that merges financial management records with other series) and wishes to continue using that authority to mandate agency-wide 7-year retention, it must notify NARA of this fact. In part, this is because the agency will be retiring records to storage under its own authority citation rather than the GRS authority citation. Federal Records Centers receiving these records need to know what agency items are authoritative.

9. If I scan paper travel receipts into an e-system as voucher attachments, can I destroy the original paper?

Yes, as long as you meet both of the following prerequisites. First, your agency must identify the e-system as the repository for vouchers available for audit by the Government Accountability Office (GAO). Your agency must retain the records in this e-system for 6 years, per GRS 1.1, item 010. Second, the scanned image must contain everything available in the original paper. GAO states, "There shouldn't be anything on the paper that isn't reflected in the electronic version."¹ If these two conditions are met, the original paper travel receipts may, after the scanned image is verified to contain all information in the original, be destroyed per GRS 5.2, item 020.

QUESTION RELATED TO ITEM 011

10. Why is item 010 followed by an item (011) for "all other copies" but none of the other items have a similar all-other-copies counterpart?

Records in item 010 are in many cases likely to have extra copies retained in other business units for a separate business purpose. For instance, a purchase order may exist in multiple copies not only where it is held for financial audit but also in accounts payable, shipping and receiving, and other offices. These are not non-record copies held for convenience, but records retained for specific and unique business purposes. Because the record copy is retained for audit, the other copies can be disposed of when their business use ceases. Copies of records covered by other items in this schedule are more likely to be held simply for convenience. They serve no unique business purpose, are therefore non-record by definition, and do not need to be scheduled.

QUESTIONS RELATED TO ITEM 012

11. Does this item cover all unsolicited and all unaccepted bids?

¹ This statement was made by a GAO representative to NARA's GRS Team on January 24, 2017.

No. This item covers only bids that are *both* unsolicited *and* unaccepted. These bids have a much shorter retention period than bids that are unsolicited but accepted or solicited but unaccepted. (Item 010 of this schedule addresses both these latter types of bids.) Any accepted bids have obvious business and legal value documenting a contract, and any solicited bids have further value if there are legal challenges to the contract award. Bids that agencies neither solicit nor accept do not fulfill continuing business purposes and agencies thus do not need to retain them for long.

12. Does this item's disposition mesh with the Federal Acquisition Regulation (FAR)?

The FAR Implementation Team, which drafted the update to the FAR published in the *Federal Register* on December 4, 2015, requested that we add this item. The FAR update contains directions to dispose of these materials "in accordance with agency procedures" (80 FR 75913). That instruction is consistent with this item's disposition to destroy "when no longer required for business use." So, yes, this item's disposition meshes with the FAR.

QUESTIONS RELATED TO ITEM 013

13. Why did you move data submitted to the Federal Procurement Data System (FPDS)—originally part of big-bucket item 010—to granular item 013?

These records were a standalone item in the old GRS but we merged them with many other old GRS items into the original publication of GRS 1.1, item 010. However, item 010 covers records relating to individual financial transactions; the records now being moved to item 013 do not concern such transactions. Instead, these records monitor equity and transparency in the Government procurement process. Agencies retain both items 010 and 013 for 6 years, but calculate the retention period for item 013 from record creation (submission to FPDS), and calculate the retention period for item 010 from record close (final action on a particular procurement or collection activity), potentially years after creation. For these reasons, we are returning data submitted to FPDS to a standalone schedule item.

14. Why does this item cover only an agency's copy of the data it submitted to FPDS, but not the master data held in FPDS itself?

The GRS covers records common to multiple agencies. FPDS is a system owned by the General Services Administration (GSA). Although multiple agencies own and submit the system's source data, once collected in FPDS the data is unique to GSA and GSA must schedule it. As a result, the GRS does not cover the data within the FPDS. GSA's FPDS master data is permanent under N1-137-96-1, item 1. For this reason, agency-retained copies of their own submitted data are temporary.

QUESTION RELATED TO ITEM 020

15. Item 020 is for background materials used to prepare an annual agency financial statement. Why isn't there an item for the agency financial statements themselves?

Agency financial statements have been required from all agencies since 1997 per the Government Management Reform Act (1994) section 405, now codified in 31 CFR 3515. Only a few agencies have scheduled these records, with wide disparity in retention periods. They are also sometimes scheduled as part of a larger series of reporting records that include more than financial reporting. We were

unable to determine a universally applicable value to these records by the time of publication of this schedule and did not wish to hold up the schedule while waiting to resolve the one issue. We may, however, be able to revisit this at a future time.

16. Does this item cover records of all audits?

This item covers records of an agency's audits of its annual financial statement—the assessment of its assets' market value. It does not cover records of other financial or non-financial audits.

QUESTION RELATED TO ITEM 030

17. Besides being included in item 030, purchase orders, contracts, and invoices also appear in item 010. How can I tell which item is the correct one for my records?

Purchase orders, contracts, and invoices appear in item 010 when they document financial transactions subject to audit to ensure that government spends its resources appropriately and within the confines of the law. *Some* of those purchase orders, contracts and invoices serve as a baseline to document agency investment in "property, plant and equipment" (PP&E) assets, and these are the subject of item 030.

Determining the value of PP&E assets involves knowing the original purchase price and the rate of amortization over the course of years. Many assets eventually wear out and are removed from inventory, while others (such as real estate and structures) may have a usable life of many decades or remain in government ownership to the end of the republic.

The same records may exist in both the financial management and the PP&E asset accounting offices. They are scheduled differently based on the business purpose the records serve in each office. Their retention is 6 years in item 010 to ensure their availability for financial audit. But their retention in item 030 may be for many decades. For this reason, it is advisable that duplicates of purchase orders, contracts, and invoices concerning PP&E assets be supplied to that office for inclusion in the files documenting those assets that are covered by item 030.

QUESTION RELATED TO ITEM 080

18. Does this item cover foreign claims received and adjudicated by the Department of State (DOS) or the Foreign Claims Settlement Commission (FCSC)?

No. DOS or FCSC are the only Federal agencies that adjudicate foreign claims. Records of those claims are mission records at those agencies and therefore not eligible for inclusion in the GRS, which addresses administrative records common across many or all Federal agencies. Both DOS and FCSC have scheduled these records themselves. Administrative claims may also occur at both DOS and FCSC. When they do, the records of their adjudications are indeed covered by GRS 1.1, item 080.

GENERAL RECORDS SCHEDULE 2.1: Employee Acquisition Records

This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies’ employee selection processes. Its procedural rules and best practices are spelled out in its “Delegated Examining Operations Handbook.” This schedule reflects OPM’s determinations on appropriate records retention periods.

This schedule applies only to civilian employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.

Item	Records Description		Disposition Instruction	Disposition Authority
010	Classification standards. Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval. Exclusion: OPM’s case files on classification standards are not covered by this item.		Temporary. Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate) but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0001
020	Position descriptions. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.	Official record copy of position description. Copy held at Human Resources office.	Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0002
021		Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor’s personnel file.	Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)	
022		All other related records. Includes: <ul style="list-style-type: none"> case file at position’s program office background material in Human Resources case file other copies of records in item 020 	Temporary. Destroy when position description is final, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0003

Item	Records Description		Disposition Instruction	Disposition Authority
030	Position reviews and classification appeals. Records an agency creates and receives when reviewing a position’s classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits. Exclusion: OPM’s corresponding case file is not covered by this item.		Temporary. Destroy 3 years after final decision, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0004
040	Certificates of classification. Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal. Exclusion: OPM’s file is not covered by this item.		Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0005
050	Job vacancy case files. Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes: <ul style="list-style-type: none">• request for lists of eligible candidates• job announcement• examination announcement	Records of one-time competitive and Senior Executive Service announcements/selections.	Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2014-0002-0006
051	<ul style="list-style-type: none">• job analysis, assessment criteria, and crediting plan• basis for certification• applications, resumes, supplemental forms, other attachments• list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification• certificates, registers or lists of eligible candidates issued to selecting officials• job-related test records• annotated certificates of eligible candidates returned by selecting officials• job offers• records of job offer being accepted or declined• correspondence/documentation of announcement or recruiting operation Legal citation: 5 CFR 335.103	Records of standing register competitive files for multiple positions filled over a period of time.	Temporary. Destroy 2 years after termination of register.	DAA-GRS-2014-0002-0007

Item	Records Description	Disposition Instruction	Disposition Authority
060	<p>Job application packages. Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes:</p> <ul style="list-style-type: none"> • application • resume • supplemental forms • other attachments <p>Note: This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files (Items 050 and 051).</p>	Temporary. Destroy 1 year after date of submission.	DAA-GRS-2014-0002-0011
070	<p>Case files on lost or exposed job test materials. Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.</p>	Temporary. Destroy 5 years after date of final report.	DAA-GRS-2014-0002-0012
080	<p>Requests for non-competitive personnel action. Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.</p>	Temporary. Destroy 1 year after approval is granted or denied.	DAA-GRS-2014-0002-0013
090	<p>Interview records. Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:</p> <ul style="list-style-type: none"> • copies of records in the job vacancy case file (item 050 and 051) • notes of interviews with selected and non-selected candidates • reference check documentation <p>Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.</p>	Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.	DAA-GRS-2014-0002-0008
100	<p>Political appointment (Schedule C) records. Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes:</p>	Records (except ethics pledges and waivers) related to appointees. Temporary. Destroy after separation. Retention up to end of administration under which individual was hired is	DAA-GRS-2014-0002-0014

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees <p>Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>		authorized if required for business use.	
101		Ethics pledges and waivers of appointees.	File in appointee's Official Personnel File, per Executive Order 13490.	
102		Records related to non-appointees.	Temporary. Destroy 1 year after consideration of the candidate ends. Retention up to end of administration under which individual was considered is authorized if required for business use.	DAA-GRS-2014-0002-0015
110	<p>Excepted service appointment records.</p> <p>Records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):</p> <ul style="list-style-type: none"> • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance 	Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).	Temporary. Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.	DAA-GRS-2014-0002-0018
111	<p>Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	Case files related to all other appointees.	Temporary. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.	DAA-GRS-2014-0002-0019

Item	Records Description		Disposition Instruction	Disposition Authority
120	Special hiring authority program records. Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.		Temporary. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016
130	Records related to individual employees hired under special temporary authority. Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.		Temporary. Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0017
140	Pre-appointment files. Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions. Included are forms in the SF-85 family, finger print charts, and related correspondence.	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.	
141		Records appropriate for inclusion in OPF. Such as designation of beneficiary, life insurance election, and health benefits registration.	Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142			Temporary. Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009
143		Copies of records included in Job vacancy case file (items 050 or 051).	Temporary. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010
150	Records of delegation of authority for examination and certification. Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment.		Temporary. Destroy 3 years after agreement terminates but longer retention is	DAA-GRS-2014-0002-0021

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion: OPM's records are not covered by this item.</p>	<p>authorized if required for business use.</p>	
160	<p>Delegated authority audits. Reports of delegated examining operations audit delivered to the audited agency.</p> <p>Exclusion: OPM's records are not covered by this item.</p>	<p>Temporary. Destroy when 3 years old but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0022</p>

New GRS 2.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.1	010	2 years	DAA-GRS-2014-0002-0001	1	7a2a	5 years	NC1-64-77-10, item 7a2a
2.1	020	2 years	DAA-GRS-2014-0002-0002	1	7b	2 years	N1-GRS-88-4, item 1
2.1	021	Per instructions for associated file	None. User is referred to another authority.	New item			
2.1	022	When position description is final	DAA-GRS-2014-0002-0003	New item			
2.1	030	3 years	DAA-GRS-2014-0002-0004	1	7d1	3 years	N1-GRS-90-1, item 7d1
2.1	040	2 years	DAA-GRS-2014-0002-0005	1	7d2	Immediately after position abolished or superseded	N1-GRS-90-1, item 7d2
2.1	050	2 years	DAA-GRS-2014-0002-0006	1	4a (in part)	When appt. effective	NC1-64-77-10, item 4a (in part)
				1	5 (in part)	2 years	NC1-64-77-10, item 5 (in part)
				1	32	2 years	N1-GRS-79-2, item 1
				1	33b (in part)	1 year	NC1-GRS-85-2, item 34a (in part)
				1	33c (in part)	90 days	N1-GRS-02-1, item 33c (in part)
				1	33e (in part)	90 days	NC1-GRS-85-2, item 34c (in part)
				1	33f (in part)	2 years	N1-GRS-02-1, item 33f (in part)
				1	33g (in part)	2 years	N1-GRS-02-1, item 33g (in part)
				1	33i (in part)	6 months	NC1-GRS-85-2, item 34h (in part)
				1	33p (in part)	2 years	N1-GRS-02-1, item 33p (in part)
				1	33q (in part)	2 years	N1-GRS-02-1, item 33q (in part)
2.1	051	2 years	DAA-GRS-2014-0002-0007	1	4a (in part)	When appt. effective	NC1-64-77-10, item 4a (in part)
				1	5 (in part)	2 years	NC1-64-77-10, item 5 (in part)
				1	33b (in part)	1 year	NC1-GRS-85-2, item 34a (in part)
				1	33c (in part)	90 days	N1-GRS-02-1, item 33c (in part)
				1	33e (in part)	90 days	NC1-GRS-85-2, item 34c (in part)
				1	33f (in part)	2 years	N1-GRS-02-1, item 33f (in part)

New GRS 2.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.1	051	2 years	DAA-GRS-2014-0002-0007	1	33g (in part)	2 years	N1-GRS-02-1, item 33g (in part)
				1	33i (in part)	6 months	NC1-GRS-85-2, item 34h (in part)
				1	33p (in part)	2 years	N1-GRS-02-1, item 33p (in part)
				1	33q (in part)	2 years	N1-GRS-02-1, item 33q (in part)
2.1	060	1 year	DAA-GRS-2014-0002-0011	1	4b1	Return to OPM	NC1-64-77-10, item 4b1
				1	4b2	File with application	NC1-64-77-10, item 4b2
				1	4b3	Destroy immediately	NC1-64-77-10, item 4b3
				1	33k	1 year	N1-GRS-02-1, item 33k
				1	33l-1	90 days	N1-GRS-02-1, item 33l1 [el-one]
				1	33l-2	1 year	N1-GRS-02-1, item 33l2 [el-two]
				1	33m	2 years	N1-GRS-02-1, item 33m
				1	33n	2 years	N1-GRS-02-1, item 33n
2.1	070	5 years	DAA-GRS-2014-0002-0012	1	33j	5 years	NC1-GRS-85-2, item 34i
2.1	080	1 year	DAA-GRS-2014-0002-0013	1	33o	1 year	NC1-GRS-85-2, item 34k
2.1	090	2 years	DAA-GRS-2014-0002-0008	1	8	6 months	NC1-64-77-10, item 8
2.1	100	After separation	DAA-GRS-2014-0002-0014	New item			
2.1	101	1 year	DAA-GRS-2014-0002-0015	New item			
2.1	110	5 years	DAA-GRS-2014-0002-0018	1	40	5 years	N1-GRS-93-2, item 1
2.1	111	2 years	DAA-GRS-2014-0002-0019	New item			
2.1	120	2 years	DAA-GRS-2014-0002-0016	New item			
2.1	130	2 years	DAA-GRS-2014-0002-0017	New item			
2.1	140	Forward to appropriate office	None. This is just a filing instruction.	New item			
2.1	141	Forward to appropriate office	None. This is just a filing instruction.	New item			
2.1	142	1 year	DAA-GRS-2014-0002-0009	New item			

New GRS 2.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.1	143	After employee enters on duty or is no longer a candidate	DAA-GRS-2014-0002-0010	New item			
2.1	150	3 years	DAA-GRS-2014-0002-0021	1	33a	3 years	N1-GRS-86-1, item 34
2.1	160	3 years	DAA-GRS-2014-0002-0022	1	33t	3 years	NC1-GRS-85-2, item 34p

Frequently Asked Questions (FAQs) about GRS 2.1, Employee Acquisition Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 2.1?

This schedule provides disposition authority for records agencies create and receive in the course of bringing employees into the Federal workforce.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

GENERAL QUESTIONS

3. Does GRS 2.1 supersede the disposition instructions in the "Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices (May 2007), Appendix C," published by the Office of Personnel Management (OPM)?

Yes. "Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices" covers in detail how agencies with authority to hire employees, as delegated from the Office of Personnel Management, are to carry out this function. Appendix C is the schedule for records created in that process. Appendix C derives from GRS 1, items 33a through 33t. All but two items in GRS 1 are superseded (and the other two are rescinded) by new GRS 2.1. As these GRS 1 items are now superseded by GRS 2.1, GRS 2.1 supersedes Appendix C. See crosswalk for details.

4. Why did you rescind old GRS 1, item 7a1?

GRS 1, item 7a1, Position Classification Standards Files, are maintained *as records* by one agency only: the Office of Personnel Management (OPM). Records held by a single agency are not appropriately included in the GRS. In every other agency, these standards are non-record technical reference material and need no schedule to authorize disposition.

5. Why did you rescind old GRS 1, item 7a2b?

GRS 1, item 7a2b, "Review file" for position classification standards, no longer exists in the electronic milieu. Even in a paper world, it is highly unlikely that anyone separates out a file of papers for "review" that are not duplicates of the record copies in the case file.

6. Why did you rescind old GRS 1, items 7c1 and 7c2?

Agencies no longer create GRS 1, items 7c1 and 7c2, Position Classification Survey Files.

7. Why did you rescind old GRS 1, item 11?

GRS 1, item 11, covered “position identification strip” forms, which no longer exist. The form was made obsolete in 1994.

8. Why did you rescind old GRS 1, items 33d and 33h?

GRS 1, item 33d, Test Material Stock Control, covered material only at the Office of Personnel Management (OPM). This item is therefore inappropriate for the GRS. GRS 1, item 33h, Letters to Applicants Denying Transfer of Eligibility, covered OPM Form 4896, which is no longer in use. In fact, the entire work process it concerned is defunct because the Government no longer transfers eligibility from one register to another.

QUESTION RELATED TO ITEM 010

9. Why doesn’t this item cover OPM records?

OPM, as part of its mission, prepares the majority of classification standards applicable to positions in individual agencies, multiple agencies, and the entire Federal Government. These case files are permanent (NC1-146-84-1, item 1a). Item 010 covers the corresponding case file at an agency seeking to create a new classification standard specific to itself, a few agencies, or in rare cases, the entire Government. These are administrative files at all agencies other than OPM and it is therefore appropriate to include them in the GRS. The corresponding OPM files are, however, unique to OPM’s mission. OPM must therefore must schedule them on an agency-specific schedule.

QUESTION RELATED TO ITEM 021

10. Why doesn’t this item have a disposition authority?

This item is not an independent disposition authority because the records are filed in places already covered by other disposition authorities, such as that covering the employee’s official personnel file. Users must go to those other authorities to learn when to destroy records.

QUESTION RELATED TO ITEM 022

11. This item includes “other copies” of records described in item 020. Why is it necessary to include such an item for “other copies”?

Various offices in an agency might develop case files for position descriptions (PDs), most notably the program office where the position will exist. Once the PD is final, its official record resides with the agency Human Resources function and is covered by item 020. Item 022 covers background material created by any office in the course of building a PD, and also convenience copies of final PDs held by offices to document their own positions.

QUESTIONS RELATED TO ITEM 030

12. What is a classification appeal?

An employee who believes his or her position description is inappropriately graded or no longer reflects its actual responsibilities may file a classification appeal seeking to alter the grade or description. Only an employee can originate an appeal; an agency cannot appeal a classification to OPM. The appeal may be made either to an agency's HR function or directly to OPM. In either event, the agency creates a case file to track the appeal's progress and OPM's final decision.

13. Why are OPM records not covered by this item?

Position classification, as discussed in the answer to question 9, is part of OPM's mission. Therefore, records of OPM's involvement in appeal and review case files are also not appropriate for the GRS and are instead scheduled on an OPM-specific records schedule.

QUESTIONS RELATED TO ITEM 040

14. Why is the classification certificate not combined with the classification appeal file (item 030) in a single item?

A classification certificate is the document closing an appeal of a position classification. While it is arguably the conclusion of the appeal file, it takes on new life as integral documentation of a position's classification. As such, it must be retained as long as the PD is active, which may be for many years. The rest of the appeal file (item 030) is material documenting how the final decision was reached. These background records do not need to be retained as long as the certificate itself.

15. Why are OPM records not covered by this item?

Position classification, as discussed in the answer to question 9, is part of OPM's mission. Certificates received by agencies regarding their own positions document classification activities that take place in all agencies across Government; as such, it is appropriate to include them in the GRS. The certificates retained by OPM are OPM-specific records documenting the agency carrying out its mission, and must be covered by an OPM-specific schedule.

QUESTIONS RELATED TO ITEMS 050 AND 051

16. Why do these items supersede so many items in the previous GRS?

The previous GRS, particularly the 21 sub-items in GRS 1/33 (records created as part of posting Federal jobs and hiring new staff), divided these records into very small units with relatively small differences in retention periods. These small units of records were linked to a paper-based process which has largely been replaced by electronic systems. It is more efficient for electronic systems to dispose of an entire case file all at once, when possible, rather than piecemeal. This GRS revision reflects that and other current business practice and efficiencies.

17. Why do these items not authorize longer retention if required for business use?

The regulation governing these records (5 CFR 335.103), requires agencies to retain them for 2 years or until after formal program evaluation by OPM, whichever occurs first. We chose a blanket 2-year retention—the outside limit required by the regulation—for ease of implementation. There is no

express provision in the regulation for longer retention, and agencies may find that longer retention opens them to liability.

QUESTIONS RELATED TO ITEM 060

18. Why does this item supersede so many items in the previous GRS?

The answer to question 16 for items 050 and 051 applies here as well. This item supersedes a number of old GRS items ranging in retention from “destroy immediately” to 2 years. The fact that the process of submitting an application for Federal employment has become entirely electronic necessitates a unified item with a single retention period.

19. Why does this item not authorize longer retention if required for business use?

Item 060 does not authorize longer retention because the online site USAJobs enforces a strict policy of applications self-destructing one year from the day of submission. Also, risk is increased if job vacancy case files (items 050 and 051) are destroyed as required by law but duplicates of records are retained longer by other offices under item 060.

QUESTION RELATED TO ITEM 090

20. How can I know when the clock starts ticking on destruction of these records? When does right to appeal a non-selection expire?

According to 5 CFR 300.104, each agency can set its own time limit for filing appeals. Check with your agency General Counsel. It is important to retain these records until the time specified in the disposition instruction to protect both the right of a non-selectee to appeal the decision and to protect your agency in justifying its selection.

QUESTION RELATED TO ITEMS 100, 101, AND 102

21. Why do these items exclude Presidential appointment records?

Records documenting Presidential appointments are often high-profile and a subject of great interest to the research community. Since we cannot state that these records are always temporary or always permanent across the entire Government, we cannot include them in the GRS. Each agency must schedule its records on Presidential appointments on an agency-specific records schedule.

QUESTION RELATED TO ITEMS 120 AND 130

22. What specific programs are covered under special hiring authority?

Exact names of special programs may vary from year to year. The current list is available at <https://www.opm.gov/policy-data-oversight/hiring-information/hiring-authorities/>, the section at the bottom of the page entitled “Special Employment Programs.” In general, these are temporary hiring authorities and often seasonal. A good example is student summer-hire programs.

QUESTION RELATED TO ITEMS 140 AND 141

23. Why don't these items have a disposition authority?

The disposition instruction for both these items directs the user to forward the records elsewhere. The user is not responsible for disposal. These records are ultimately incorporated into other records series scheduled under other authorities.

QUESTION RELATED TO ITEMS 150 AND 160

24. Why don't these items cover OPM's records?

OPM has authority for hiring Federal employees. It may delegate this authority under 5 U.S.C. § 1104 to heads of other agencies; this delegation makes it possible for other agencies to post job openings and interview and hire employees. These activities are administrative at all agencies other than OPM. Since hiring Federal employees is an OPM mission function, it must schedule its copies of these records separately.

GENERAL RECORDS SCHEDULE 2.2: Employee Management Records

This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Employee management administrative records. Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders <p>Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0001
020	<p>Workforce and succession planning records. Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations <p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>	<p>Temporary. Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0002

Item	Records Description		Disposition Instruction	Disposition Authority
030	Employee incentive award records. Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees. Exclusion: Records of Department-level awards require agency-specific schedules.		Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0003
040	Official Personnel Folder (OPF)/electronic OPF (eOPF). The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history. Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.	Long-term records. Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF. Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.	Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0004
041	Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions. Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.	Short-term records. Records of separated employees saved to the “temporary” folder in the eOPF or filed on the left side of the hardcopy OPF. Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.	Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.	DAA-GRS-2017-0007-0005

Item	Records Description		Disposition Instruction	Disposition Authority
050	Notifications of personnel actions. Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices. Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.		Temporary. Destroy when business use ceases.	DAA-GRS-2017-0007-0006
060	Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.		Temporary. Destroy 3 years after employee separates from service or transfers to another agency.	DAA-GRS-2017-0007-0007
070	Employee performance file system records. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.	Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)). Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404	Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0008
071	Exclusion: Performance records	Unacceptable performance appraisals of non-senior executive service employees. Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents. Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404	Temporary. Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0009

Item	Records Description		Disposition Instruction	Disposition Authority
072	of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.	Records of senior executive service employees. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards. Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404	Temporary. Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0010
073		Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Superseded performance records of both non-senior executive service employees and senior executive service employees. Legal citation: 5 CFR Part 293.404	Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0011
080	Supervisors' personnel files. Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files. Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records. Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.		Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.	DAA-GRS-2017-0007-0012

Item	Records Description		Disposition Instruction	Disposition Authority
090	Records related to official passports. The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government. Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.	Application records. Records related to administering the application or renewal of official passports and visas, including: <ul style="list-style-type: none"> • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations 	Temporary. Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0013
091		Official passport registers. Registers and lists of agency personnel who have official passports.	Temporary. Destroy when superseded or obsolete.	DAA-GRS-2017-0007-0014
092		Official passports of transferred or separated agency personnel.	Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.	None; filing instruction only.
100	Volunteer service program administrative records. Records documenting routine administration, internal procedures, and general activities, including: <ul style="list-style-type: none"> • general correspondence • annual reports on volunteer activities 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0015
110	Volunteer service case files. Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include: <ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms 	Case files on volunteers. Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.	Temporary. Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0016

Item	Records Description	Disposition Instruction	Disposition Authority
111	<ul style="list-style-type: none"> • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked <p>Case files on individuals whose applications were rejected or withdrawn.</p>	Temporary. Destroy when 1 year old.	DAA-GRS-2017-0007-0017
120	<p>Skill set records. Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p> <p>Exclusion: Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.</p>	Temporary. Destroy when business use ceases.	DAA-GRS-2017-0007-0018

New GRS 2.2				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.2	010	3 years	DAA-GRS-2017-0007-0001	1	3	3 years	N1-GRS-81-10, item 1
				1	16	2 years	NC1-64-77-10, item 16
				1	17c	6 months	NC1-64-77-10, item 17c
				9	5b	1 year	N1-GRS-91-1, item 5b
				9	5c (in part)	Superseded or obsolete	N1-GRS-98-2, item 9 (in part)
2.2	020	3 years	DAA-GRS-2017-0007-0002	New Item			
2.2	030	2 years	DAA-GRS-2017-0007-0003	1	12a1	2 years	NC1-64-77-10, item 12a1
				1	12a2	2 years	NC1-64-77-10, item 12a2
				1	12b	1 year	NC1-64-77-10, item 12b
				1	12c	2 years	NC1-64-77-10, item 12c
				1	12d	Superseded or obsolete	NC1-64-77-10, item 12d
2.2	040	129 years	DAA-GRS-2017-0007-0004	1	1b	65 years	N1-GRS-87-12, item 1b2
2.2	041	Superseded or obsolete, or upon separation	DAA-GRS-2017-0007-0005	1	10a	Superseded or obsolete	N1-GRS-97-4, item 10a
2.2	050	When business use ceases	DAA-GRS-2017-0007-0006	1	14a	2 years	NC1-64-77-10, item 14a
				1	14b	1 year	NC1-64-77-10, item 14b
				1	17a	When action is completed	NC1-64-77-10, item 17a
2.2	060	3 years	DAA-GRS-2017-0007-0007	1	10b	3 years	N1-GRS-97-4, item 10b
2.2	070	4 years	DAA-GRS-2017-0007-0008	1	23a3a	Forward to gaining agency or 4 years	N1-GRS-95-3, item 23a3a
				1	23a3b	4 years	N1-GRS-98-2, item 2
				1	23a4	4 years	N1-GRS-95-3, item 23a4
				1	23a5	4 years	N1-GRS-98-2, item 3
2.2	071	1 year	DAA-GRS-2017-0007-0009	1	23a1	1 year	N1-GRS-93-3, item 23a1
2.2	072	5 years	DAA-GRS-2017-0007-0010	1	9	1 year	NC1-64-77-1, item 9
				1	23b2a	Forward to gaining agency or 5 years	N1-GRS-88-3, item 23b2a
				1	23b2b	5 years	N1-GRS-98-2, item 4
				1	23b3	5 years	N1-GRS-82-2, item 23b3
				1	23b4	5 years	N1-GRS-98-2, item 5
2.2	073	Superseded	DAA-GRS-2017-0007-0011	1	23a2	Superseded	N1-GRS-93-3, item 23a2
				1	23b1	Superseded	N1-GRS-82-2, item 23b1
2.2	080	Superseded or obsolete or 1 year	DAA-GRS-2017-0007-0012	1	18a	Superseded or obsolete or 1 year	NC1-64-77-10, item 18a
				1	18b	6 months	NC1-64-77-10, item 18b
2.2	090	3 years or upon separation	DAA-GRS-2017-0007-0013	9	5a	3 years or upon separation	N1-GRS-91-1, item 5a
				21	2 (in part)	5 years or when superseded	N1-GRS-98-2, item 33 (in part)
2.2	091	Superseded or obsolete	DAA-GRS-2017-0007-0014	9	5c (in part)	Superseded or obsolete	N1-GRS-98-2, item 9 (in part)
2.2	092	Transfer to new agency or return to Department of State	N/A. Filing instruction.	New item			
2.2	100	3 years	DAA-GRS-2017-0007-0015	New Item			
2.2	110	4 years	DAA-GRS-2017-0007-0016	New Item			
2.2	111	1 year	DAA-GRS-2017-0007-0017	New Item			
2.2	120	When business use ceases	DAA-GRS-2017-0007-0018	New Item			

Frequently Asked Questions (FAQs) about GRS 2.2, Employee Management Records

July 2017

1. What is the purpose of GRS 2.2?

This schedule provides disposition authority for records Federal agencies when managing employees. Topics include personnel actions and files, employee performance records, and supervisors' records. This GRS addresses records of Federal civilian employment and volunteer service.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 2.2 differ from the old GRS?

GRS 2.2 updates many existing authorities from GRS 1, as well as a few items located in GRS 9 and GRS 21.

We added 6 new items to this schedule:

Item 020, Workforce and succession planning records

Item 092, Records related to official passports- Passports

Item 100, Volunteer service program administrative records

Items 110 and 111, Volunteer service case files

Item 120, Skill set records

4. Which old GRS items did you rescind, and why?

We rescinded 5 items, all from GRS 1. Item 1a served as a filing/handling instruction and never had an associated NARA disposition authority. Items 2a and 2b covered the Service Record Card (SF 7) which became obsolete in 1994. Item 6 provided disposition authority for the Employee Record Card (SF 7b) system which became obsolete in 1993. We rescinded item 13, Incentive Awards Program Reports, because agencies are no longer required to complete OPM Form 1465. OPM now uses awards data extracted from the Enterprise Human Resources Integration-Statistical Data Mart to report Government-wide data on cash and time-off awards.

QUESTIONS RELATED TO ITEM 020

5. What is succession planning?

OPM [defines](#) succession planning as the “process where organizations identify those positions considered to be at the core of the organization—too critical to be left vacant or filled by any but the best qualified persons—and then creating a strategic plan to fill them with experienced and capable employees.” 5 U.S.C. 412. 201 requires the head of each agency, in consultation with OPM, to establish a management succession program.

6. Why did you exclude records maintained by executives responsible for policy formulation or other high-level actions from this item? How do I schedule these records?

Records documenting executive-level decisions and actions are often considered permanent records. Therefore, agencies should submit agency-specific schedules for these records.

QUESTION RELATED TO ITEM 030

7. Why do records of Department-level awards require agency-specific schedules?

Department-level awards are often awarded for distinguished or meritorious service. As such, such awards are high-profile and records documenting them are potentially of great interest to the research community. Since we cannot state that these records are always temporary or always permanent across the entire Federal Government, we cannot include them in the GRS. Each agency must schedule its records for Department-level awards on an agency-specific records schedule.

QUESTIONS RELATED TO ITEM 040

8. Why did you exclude Official Personnel Folders (OPFs) for employees who separated prior to December 31, 1973, from this item? Who is responsible for scheduling these older OPFs?

GRS 2.2 does not provide disposition authority for pre-1973 Official Personnel Folders (OPFs) because their value has not been decided. NARA has determined that it is the responsibility of OPM to schedule these records, given that OPM is the owner of the records subject to OPM recordkeeping requirements. Agencies may have physical possession (custody) of such records, but they do not schedule them.

9. Why did you change the retention period for long-term records (item 040) to “when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner” from “65 years after separation from Federal service” (old GRS 1, item 1b)?

OPM relies on long-term Official Personnel Folders (OPFs) as a supplemental source of documentation when making decisions about retirement benefits, death benefits, and survivor benefits payable to annuitants and beneficiaries. The 129-year retention comes from 5 U.S.C. 8466, which allows an employee to seek benefits based on Federal service through 115 years old, or a beneficiary to seek benefits up to 30 years from the event which entitled them to the

benefits (death of the employee). If we assume a person could not be an employee at younger than 16 years old, and may seek their benefits until they are 115 years old, then the person's OPF records could be up to 99 years old. It is possible for a beneficiary to seek benefits for an additional 30 years under the statute. Thus, the 129-year disposition.

QUESTIONS RELATED TO ITEMS 040 AND 041

10. Why do items 040 and 041 still refer to hardcopy Official Personnel Folders (OPFs)? Hasn't the entire Government adopted the eOPF system as of 2014?

No, some agencies continue to maintain OPFs in hardcopy and have not migrated to eOPF. As a result, we left the reference to hardcopies in these items.

11. Why do you exclude agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, from Items 040 and 041?

We excluded agencies not subject to OPM recordkeeping requirements from using this schedule for three important reasons. First, this GRS conforms to OPM recordkeeping requirements, and OPM has the authority to establish requirements only on those records created under its oversight. Second, while it is tempting to assign the same legal minimum retention period to all other personnel folders as well, this is best determined, when possible, by each agency for itself. Agencies not subject to OPM recordkeeping requirements either operate their own employment systems or participate in another agency's employment system. Employees under these different systems may be paid under a different pay plan, have different rights to appeal and file grievances, or accrue time towards retirement differently from employees under OPM's employment system. Third, we established a legal minimum retention period of 129 years for the OPFs covered under item 040. We would not want to impose such a long retention on other agency personnel folders when we know their retirement systems are different and they may not need the records as long.

QUESTION RELATED TO ITEM 050

12. What is Standard Form 50?

Notification of Personnel Action (Standard Form 50), scheduled by item 050, notifies the employee and the payroll office of a change in status, such as reassignment or pay increase, and records that action in the employee's Official Personnel Folder.

QUESTION RELATED TO ITEM 060

14. What is an Employment Eligibility Verification form I-9? What is E-Verify and how does it relate to the I-9?

Agency personnel offices use form I-9 to verify the identity and employment authorization of

new hires and to re-verify the status of employees who transfer between agencies. E-Verify is a web-based system managed by the U.S. Department of Homeland Security (DHS). Agencies use the system to compare information from an employee's form I-9 to system data, which enables the employer to confirm or "verify" employment eligibility.

QUESTION RELATED TO ITEM 070

15. Why does the GRS not cover performance records of Presidential appointees? How do I schedule these records?

Presidential appointees are often high-profile and a subject of great interest to the research community. Since we cannot state that records documenting their service are always temporary or always permanent across the entire Federal Government, we cannot include them in the GRS. Each agency must schedule its records on Presidential appointments on an agency-specific records schedule.

QUESTIONS RELATED TO ITEMS 090, 091 and 092

16. What are official passports?

Official passports, also known as special issuance passport books, are issued to people who travel outside the United States on Government business. A holder of an official passport may also have a personal passport for use when traveling outside the United States for personal business or pleasure; personal passports are not Federal records and are not scheduled by the GRS.

17. Why do you exclude records held at the Department of State from these items?

The Department of State maintains agency and dependent requests for passports as part of its mission-specific function. As a result, this GRS does not cover them. State covers its mission records under an agency-specific schedule.

QUESTION RELATED TO ITEM 092

18. Why did you include a filing instruction for official passports of transferred or separated agency personnel?

Some agencies have scheduled these records, so this instruction provides clarity about steps any agency should take when the passports are no longer needed.

QUESTION RELATED TO ITEM 110

19. Why did you exclude service records for certain volunteers from this item? Does the GRS cover these individuals?

The volunteers whose records are excluded from this item ultimately have Official Personnel Folders (OPFs). Once those OPFs are created, records that otherwise would be covered by item 110 are incorporated into the OPFs, which are scheduled by items 040 and 041.

GENERAL RECORDS SCHEDULE 2.3: Employee Relations Records

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.

Item	Records Description		Disposition Instruction	Disposition Authority
010	Alternative Dispute Resolution (ADR) records. ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to	ADR program files. This item refers to the program management and routine activities of offices running ADR processes. Includes: <ul style="list-style-type: none"> • program-related correspondence (excludes case-related correspondence) • copies of statutes, regulations • meeting minutes • final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended • copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices) • evaluation records of the ADR program • other records relating to the agency's overall administration of its ADR program 	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0001
011		ADR case files - Informal process. This item includes records that are not associated with another employee dispute, complaint or grievance process. Includes: <ul style="list-style-type: none"> • agreements to use ADR 	Temporary. Destroy 3 years after case is closed, but longer disposition is	DAA-GRS-2015-0007-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).	<ul style="list-style-type: none"> documentation of the settlement or discontinuance of the ADR case parties' written evaluations of the process and/or the neutral third party mediator correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program) 	authorized if required for business use.	
012		<p>ADR case files - Formal process.</p> <p>This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances). Includes:</p> <ul style="list-style-type: none"> agreements to use ADR documentation of the settlement or discontinuance of the ADR case parties' written evaluations of the process and/or the neutral third party mediator correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs) 	Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0003
020	<p>Reasonable accommodation records.</p> <p>Includes Information created and maintained while receiving, coordinating, reviewing, processing, approving, and</p>	<p>Reasonable accommodation program files.</p> <p>Administrative records not linked to a case file. Includes:</p> <ul style="list-style-type: none"> instructions directives notices timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices 	Temporary. Destroy 3 years after being superseded, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0004

Item	Records Description		Disposition Instruction	Disposition Authority
021	reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.	Reasonable accommodation employee case files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes: <ul style="list-style-type: none"> • request approvals and denials • notice of procedures for informal dispute resolution or appeal processes, including ADR processes • forms • correspondence • emails • policy guidance documents • records of oral conversations • medical records • supporting notes and documentation 	Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0005
030	Equal Employment Opportunity (EEO) records.	EEO program files. General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0006
031		EEO official discrimination complaint case files – Informal process. Cases resolved within the agency that did not go to the formal process stage. Includes: <ul style="list-style-type: none"> • intake sheet • summary report • notes • supporting documentation • correspondence 	Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0007

Item	Records Description		Disposition Instruction	Disposition Authority
		Note: If a formal case is filed, all records in the prior informal case are covered by Item 032.		
032		EEO official discrimination complaint case files – Formal process. Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Note: This item includes all records gathered in the informal process which become the formal process case file once a formal complaint is filed.	Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0008
033		EEO case files that did not result in an EEO complaint. Includes cases that did not result in an official formal or informal EEO complaint.	Temporary. Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0009
034		EEO compliance review files. Reviews, background documents, and correspondence relating to contractor employment practices.	Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0010
035		EEO reports and employment statistics files. Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.	Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0011
040	Anti-harassment records. Records related to harassment outside of	Anti-harassment program files. Includes: <ul style="list-style-type: none"> • program administration • correspondence 	Temporary. Destroy 3 years after being superseded or obsolete, but longer retention is	DAA-GRS-2015-0007-0012

Item	Records Description		Disposition Instruction	Disposition Authority
	the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.	<ul style="list-style-type: none">• program implementation records• reports and responses to oversight agencies and senior level management <p>Exclusion: This item does not apply to government-wide program oversight records created and received by OPM and EEOC.</p>	authorized if required for business use.	
041	<p>orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p>Note: Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p>	<p>Anti-harassment complaint case files. Includes:</p> <ul style="list-style-type: none">• correspondence• notes• relevant forms• supporting material• background information documentation documents relating to the agency investigation• statements of witnesses• documents relating to management’s determination as to whether harassment occurred• documentation of preventive or corrective measures taken by the agency• documents of interim or intermediate measures taken by the agency• other related records <p>Exclusion: Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including union grievance procedures), and reporting to the Office of Inspector General, are excluded from this series and should be included instead with the related case file.</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0013
050	<p>Labor management relations agreement negotiation records. Records relating to negotiations with labor unions. Includes:</p>	<p>Office(s) responsible for negotiations.</p>	<p>Temporary. Destroy 5 years after expiration of agreement, but longer</p>	DAA-GRS-2015-0007-0014

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> negotiation agreements requests to bargain bargaining session records/notes correspondence memoranda reports forms other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 		retention is authorized if required for business use.	
051		All other offices.	Temporary. Destroy when no longer needed for business use.	DAA-GRS-2015-0007-0015
052		Labor management relations arbitration records. Correspondence, forms, and related records relating to labor arbitration cases.	Temporary. Destroy 5 years after final resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0016
060	Administrative grievance, disciplinary, and adverse action files. Note: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, administrative grievance, adverse action and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention	Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes: <ul style="list-style-type: none"> grievance documents (copy of original grievance submission and supporting documentation/evidence) statements of witnesses reports of interviews and hearings examiner's findings and recommendations copy of the original decision related correspondence and exhibits Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.	Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed.	DAA-GRS-2015-0007-0017
061		Adverse action files. Case files and records related to effected adverse actions against employees. Includes: <ul style="list-style-type: none"> copy of the proposed adverse action supporting documents statements of witnesses 	Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0018

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>period, between 4 and 7 years. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p> <ul style="list-style-type: none"> • employee's reply • hearing notices • reports • decisions • appeal records • supporting documentation of letters of reprimand <p>Exclusion: Excludes letters of reprimand which are filed in the OPF.</p>		
062	<p>Performance-based action files. Case files and records related to effected performance based actions against employees. Includes:</p> <ul style="list-style-type: none"> • performance appraisal • performance improvement plan • supporting documents • copy of the proposed performance-based action • employee's reply • decision notices • hearing notices • appeal records 	Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0023
070	<p>Displaced employee program files.</p> <p>Exclusion: These items do not apply to the Department of Defense.</p> <p>Displaced employee program files. Includes:</p> <ul style="list-style-type: none"> • program related correspondence • program implementation records • reporting and tracking files sent to oversight agencies such as OPM, and to senior level management • control files • information collected about displaced employees 	Temporary. Destroy 3 years after being superseded, but longer disposition is authorized if required for business use.	DAA-GRS-2015-0007-0019
071	<p>Displaced employee program application records. Includes:</p> <ul style="list-style-type: none"> • applications 	Temporary. Destroy when employee is no longer eligible for	DAA-GRS-2015-0007-0020

Item	Records Description		Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> • registrations • forms • data • other related documentation 	displaced employee programs, but longer retention is authorized if required for business use.	
080	Telework /alternate worksite records.	Telework/alternative worksite program files. Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes: <ul style="list-style-type: none"> • correspondence • notes • policy implementation documents • form development files • planning records • program evaluation documentation/data • reports provided to senior management and oversight agencies such as OPM • other related records generated by the agency or by participating employees 	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0021
081		Forms, requests, or applications to participate in telework/alternate worksite programs. Includes: <ul style="list-style-type: none"> • agreements between the agency and the employee • records such as questionnaires relating to the safety of the worksite • forms, checklists and similar records regarding the installation and use of equipment, hardware, and software • the use of secure, classified information or data subject to the Privacy Act, or agencies' Personally Identifiable Information policies Note: "End of employee participation" in the disposition instruction refers to if employee leaves telework entirely, is rejected, denied, or barred from telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment.	Temporary. Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0022

New GRS 2.3				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.3	010	3 years	DAA-GRS-2015-0007-0001	1	27a	3 years	N1-GRS-03-2, item a
2.3	011	3 years	DAA-GRS-2015-0007-0002	1	27b (in part)	3 years	N1-GRS-03-2, item b (in part)
2.3	012	7 years	DAA-GRS-2015-0007-0003	1	27b (in part)	3 years	N1-GRS-03-2, item b (in part)
2.3	020	3 years	DAA-GRS-2015-0007-0004	1	24a	3 years	N1-GRS-04-2, item 1a
				1	24d	3 years	N1-GRS-04-2, item 1d
2.3	021	3 years	DAA-GRS-2015-0007-0005	1	24b	3 years	N1-GRS-04-2, item 1b
				1	24c	3 years	N1-GRS-04-2, item 1c
2.3	030	3 years	DAA-GRS-2015-0007-0006	1	25g	3 years	NC1-64-77-10, item 26g
2.3	031	3 years	DAA-GRS-2015-0007-0007	1	25a (in part)	4 years	NC1-GRS-80-9, item 1 (in part)
2.3	032	7 years	DAA-GRS-2015-0007-0008	1	25a (in part)	4 years	NC1-GRS-80-9, item 1 (in part)
2.3	033	2 years	DAA-GRS-2015-0007-0009	1	25c1	2 years	N1-GRS-92-3, item 25c1
				1	25c2	2 years	N1-GRS-92-3, item 25c2
2.3	034	7 years	DAA-GRS-2015-0007-0010	1	25d1	7 years	NC1-64-77-10, item 26d1
2.3	035	5 years	DAA-GRS-2015-0007-0011	1	25d2	3 years	NC1-64-77-10, item 26d2
				1	25f	5 years	NC1-64-77-10, item 26f
				1	25h1	5 years	NC1-64-76-4, item 27a
				1	25h2	5 years	NC1-64-76-4, item 27b
				1	25h3	5 years	NC1-GRS-83-2, item 1
				1	25h4	5 years	NC1-GRS-83-4, item 26h4
2.3	040	3 years	DAA-GRS-2015-0007-0012	New Item			
2.3	041	7 years	DAA-GRS-2015-0007-0013	New Item			
2.3	050	5 years	DAA-GRS-2015-0007-0014	1	28a1	5 years	NC1-64-77-10, item 29a1
2.3	051	No longer needed	DAA-GRS-2015-0007-0015	1	28a2	Superseded or obsolete	NC1-64-77-10, item 29a2
2.3	052	5 years	DAA-GRS-2015-0007-0016	1	28b	5 years	NC1-64-77-10, item 29b
2.3	060	4 to 7 years	DAA-GRS-2015-0007-0017	1	30a	4 to 7 years	N1-GRS-92-1, item 30a
2.3	061	4 to 7 years	DAA-GRS-2015-0007-0018	1	30b (in part)	4 to 7 years	N1-GRS-92-1, item 30b (in part)
2.3	062	4 to 7 years	DAA-GRS-2015-0007-0023	1	30b (in part)	4 to 7 years	N1-GRS-92-1, item 30b (in part)
2.3	070	3 years	DAA-GRS-2015-0007-0019	1	33s	2 years	NC1-GRS-85-2, item 34o
2.3	071	Termination of eligibility	DAA-GRS-2015-0007-0020	1	33r	Termination of eligibility	NC1-GRS-85-2, item 34n
2.3	080	3 years	DAA-GRS-2015-0007-0021	1	42c (in part)	1 year	N1-GRS-97-1, item 1c (in part)
2.3	081	1 year	DAA-GRS-2015-0007-0022	1	42a	1 year	N1-GRS-97-1, item 1a
				1	42b	1 year	N1-GRS-97-1, item 1b
				1	42c (in part)	1 year	N1-GRS-97-1, item 1c (in part)

Frequently Asked Questions (FAQs) about GRS 2.3, Employee Relations Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 2.3?

The purpose of this schedule is to provide disposition authority for records that document managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 2.3 differ from the old General Records Schedules (GRS)?

GRS 2.3 consolidates into fewer items several series of human resource records located in the very granular old GRS 1. It also updates several of those items to reflect how Government human resource offices currently handle those processes. For example, both Alternative Dispute Resolution (ADR) and Equal Employment Opportunity (EEO) records now contain items for the informal and formal aspects of those processes.

There are some new categories, and some refreshed categories. Anti-harassment records are new to the GRS. Some categories of records have a new "program records" item. These items are designed to capture the everyday administrative records of running, maintaining, and implementing these programs. The Displaced Employee Program records are not new but are now a distinct category.

Although they are related to GRS 2.3, this schedule does not cover Merit Systems Protection Board (MSPB) records. We are considering series related to that process for future updates to the GRS. Other records related to employee relations processes, such as written counseling documents, leave warnings/restrictions, and direct orders, are not covered by GRS 2.3. However, we are considering them for future updates to the GRS.

4. Why are some old GRS 1 items rescinded?

GRS 1, items 25b and 25e, have been rescinded. GRS 1, item 25b, Copies of Complaint Case Files, should be treated as non-record reference copies or, if applicable, as attorney or other working files. GRS 1, item 25e, Employee Housing Requests, does not fit with the revised EEO items and appears to no longer be in use.

QUESTIONS RELATED TO ITEMS 011 AND 012

5. Why do these items make a distinction between informal and formal Alternative Dispute Resolution (ADR) processes?

The ADR records were updated to separate formal and informal records to reflect current common ADR workflows.

6. Is ADR used in other employee relations actions?

Yes, ADR is often used in other actions, such as EEO complaints.

QUESTION RELATED TO ITEMS 031 AND 032

7. Why do these items make a distinction between informal and formal EEO complaints?

The older GRS descriptions were created before the EEOC and Federal EEO offices developed informal and formal EEO discrimination complaint processes. These are now common, shared practices across the Federal Government and we revised the GRS to reflect that. Informal complaints are addressed first by counseling or ADR options. Informal complaints may be resolved and never reach the formal stage. If unresolved after counseling or ADR options, complaints may proceed into the formal process. Formal complaints can be decided within the Federal agency or by hearing at the EEOC, or can be appealed to the EEOC or to Federal courts.

QUESTION RELATED TO ITEMS 040 AND 041

8. Why did you create a category for anti-harassment records?

Items 040 and 041, anti-harassment records, are a new series created in response to programs being rolled out across the Federal Government focusing on reducing or eliminating various types of harassment in the Federal workplace when they do not fall into the areas covered by the EEO process or when the employee does not file an EEO complaint. Similarly to ADR records, if these records flow into another process, such as a grievance or an EEO complaint, then they become part of that other case file and are covered by the relevant GRS (or agency-specific) records schedule.

QUESTION RELATED TO ITEMS 050, 051, AND 052

9. Why are other types of labor relations records not included in this schedule?

This series does not include negotiated grievances, arbitration appeals, negotiability appeals, unfair labor practice filings, and impasse filings. We are still determining if these records are appropriate for future updates to the GRS.

QUESTIONS RELATED TO ITEMS 060, 061, AND 062

10. How should agencies interpret the disposition instruction found in items 060, 061, and 062: "Destroy no sooner than 4 years but no later than 7 years after case is closed"?

The Office of Personnel Management (OPM) designated in old GRS 1, items 30a and 30b, that agencies should select a period between 4 and 7 years as the disposition time frame for all instances of these records, and note it in agency manuals or other official records management documents. OPM decided to retain the 4-to-7-year disposition instructions in the new items. So, for example, Agency A's records officer, after consulting with agency stakeholders, determines that 5 years is appropriate for the agency's business needs. The records officer then applies that disposition to all of the agency's administrative grievance, adverse action, and performance-based action records, and updates the agency manual and any other relevant agency records management policies. Please note that these items do not allow for longer (or shorter) retention periods based on business need.

11. Why are other types of grievances not covered by this schedule?

Negotiated grievances are not included in this schedule. We are conducting more research on negotiated grievances and other categories of conduct and disciplinary files to determine if they are appropriate to be added to the GRS.

QUESTION RELATED TO ITEMS 070 AND 071

12. Why do you exclude the Department of Defense (DoD) from using items 070 and 071?

DoD has established a DoD-specific Priority Placement Program for reassigning displaced career, career-conditional, and excepted service employees. DoD schedules those records on an agency-specific schedule.

QUESTION RELATED TO ITEMS 080 AND 081

13. How are agencies to interpret the note in item 081, "Forms, requests, or applications to participate in telework/alternate worksite programs"?

OPM subject matter experts wanted the disposition instructions to be clearer about the definition of "end of employee participation in the program" as that directly impacts the timing of disposition. The note explains that the end of employee participation includes "if employee leaves telework entirely, is rejected, denied, or barred from telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment."

Agencies are free to select their cut-off point from within these options. For example, one agency decides that leaving Federal employment as the cut-off works best with their business needs and processes. Another agency may find that a reasonable cut-off point for their needs is when employees experience significant enough change to warrant signing a new telework agreement. Whatever the agency decides is appropriate, it needs to note that decision in records management directives, policies, and appropriate manuals.

GENERAL RECORDS SCHEDULE 2.4: Employee Compensation and Benefits Records

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

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

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

Item	Records Description	Disposition Instruction	Disposition Authority
Payroll			
010	Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks. Includes: <ul style="list-style-type: none"> • additions to paychecks <ul style="list-style-type: none"> ○ child care subsidies ○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) ○ other additions • deductions from paychecks <ul style="list-style-type: none"> ○ insurance ○ retirement accounts (e.g. Thrift Savings Plan, <i>my</i> Retirement Account, etc.) ○ flexible spending accounts, such as medical savings and dependent care assistance ○ union dues ○ Combined Federal Campaign ○ garnishments (IRS form 668A—Notice of Levy—and similar records) ○ Treasury bond purchases ○ other deductions • authorizations for deposits into bank accounts • changes or corrections to previous transactions either at paying agency or payroll processor 	Temporary. Destroy 2 years after employee separation or retirement, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0001

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Tax withholding and adjustment documents. Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.</p> <p>Legal citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.</p>	Temporary. Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0002
030	<p>Time and attendance records. Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.</p> <p>Legal citation: 29 U.S.C. 516.5a</p>	Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner.	DAA-GRS-2016-0015-0003
040	<p>Agency payroll record for each pay period. Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.</p> <p>Legal citation: 5 U.S.C. 8466</p>	Temporary. Destroy when 56 years old.	DAA-GRS-2016-0015-0004
050	<p>Wage and tax statements. Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.</p> <p>Legal citations: Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).</p>	Temporary. Destroy when 4 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0005

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

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

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

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

New GRS 2.4				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.4	010	2 years after separation	DAA-GRS-2016-0015-0001	2	15a	3 years	N1-GRS-92-4, item 15a
				2	15b	3 years	N1-GRS-92-4, item 15b
				2	16	Superseded or employee separation	N1-GRS-92-4, item 16
				2	17	Superseded or employee separation	N1-GRS-92-4, item 17
				2	18	3 years	N1-GRS-92-4, item 18
				2	23a	3 years	N1-GRS-92-4, item 23a
2.4	020	4 years	DAA-GRS-2016-0015-0002	2	13a	4 years	N1-GRS-92-4, item 13a
2.4	030	3 years	DAA-GRS-2016-0015-0003	2	6a	At end of following pay period	N1-GRS-92-4, item 6a
				2	6b	3 years	N1-GRS-92-4, item 6b
				2	7	6 years	N1-GRS-92-4, item 7
				2	8	6 years	N1-GRS-92-4, item 8
2.4	040	56 years	DAA-GRS-2016-0015-0004	2	1b	56 years	N1-GRS-92-4, item 1b
2.4	050	4 years	DAA-GRS-2016-0015-0005	2	13b	4 years	N1-GRS-92-4, item 13b
				2	13c	4 years	N1-GRS-92-4, item 13c
2.4	060	2 years	DAA-GRS-2016-0015-0006	2	22a	No longer needed; no more than 2 years	N1-GRS-92-4, item 22b
				2	22b	2 years	N1-GRS-92-4, item 22a
				2	24	2 years	N1-GRS-92-4, item 24
2.4	061	3 years	DAA-GRS-2016-0015-0007	2	22c	3 years	N1-GRS-92-4, item 22c
2.4	070	3 years	DAA-GRS-2016-0015-0008	New item			
2.4	071	1 year	DAA-GRS-2016-0015-0009	1	37	1 year	N1-GRS-92-5, item 1
2.4	080	2d succeeding survey	DAA-GRS-2016-0015-0010	1	38	2d succeeding survey	Authority not known
2.4	090	3 years	DAA-GRS-2016-0015-0011	1	41	3 years	N1-GRS-96-2
2.4	100	3 years	DAA-GRS-2016-0015-0012	1	31	3 years	N1-GRS-86-4, item 32
2.4	101	15 years	DAA-GRS-2016-0015-0013	New item			
2.4	110	Filing instruction	None	Rescinds N1-GRS-88-2 item 1b1			
2.4	111	1 year	DAA-GRS-2016-0015-0014	1	35a	3 years	N1-GRS-88-2, item 1a
				1	35b2	3 years	N1-GRS-88-2, item 1b2
2.4	120	3 years	DAA-GRS-2016-0015-0015	New item			
2.4	121	2 years	DAA-GRS-2016-0015-0016	New item			
2.4	130	3 years	DAA-GRS-2016-0015-0017	9	7	3 years	N1-GRS-97-2 item 7 (in part)
2.4	131	2 years	DAA-GRS-2016-0015-0018	9	7	3 years	N1-GRS-97-2 item 7 (in part)
2.4	140	3 years	DAA-GRS-2016-0015-0019	New item			
2.4	141	3 years	DAA-GRS-2016-0015-0020	New item			

Frequently Asked Questions (FAQs) about GRS 2.4, Employee Compensation and Benefits Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 2.4?

This schedule provides disposition authority for records an agency creates and receives when processing payroll and administering employee benefit programs that involve transferring funds or other tangible benefits to individual employees.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

3. How does GRS 2.4 differ from the old GRS?

GRS 2.4 supersedes or rescinds nearly all of old GRS 2. It also supersedes items in old GRS 1 and 9. Recognizing that payroll processing is now an almost entirely electronic process, this schedule merges many old items to create new records management efficiencies. It rescinds items that refer to records agencies no longer create. It combines in a single schedule all records about transferring money to employees, whether in salary and wages, or benefits expressed in financial remuneration. (See also question 5.) This schedule also adds new items not previously covered by the GRS. New items include records of child care subsidy programs and Family Medical Leave Act programs.

4. Why did you rescind old GRS items?

We rescinded seven old GRS items for these reasons:

- GRS 1, item 35b1 (N1-GRS-88-2, item 1b1) is replaced by GRS 2.4, item 110. Because item 110 contains filing instructions rather than disposition instructions, it cannot become a schedule item in ERA. Since we cannot technically supersede the old item, we must therefore rescind it.
- GRS 2, item 1a (N1-GRS-92-4, item 1a) was an instruction to make sure an employee's pay record always remains current. Since it did not state whether the records are permanent or temporary—or even where to file them—it was inappropriate for inclusion in a records schedule, so has been removed.
- GRS 2, item 2 (N1-GRS-92-4, item 2) gave system administrators the right to periodically dispose of system data after long-term records were downloaded and safeguarded. However, GRS 5.1, item 020, allows agencies to dispose of anything left in an electronic system, as a non-recordkeeping copy, once long-term records are appropriately saved. Therefore, the old item is no longer necessary.
- GRS 2, items 14a, 14b, and 14c (N1-GRS-92-4, items 14a, 14b, and 14c) describe records no longer being created. Payroll deduction for purchasing paper savings bonds was discontinued in 2010. New GRS 2.4, item 010, instead covers records of payroll e-deductions to purchase Treasury bonds via the TreasuryDirect system.

- GRS 2, item 23b (N1-GRS-92-4, item 23b) describes records that agencies should no longer have or create. Now, the process of instituting a change in a previous payroll record is handled electronically. The electronic system retains the record of the change in an individual's profile. The old item covered extra paper copies in the payroll processing office. If such records are ever created now (and they should not be), they are disposable as input records under GRS 5.2, item 020, Intermediary records.

GENERAL QUESTION

5. How does this schedule relate to GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records)?

Some series of records in GRS 2.3 (for instance, those created in alternative dispute resolution) and the not-yet-issued GRS 2.7 (for example, those created under the Employee Assistance Program) bear similarity to records in GRS 2.4. Two distinctions separate the 2.4 benefits from those in 2.3 and 2.7. First, and most importantly, the programs covered in 2.4 were established primarily for the benefit of employees, and sometimes as incentives to make Federal employment more attractive to a larger recruitment base. Programs covered in 2.3 and 2.7 were designed primarily to save the Government money, ensure an anti-discriminatory culture, or make it possible for employees to be more productive. The very real employee benefits that derive from these programs are a side-effect of the programs' primary goals. A second distinction is whether the benefit is calculated in dollars or some other tangible distribution. Programs that provide cash payments or other cash-value benefit (such as a mass transit card) are covered in GRS 2.4. Programs that provide other kinds of benefits to the employee (such as dispute resolution and counseling) are covered in GRS 2.3 and 2.7.

QUESTION RELATED TO "PAYROLL" SECTION ITEMS 010 TO 050

6. Who holds the record copy of records described in items 010 through 050: the agency or the payroll service provider?

The GRS is agnostic on ownership of and responsibility for the record copy. Responsibility for retention of records for the length of time required for each of these five items should be negotiated and agreed upon between an agency and its payroll services provider.

QUESTION RELATED TO ITEM 010

7. The records listed in this item look to me like system inputs. Why did you not cover them under GRS 5.2, item 020 (Intermediary records)?

GRS 2.4, item 010 only concerns *record* copies of documents listed in the series description. These record copies may be in electronic or paper form. If a payroll system receives paper, scans it, and enters it into the system, and the scanned electronic version is considered the record copy, then the paper is indeed system input covered by GRS 5.2, item 020.

QUESTION RELATED TO ITEM 030

8. Who is responsible for retaining time and attendance records for 3 years? The agency, or the payroll provider (if different from the agency)?

Every office involved in documenting employees' time worked is responsible for retaining the records it receives and creates for 3 years. Timekeepers in individual offices need to be able to document that the time and attendance information they sent to the payroll system provider was accurate. Only total hours of time worked and leave taken is forwarded to the payroll system provider. Backup documentation justifying those totals is usually retained by the timekeeper.

QUESTION RELATED TO ITEM 040

9. Old GRS 2, item 1b, "Individual Pay Record," has been recast as "Agency payroll for each pay period." Why does the item no longer refer to individuals?

GRS 2, item 1b, covered "Individual Pay Record, containing pay data on each employee within an agency." In the days that payroll was processed entirely on paper, an "individual earning and service card" (Optional Form 1127) did indeed track an individual's entire payroll history in a single spot. These very useful cards became a casualty of automation. They were largely gone by 1992 when GRS 2, item 1b, was last updated, yet the series description continued to imply that each Federal employee had an individual file associated with his or her name. The records produced by automation were instead pay-period batches of an agency's entire payroll for each of 26 pay periods per year, arranged within the batch by personal identifiers (generally Social Security numbers). But re-creation of a person's entire pay history has therefore been a laborious and time-intensive task necessitating access to potentially hundreds of record sets. In other words, while an "Individual Pay Record" attached to a single employee can be created from these records, no such standalone record exists without the research just described. New item 040 more correctly describes the content of each batch of records, linking them to records of *all* employees of an agency for a single pay period.

QUESTION RELATED TO ITEMS 100 AND 101

10. Why are records created and maintained by the Department of Labor (DOL) Office of Workers' Compensation not covered by these items?

Items 100 and 101 cover records agencies create about employee personnel injury compensation. At these agencies, the records are administrative in nature. DOL's Office of Workers' Compensation maintains personnel injury compensation records for employees across the Federal Government. As such, these records document how DOL carries out that mission. Therefore, DOL schedules these records on an agency-specific records schedule.

QUESTION RELATED TO ITEM 110

11. Why does this item have no disposition authority number?

Item 110 has no associated disposition authority number because it has no instruction either to destroy the records or to save them permanently. The instruction instead merely directs the user to place the records into the "appropriate retirement system." Their ultimate disposition is governed by a disposition authority connected to the retirement system records.

QUESTION RELATED TO ITEM 111

12. Old GRS 1, items 35a (Health benefits denied, not appealed) and 35b2 (Appeal unsuccessful - benefits denied) were retained for 3 years. The new retention period is only 1 year. Why the decrease in retention period?

These two old GRS items relate to benefits requests on behalf of former spouses. The retention period in the new GRS item reflects the instruction in OPM's Federal Employees Health Benefits (FEHB) Handbook regarding former spouses (<http://www.opm.gov/healthcare-insurance/healthcare/reference-materials/reference/former-spouses/>), which states that agencies should retain these records for 1 year.

GENERAL RECORDS SCHEDULE 4.3: Input Records, Output Records, and Electronic Copies

This schedule was entirely superseded by GRS 5.1, item 020, and GRS 5.2, item 020 in July 2017. See Disposition Authority column for details.

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. In other words it covers records that contain information duplicated in the recordkeeping copies of electronic records (also known as the master records or master files). This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content. Electronic records not included in GRS 4.3 may not be destroyed unless authorized by a NARA approved schedule.

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 are scheduled as permanent or unscheduled 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."

Item	Records Description		Disposition Instruction	Disposition Authority
010	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:	Hardcopy or analog input/source 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. Not media neutral. Applies to hardcopy or analog records only.	Temporary. Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0001 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)
011	<ul style="list-style-type: none"> • hardcopy forms used for data input • hardcopy documents that are scanned into an electronic recordkeeping system • hardcopy or analog still 	Hardcopy or analog input/source records previously scheduled as permanent. Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards.	Temporary. Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) <u>and</u> verification of successful	DAA-GRS-2013-0001-0002 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>pictures, sound recordings, motion picture film, or video recordings that were previously scheduled as temporary</p> <p>Exclusion: 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:</p> <ul style="list-style-type: none"> Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. Hardcopy records when the electronic versions do not meet NARA's electronic records standards. Hardcopy records that are not incorporated in their entirety into an electronic system. Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	conversion, but longer retention is authorized if required for business use.	0002)
012	<p>Hardcopy or analog input/source records not previously scheduled.</p> <p>Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p>Exclusion 1: Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</p> <p>Exclusion 2: Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p>Exclusion 3: 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.</p>	Temporary. Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0003 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)

Item	Records Description		Disposition Instruction	Disposition Authority
		Not media neutral. Applies to hardcopy or analog records only.		
020	<p>Electronic input/source records. Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:</p> <ul style="list-style-type: none">• 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 <p>Exclusion 1: Original electronic records maintained in the source system.</p> <p>Exclusion 2: Electronic input records required for audit and legal purposes.</p> <p>Exclusion 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.</p> <p>Not media neutral. Applies to electronic records only.</p>		<p>Temporary. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0004 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>
030	<p>Output records. Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not</p>	<p>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.</p> <p>Exclusion 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).</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0005 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>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.</p>		
031	<p>Exclusion 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.</p> <p>Exclusion 2: Any hardcopy 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.</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0006</p> <p>Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 5: Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012).</p> <p>Not media neutral. Applies to electronic records only.</p>		
040	<p>Non-recordkeeping copies of electronic records.</p> <p>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 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 a 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 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. Sender/recipient information should be individual account information, not the name of a distribution list.</p> <p>Not media neutral. Applies to electronic records only.</p>	<p>Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0007</p> <p>Superseded by GRS 5.1, item 020 (DAA-GRS-2016-0016-0002)</p>

New GRS 4.3				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
4.3	010	When data verified in master file	DAA-GRS-2013-0001-0001 Superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)	20	2a4	When e-version is verified, etc.	N1-GRS-07-4, item 2a4
4.3	011	60 days after notification and verification	DAA-GRS-2013-0001-0002 Superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)				
4.3	012	Approval of schedule for electronic records and verification	DAA-GRS-2013-0001-0003 Superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)				
4.3	020	When data verified in master file	DAA-GRS-2013-0001-0004 Superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)	20	1b	After transfer to master file	N1-GRS-87-5, item 1b
				20	2b	When data verified in master file	N1-GRS-87-5, item 2b
				20	2c	When data verified in master file	N1-GRS-87-5, item 2c
				20	2d	When data is in master file	N1-GRS-87-5, item 2d
4.3	030	No longer needed	DAA-GRS-2013-0001-0005 Superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)	20	12c	No longer needed	N1-GRS-95-2, item 12c
				20	12a	No longer needed	N1-GRS-95-2, item 12a
				20	12b	No longer needed	N1-GRS-95-2, item 12b
4.3	031	No longer needed	DAA-GRS-2013-0001-0006 Superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)	20	16	No longer needed	N1-GRS-07-4, item 3.2
				20	4	No longer needed	N1-GRS-95-2, item 4
				20	5	No longer needed	N1-GRS-95-2, item 5
				20	6	No longer needed	N1-GRS-95-2, item 6
4.3	040	After copying to recordkeeping system or preservation repository	DAA-GRS-2013-0001-0007 Superseded by DAA-GRS-2016-0016-0002 (GRS 5.1, item 020)	20	7	No longer needed	N1-GRS-95-2, item 7
				20	13	No longer needed	N1-GRS-95-2, item 13
				20	14	After copying to recordkeeping system	N1-GRS-95-2, item 14
				20	15a	No longer needed	N1-GRS-95-2, item 15a
				20	15b	When hard copy retention expires	N1-GRS-95-2 item 15b

GENERAL RECORDS SCHEDULE 5.1: Common Office Records

This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established. The only mission-related records this schedule covers are non-recordkeeping copies of electronic records (item 020) that are maintained for decision-making purposes or taking action. Copies maintained solely for convenience of reference are considered non-record materials. This schedule may be applied to records in offices that carry out mission-related activities, but only those records that are described here.

This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and the records covered in this schedule is that the records here generally have a longer period of business use than transitory records. This schedule also does not cover materials an agency determines to be non-record or personal. Neither does this schedule cover common administrative records found in most offices that are scheduled elsewhere in the GRS, such as timekeeping and procurement records.

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 routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. 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) • calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level) • informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182) • internal office activity and workload reports • studies and analyses of office administrative functions and activities • non-mission related management reviews and surveys • minutes of meetings related to administrative activities <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. Agencies must schedule those records on an agency-specific schedule.</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2016-0016-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.</p>		
020	<p>Non-recordkeeping copies of electronic records.</p> <p>Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. 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 those in Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments • electronic spreadsheets • digital still pictures or posters • 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: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. 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 Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records.</p> <p>Note 2: For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p>	<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-2016-0016-0002
030	<p>Records of non-mission related internal agency committees.</p> <p>Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include:</p>	<p>Temporary. Destroy when business use ceases.</p>	DAA-GRS-2016-0016-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • meeting minutes, summaries, agendas, and transcripts • reports and studies • membership records • correspondence, mailing, and distribution records <p>Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records.</p> <p>Note: Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.</p>		

New GRS 5.1				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-2016-0016-0001	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
5.1	020	after copying to a recordkeeping system	DAA-GRS-2016-0016-0002	4.3	040	after copying to a recordkeeping system	DAA-GRS-2013-0001-0007
5.1	030	business use ceases	DAA-GRS-2016-0016-0003	26	1a	no longer needed	N1-GRS-04-1, item 1a

Frequently Asked Questions (FAQs) about GRS 5.1, Common Office Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 5.1?

This schedule provides disposition authority for common, routine records found in most offices, whether focused on administrative activities or mission-related activities. These records consist primarily of administrative housekeeping records, but also include non-recordkeeping copies of electronic records, whether in electronic form or printed out. It does not, however, cover non-recordkeeping copies of records that did not originate in an electronic format (see also Question 8 below). This schedule also does not cover common office administrative records scheduled elsewhere in the GRS, such as timekeeping and procurement records.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 5.1 differ from the old General Records Schedules?

This GRS combines routine administrative records from GRS 23 and GRS 26 along with non-recordkeeping copies of electronic records (GRS 4.3) to provide coverage for routine records found in most agency offices.

A significant change in this schedule is that we have superseded GRS 4.3, item 040, with item 020 and, in doing so, made the item media-neutral. It can now be applied to non-recordkeeping hardcopy printouts of electronic records as well as to electronic copies.

4. Why did you rescind GRS 26, item 1b?

We rescinded GRS 26, item 6b, because it was not actually a disposition authority, but rather an instruction to submit a records schedule for the records. Agencies are still required to submit a records schedule for mission-related committee records (see Note to item 030 in GRS 5.1).

5. Why did you rescind GRS 27, item 6?

We rescinded GRS 27, item 6, because Chief Information Officers (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 documenting high-level decisions.

QUESTIONS RELATED TO ITEM 020

6. What are “non-recordkeeping copies” as covered by item 020?

Non-recordkeeping copies are any copy other than the “official record” kept by the agency for formal recordkeeping purposes. Do not confuse the term with “non-record.” Non-recordkeeping copies may be records. They are records if they are used to make decisions or take actions or agencies create them in the course of conducting business. However, such records generally do not need to be kept for documentation purposes for as long a time as the official record copy. For example, email created and received within an individual’s email account in the course of agency business is a non-recordkeeping copy that is a record. Those emails may be copied into an official recordkeeping system, such as a case file or an email archiving system, for long-term preservation. The copy in the individual’s account is still a record used to conduct business, but it is not the recordkeeping copy; it is a non-recordkeeping copy.

7. Item 020 states that it includes “copies of the above electronic records maintained in websites or web servers, but EXCLUDING web pages themselves.” What is a “web page” in this context?

The term “web page” as it is used in this item refers to the electronic file(s) that make up the page as it renders on the web, such as an HTML or XML file, style sheets, and any other associated files that may make up the web page.

8. Why does item 020 not cover copies that originate in hardcopy or paper format?

The GRS doesn’t include copies that do not originate in an electronic format largely because almost all records now originate in some sort of electronic format. Additionally, it is less likely that a record originating in hardcopy (for example, handwritten notes) is copied in an electronic format elsewhere, so the original record may be the recordkeeping version because it is the only one that exists.

GENERAL RECORDS SCHEDULE 5.2: Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

Note that this schedule does not cover original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled and 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.”

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Transitory records.</p> <p>Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • messages coordinating schedules, appointments, and events • transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments • received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees • messages received from agency distribution lists or listservs • “to-do” or task lists and assignments 	<p>Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>	DAA-GRS-2017-0003-0001
020	<p>Intermediary records.</p> <p>Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:</p> <ul style="list-style-type: none"> • non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and 	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.</p>	DAA-GRS-2017-0003-0002

	<p>calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.</p> <ul style="list-style-type: none"> • audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • dictation recordings • input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction: <ul style="list-style-type: none"> ○ hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1) ○ electronic input source records such as transaction files or intermediate input/output files • ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report • data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2) <p>Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.</p> <p>Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):</p> <ul style="list-style-type: none"> • files created only for public access purposes • summarized information from unscheduled electronic records or inaccessible permanent records • data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original • data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012) 		
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	<p>Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.</p> <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>		
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New GRS 5.2				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.2	010	Business use ceases	DAA-GRS-2017-0003-0001	23	6a	After action taken	N1-GRS-80-8, item 3a
				23	6b	Immediately	N1-GRS-80-8, item 3b
				23	7	Immediately or no longer needed	N1-GRS-04-5, item 1 -- except first bullet covered in GRS 4.2
5.2	020	Verification of successful creation of final record or business use ceases	DAA-GRS-2017-0003-0002	21	22	Immediately	N1-GRS-81-9, item V-1
				21	23	Immediately	N1-GRS-81-9, item V-2
				4.3	010	Immediately	DAA-GRS-2013-0001-0001
				4.3	011	60 days after notification	DAA-GRS-2013-0001-0002
				4.3	012	Immediately	DAA-GRS-2013-0001-0003
				4.3	020	Immediately	DAA-GRS-2013-0001-0004
				4.3	030	Business use ceases	DAA-GRS-2013-0001-0005
				4.3	031	Business use ceases	DAA-GRS-2013-0001-0006

Frequently Asked Questions (FAQs) about GRS 5.2, Transitory and Intermediary Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 5.2?

GRS 5.2 provides disposition authority for records required only for a short time (transitory records) and records created or used in the process of creating a subsequent record (intermediary records) that an agency does not also need to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 5.2 differ from its superseded General Records Schedules?

The new item for Transitory Records (item 010) has not changed substantially from the items it supersedes (Suspense Files, GRS 23, items 6a and 6b, and Transitory Files, GRS 23, item 7). The main difference is in the list of examples, which has been updated to incorporate contemporary records.

Item 020, Intermediary Records, is a more substantial change. "Intermediary records" is a new concept to the GRS that covers various previously scheduled records, all with the same function of being a record used to create another record. The item incorporates a diverse range of records previously scheduled in the GRS, including merging the input and output records items from GRS 4.3 into a single item. We have also added coverage for unsubstantial working files.

QUESTION ABOUT ITEM 010 – TRANSITORY RECORDS

For more information on applying this item to electronic messages, see Frequently Asked Questions (FAQs) about Transitory Records in Electronic Messages.

4. Why does this item include seemingly non-record materials such as "messages received from agency distribution lists or listservs" and "received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees"?

While the records in question may be deemed non-record material by some agencies, other agencies are not as comfortable making this non-record determination. Just because a record is a copy does not mean that it is non-record. If it is used for decision-making or taking action, it is a record. Only reference copies are non-record documents. To assist agencies that do not want to declare these materials non-record, we have included them in their own item within GRS 5.2 (item 010), to clearly distinguish and

designate them as records of a transitory nature.

QUESTIONS ABOUT ITEM 020 – INTERMEDIARY RECORDS

5. What constitutes a meeting in the second bullet in item 020?

A meeting for the purposes of this schedule is the deliberations of a body such as a board, commission, advisory group, committee, task force, or other collection of employees such as a staff meeting, in which agency business is transacted or discussed. A meeting does not include activities such as interrogations, interviews, or other instances where individuals are subject to questioning.

6. What are input or source records in the fourth bullet in item 020?

Input records are the sources of information agencies enter into an electronic system. They support creating, updating, or modifying master files an agency keeps for recordkeeping purposes under a NARA-approved records schedule. Input records may be electronic files or hardcopy (non-electronic) documents. They may include records such as upload files staged for ingest into a system or hardcopy forms scanned or otherwise entered into the system.

Not all input processes create separate records. This GRS applies only when a separate record is created. Input processes that do *not* create a separate input record include:

- Structured data the user enters from online forms, and unstructured (textual) data that is born digital (*i.e.*, not scanned from paper).
- Data moved automatically from another system with no associated data file. Thus, the data is copied from one system to the other without creating an intermediary data file. (For example, data are pulled from one system to populate another, and fields from System X are used to populate System Y.)

7. What does “verification of successful creation” mean in the disposition instruction for item 020?

“Verification of successful creation” means that the agency has taken steps to ensure that hardcopy or analog records have been converted to electronic format in their entirety, that no information or pages are missing, all information is readable, especially in cases where records are scanned, and that the electronic version of the record is accessible (it can be opened). It is up to Federal agencies to define their verification procedures. NARA does not have specific requirements for how agencies should verify that they have successfully converted records to an electronic format.

8. Why does this item’s fourth bullet include hardcopy input source documents only if all information on the document is incorporated into an electronic system?

This item covers input source records only if all information on the document is copied into the electronic version because if it does not include all such information, the subsequent record does not exactly duplicate the input record. The input record therefore contains unique information that may change its value. For example, if a hardcopy source record contains an annotation not clearly included in the scanned copy, the scan does not entirely duplicate the input record. Therefore, the input record may have unique value and the agency should retain it.

Another example is data entered from a form. If not all of the form's data is entered into the system, then the source record has not been copied in its entirety. One exception may be a form used to check a record already in the system. If information on the form already matches what is in the system, there is no need to update the information in the system. In that case, the source record is still being copied in its entirety because the information on the input form and in the system is the same. As long as there is a one-to-one relationship between the source record and the electronic version and they match, the source record is being copied in its entirety.

9. What are "inaccessible permanent records" in Exclusion 2? Why does item 020 exclude summarized information derived from such records?

Electronic records may have been scheduled as permanent but the record may be lost, corrupted, or in some other way unable to be opened or read. In that case, a data file output containing summarized information may be the only accessible version of the record, and NARA might want to take this output record in place of the inaccessible/unavailable permanent master record. This exclusion should not be interpreted to mean that outputs must be kept just in case the permanent record becomes inaccessible; it only means that, if you have the output records and the master file is inaccessible, you should contact NARA to see if you should transfer the output records instead.

10. Under what conditions are input records covered or not covered by item 020?

The following two tables explain the conditions under which input records are covered or not covered by item 020. If the input records are in hardcopy format:

Input record description	Source already scheduled?	Limitations	Instruction
Hardcopy records entered or scanned into the system where the electronic version captures <i>all</i> information on the hardcopy, such as: <ul style="list-style-type: none"> • Data entered into system from a paper form • Scanned images/ PDFs of hardcopy records 	Yes; scheduled as permanent	Schedule states that records must be transferred in hardcopy.	These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
		Electronic version does not meet NARA transfer standards.	These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
		Schedule does not require hardcopy transfer or is silent on format of records to be transferred to NARA and electronic format meets transfer standards.	Use GRS 5.2, item 020. However, these records fall under Note 1 and may not be destroyed until 90 days after submission of a notification to NARA per 36 CFR 1225.24(a)(1) <u>and</u> verification of successful creation of the electronic version, but longer retention is authorized if required for business use.
	Yes; scheduled as temporary		Use GRS 5.2, item 020. Destroy immediately after verification of successful creation of the electronic version, but longer retention is authorized if required for business use.

Input record description	Source already scheduled?	Limitations	Instruction
	No		Use GRS 5.2, item 020. However, these records fall under Note 1 and the electronic records must be scheduled prior to destruction of any input or source records <u>and</u> after verification of successful conversion, but longer retention is authorized if required for business use.
Hardcopy records converted to electronic format but containing information not captured in electronic version, such as: <ul style="list-style-type: none"> Records with handwritten annotations Records with layered attached notes Color-dependent documents captured electronically only in black-and-white 	Yes		These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
	No		These records are not covered by the GRS. Input record must be scheduled because it is unique.
Hardcopy records where the electronic version does not replace the source record, such as: <ul style="list-style-type: none"> A case tracking system in which users input information from source documents, but the documents themselves remain a distinct entity outside the system 	Yes		These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
	No		These records are not covered by the GRS. Input record must be scheduled because it is unique.

If the input records are in electronic format:

Description of input records	Limitations	Instruction
Electronic records used to create or update a master file, such as: <ul style="list-style-type: none"> Work files Valid transaction files Intermediate input/output records 		Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
	Required for legal or audit purposes.	These records are not covered by the GRS. The input records must be scheduled.

Description of input records	Limitations	Instruction
Electronic records entered into system during an update process, such as: <ul style="list-style-type: none"> Copies of data files or records from another system maintained by the agency 	Not required for legal or audit purposes.	Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
Electronic records received from another agency and used as input/source records, such as: <ul style="list-style-type: none"> Copies of data files or records from a system in another agency 	Produced under an interagency agreement or created for specific information needs of receiving agency.	These records are not covered by the GRS. The input records must be scheduled.
	Neither produced under an interagency agreement nor created for specific information needs of receiving agency.	Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
Uncalibrated and unvalidated data collected in observation or measurement activities or research and development programs, such as: <ul style="list-style-type: none"> Scientific observational data from satellites Research experimental test data 		Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
Electronic source records scheduled elsewhere and the system does not replace the source record, such as: <ul style="list-style-type: none"> A case tracking system in which users input information from electronic source records, but the records themselves remain a distinct entity outside the system 		These records are not scheduled in the GRS. Apply source system's existing authority or schedule source system if unscheduled.

Note: If the input records are in electronic format, any electronic files created specifically from one system as an input to another system must either be covered by GRS 5.2, item 020, or be separately scheduled, even if the originating system is scheduled.

11. When is it not appropriate to destroy input records according to item 020 once they are converted to an electronic format?

Agencies may find that in certain circumstances they have a business need for the source records even after they have converted the records to an electronic format. In such cases, agencies may determine that it is not appropriate to apply the GRS for converted input/source records. Agencies should assess their business need for the source records and may establish a longer retention in their agency-specific disposition manuals without additional NARA approval. In some cases, source records may be or become part of another records series scheduled on an agency-specific schedule. In these cases, the agency-specific schedule should be applied rather than item 020. For example, if the source record is part of another record, such as a case file, but the electronic version of the record is not a copy of the

entire case file or has a separate purpose from the case file, then an agency-specific case file disposition authority, rather than item 020, may apply to the source record.

Frequently Asked Questions (FAQs) about Transitory Records in Electronic Messages

July 2017

INTRODUCTION

1. What is the purpose of this FAQ?

This FAQ provides additional information about applying GRS 5.2, item 010, Transitory Records, to electronic messages. Electronic messages can fall into one of four categories: permanent, long-term temporary, short-term temporary, or transitory. This FAQ specifically addresses the transitory category.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

3. What is a transitory record?

The GRS provides two criteria for identifying a transitory record:

- the records are required for only a short time (generally less than 180 days), and
- the agency does not require the records to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

Both criteria must be met for the record to be transitory. If they are not both met, the record may still be temporary, it is just not a transitory record. For examples of transitory records, see GRS 5.2, item 010.

4. What electronic messages are NOT transitory?

Electronic messages that are not transitory include those that:

- contain information that is necessary to adequately and properly document the activities and functions of the agency
- provide documentation of agency decisions and commitments reached orally (person-to-person, phone, video, or in conference)
- convey information of value on agency activities if the electronic mail message adds to a proper understanding of agency operations and responsibilities
- document the formulation and execution of policies and decisions
- denote actions or decisions taken by agency Capstone officials (Capstone officials are defined in GRS 6.1)
- provide evidence related to fiscal or legal rights and obligations



This list is not comprehensive. These messages may still be temporary (or even permanent), but not transitory.

5. Can records identified as transitory be culled from electronic mail?

Yes. NARA expects that agencies will cull non-record, spam, personal, and transitory records from email accounts, especially those appraised as permanent. This applies to email managed under an agency-specific schedule or GRS 6.1 (also known as the Capstone Approach). For more information about culling email see [Frequently Asked Questions \(FAQs\) about GRS 6.1, Email Managed Under a Capstone Approach, questions 30-32](#). Agencies may also apply other disposition authorities to dispose of email. See [Frequently Asked Questions \(FAQs\) about GRS 6.1, Email Managed Under a Capstone Approach, question 22](#), for further information on applying other disposition authorities, including GRS 5.2, item 010, to email.

GENERAL RECORDS SCHEDULE 5.6: Security Records

This schedule covers records about protecting an organization's personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.

Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers.

Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.

Item	Records Description		Disposition Instruction	Disposition Authority
010	Security administrative records. Records about routine facility security, protective services, and personnel security program administration. Includes: <ul style="list-style-type: none"> • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0001
020	Key and card access accountability records. Records accounting for keys and electronic access cards.	Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary. Destroy 3 years after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0002
021		All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	Temporary. Destroy 6 months after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0003
030	Uniform and equipment tracking records. Records tracking uniforms and equipment issued to security personnel, including: <ul style="list-style-type: none"> • firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests 		Temporary. Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0004

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none">• police baton and holder• handcuffs and keys			
040	Property pass records. Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.		Temporary. Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0005
050	Records of credit card abuse and postal irregularities. Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes: <ul style="list-style-type: none">• postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail• semi-annual reports on Government charge card violations Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.		Temporary. Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0006
060	Unclaimed personal property records. Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes: <ul style="list-style-type: none">• lost-and-found logs and release forms• loss statements• receipts• reports	Records for property valued over \$500. Legal Citation: 41 CFR 102-41.130	Temporary. Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0007
061		Records for property valued at \$500 or less. Legal citation: 41 CFR 102-41.130	Temporary. Destroy 30 days after the property is found, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0008
Facility and physical security records.				
070	Interagency Security Committee member records. Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes: <ul style="list-style-type: none">• agendas		Temporary. Destroy when 10 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0009

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> meeting minutes best practice and standards documents funding documents for security countermeasures <p>Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.</p>			
080	Facility security assessment records. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes: <ul style="list-style-type: none"> facility notes inspector notes and reports vulnerability assessments 	Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary. Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0010
081		All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	Temporary. Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0011
090	Records of routine security operations. Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes: <ul style="list-style-type: none"> control center key or code records registers of patrol and alarm services service reports on interruptions and tests emergency alarm contact call lists temporary identification cards correspondence or lists of facility occupants authorized to enter with a prohibited or 		Temporary. Destroy when 30 days old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0012

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>controlled item on an identified date</p> <ul style="list-style-type: none"> • round and perimeter check reports, including facility patrol tour data • surveillance records <ul style="list-style-type: none"> ○ recordings of protective mobile radio transmissions ○ video surveillance recordings ○ closed circuit television (CCTV) records • door slip summaries <p>Exclusion: Law enforcement officer-related records, which are covered by agency-specific schedules.</p> <p>Note: Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.</p>		
100	<p>Accident and incident records.</p> <p>Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes:</p> <ul style="list-style-type: none"> • statements of witnesses • warning notices • records about arrests, commitments, and traffic violations • accident and incident reports • law enforcement agency requests for information <p>Exclusion 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.</p> <p>Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.</p> <p>Exclusion 3: 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>	<p>Temporary. Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	DAA-GRS-2017-0006-0013

Item	Records Description		Disposition Instruction	Disposition Authority
110	Visitor processing records. Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.	Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0014
111	Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.	All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0015
120	Personal identification credentials and cards. Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.	Application and activation records. Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes: <ul style="list-style-type: none"> • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected • lost or stolen credential documentation or police report Note: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.	Temporary. Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0016
121	Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.	Cards.	Temporary. Destroy after expiration, confiscation, or return.	DAA-GRS-2017-0006-0017
130	Local facility identification and card access records. Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility		Temporary. Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance	DAA-GRS-2017-0006-0018

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance • parking permits 	<p>due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.</p>	
140	<p>Sensitive Compartmented Information Facility (SCIF) accreditation records. Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> • initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist 	<p>Temporary. Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0019
150	<p>Sensitive Compartmented Information Facility (SCIF) inspection records. Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals 	<p>Temporary. Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0020
160	<p>Canine (K-9) service records. Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> • acquisition records • breeder and lineage records • vaccination and medical history records • microchip number and identification records 	<p>Temporary. Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0021

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none">deficiencies/remediestraining courses taken and resulting grades and certificationsinitial report of positive detections and bite incidentsend-of-service documentation (through retirement or death)			
Personnel security records.				
170	Personnel security investigative reports. Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	Personnel suitability and eligibility investigative reports.	Temporary. Destroy in accordance with the investigating agency instruction.	DAA-GRS-2017-0006-0022
171		Reports and records created by agencies conducting investigations under delegated investigative authority.	Temporary. Destroy in accordance with delegated authority agreement or memorandum of understanding.	DAA-GRS-2017-0006-0023
180	Personnel security and access clearance records. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: <ul style="list-style-type: none">questionnairessummaries of reports prepared by the investigating agencydocumentation of agency adjudication process and final determination Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.	Records of people not issued clearances. Includes case files of applicants not hired. Exclusion: Copies of investigative reports covered in items 170 and 171.	Temporary. Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0024
181		Records of people issued clearances. Exclusion: Copies of investigative reports covered in items 170 and 171.	Temporary. Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0025
190	Index to the personnel security case files. Lists or reports showing the current security clearance status of individuals.		Temporary. Destroy when superseded or obsolete.	DAA-GRS-2017-0006-0026
200	Information security violations records. Case files about investigating alleged violations of executive orders, laws, or agency regulations		Temporary. Destroy 5 years after close of case or final action,	DAA-GRS-2017-0006-

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.</p> <p>Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.</p> <p>Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p>whichever occurs sooner, but longer retention is authorized if required for business use.</p>	<p>0027</p>
Insider threat records.			
210	<p>Insider threat administrative and operations records. Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> • correspondence related to data gathering • briefing materials and presentations • status reports • procedures, operational manuals, and related development records • implementation guidance • periodic inventory of all information, files, and systems owned • plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> ○ independent and self-assessments ○ corrective action plans ○ evaluative reports <p>Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0028</p>
220	<p>Insider threat inquiry records. Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p> <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p>Temporary. Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0029</p>

Item	Records Description	Disposition Instruction	Disposition Authority
230	<p>Insider threat information.</p> <p>Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Counterintelligence and security information <ul style="list-style-type: none"> ○ personnel security files ○ polygraph examination reports ○ facility access records, including visitor records ○ security violation files ○ travel records ○ foreign contact reports ○ financial disclosure filings ○ referral records ○ intelligence records • Information assurance information <ul style="list-style-type: none"> ○ personnel usernames and aliases ○ levels of network access ○ levels of physical access ○ enterprise audit data which is user attributable ○ unauthorized use of removable media ○ print logs • Human resources information <ul style="list-style-type: none"> ○ personnel files ○ payroll and voucher files ○ outside work and activities requests ○ disciplinary files ○ personal contact records ○ medical records/data • Investigatory and law enforcement information <ul style="list-style-type: none"> ○ statements of complainants, informants, suspects, and witnesses ○ agency, bureau, or department data • Public information <ul style="list-style-type: none"> ○ court records 	<p>Temporary. Destroy when 25 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0030</p>

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

New GRS 5.6				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.6	010	3 years	DAA-GRS-2017-0006-0001	18	8	2 years	GRS 18, 1960, item 9
				18	13a	3 years	GRS 18, 1960, item 14a
				18	13b	2 years	GRS 18, 1960, item 14b
				18	21	2 years	NC1-GRS-80-1, item 22
5.6	020	3 years	DAA-GRS-2017-0006-0002	18	16a	3 years	GRS 18, 1960, item 17 (in part)
5.6	021	6 months	DAA-GRS-2017-0006-0003	18	16b	6 months	GRS 18, 1960, item 17 (in part)
5.6	030	3 months	DAA-GRS-2017-0006-0004	18	19d	3 months	GRS 18, 1960, item 20d
5.6	040	3 months	DAA-GRS-2017-0006-0005	18	12	3 months	GRS 18, 1960, item 13
5.6	050	3 years	DAA-GRS-2017-0006-0006	12	8 (in part)	3 years	NC1-64-77-9, item 8 (in part)
5.6	060	3 years	DAA-GRS-2017-0006-0007	18	15a (in part)	3 years	GRS 18, 1960, item 16a (in part)
				18	15b (in part)	1 year	GRS 18, 1960, item 16b (in part)
5.6	061	30 days	DAA-GRS-2017-0006-0008	18	15a (in part)	3 years	GRS 18, 1960, item 16a (in part)
				18	15b (in part)	1 year	GRS 18, 1960, item 16b (in part)
5.6	070	10 years	DAA-GRS-2017-0006-0009	New item			
5.6	080	5 years	DAA-GRS-2017-0006-0010	18	9 (in part)	3 years	GRS 18, 1960, item 10 (in part)
				18	10 (in part)	4 years	GRS 18, 1960, item 11 (in part)
5.6	081	3 years	DAA-GRS-2017-0006-0011	18	9 (in part)	3 years	GRS 18, 1960, item 10 (in part)
				18	10 (in part)	4 years	GRS 18, 1960, item 11 (in part)
5.6	090	30 days	DAA-GRS-2017-0006-0012	18	18a	1 year	GRS 18, 1960, item 19a
				18	18b	1 month	GRS 18, 1960, item 19b
				18	19a	Superseded or obsolete	GRS 18, 1960, item 20a
				18	19b	1 year	GRS 18, 1960, item 20b
				18	19c	1 year	GRS 18, 1960, item 20c
				21	11	6 months	N1-GRS-98-2, item 37
				21	18	6 months	N1-GRS-98-2, item 39
5.6	100	3 years	DAA-GRS-2017-0006-0013	10	13	1 year	N1-GRS-04-6, item 5
				18	11	2 years	GRS 18, 1960, item 12
				18	14a	3 years	GRS 18, 1960, item 15a
				18	14b	2 years	GRS 18, 1960, item 15b
				18	14c	1 year	GRS 18, 1960, item 15c
5.6	110	5 years	DAA-GRS-2017-0006-0014	18	17a	5 years	GRS 18, 1960, item 18 (in part)
				18	20a (in part)	2 years	GRS 18, 1960, item 21a (in part)
				18	20b (in part)	1 year	GRS 18, 1960, item 21b (in part)
5.6	111	2 years	DAA-GRS-2017-0006-0015	18	17b	2 years	GRS 18, 1960, item 18 (in part)
				18	20a (in part)	2 years	GRS 18, 1960, item 21a (in part)
				18	20b (in part)	1 year	GRS 18, 1960, item 21b (in part)
5.6	120	6 years	DAA-GRS-2017-0006-0016	11	4a (in part)	3 months	GRS 11, 1952, item 4a (in part)
				11	4b (in part)	When accounted for	GRS 11, 1952, item 4b (in part)
				21	2 (in part)	5 years	N1-GRS-98-2, item 33 (in part)
5.6	121	Expiration, confiscation, or return	DAA-GRS-2017-0006-0017	New item			
5.6	130	6 months	DAA-GRS-2017-0006-0018	11	4a (in part)	3 months	GRS 11, 1952, item 4a (in part)
				11	4b (in part)	When accounted for	GRS 11, 1952, item 4b (in part)
				21	2 (in part)	5 years	N1-GRS-98-2, item 33 (in part)
5.6	140	When accredited	DAA-GRS-2017-0006-0019	New item			
5.6	150	5 years	DAA-GRS-2017-0006-0020	New item			
5.6	160	3 years	DAA-GRS-2017-0006-0021	New item			
5.6	170	Per agency instruction	DAA-GRS-2017-0006-0022	18	22b	Per agency instruction	NC1-GRS-80-1, item 23b
5.6	171	Per agreement or MOU	DAA-GRS-2017-0006-0023	New item			
5.6	180	1 year	DAA-GRS-2017-0006-0024	New item			
5.6	181	5 years	DAA-GRS-2017-0006-0025	18	22a	Death or 5 years	NC1-GRS-80-1, item 23a
5.6	190	Superseded or obsolete	DAA-GRS-2017-0006-0026	18	22c	With related case file	NC1-GRS-80-1, item 23c
				18	23	Superseded or obsolete	NC1-GRS-80-1, item 24
5.6	200	5 years	DAA-GRS-2017-0006-0027	18	24a	5 years	NC1-GRS-81-8, item 1a
				18	24b	2 years	N1-GRS-98-2, item 31
5.6	210	7 years	DAA-GRS-2017-0006-0028	New item			
5.6	220	25 years	DAA-GRS-2017-0006-0029	New item			
5.6	230	25 years	DAA-GRS-2017-0006-0030	New item			

New GRS 5.6				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.6	240	5 years	DAA-GRS-2017-0006-0031	New item			

Frequently Asked Questions (FAQs) about GRS 5.6, Security Records

July 2017

1. What is the purpose of GRS 5.6?

This schedule provides disposition authority for records about managing the protection of an organization's personnel, assets, and facilities.

2. Whom do I contact for further information about this schedule?

Please contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 5.6 differ from the old GRS?

GRS 5.6 adds 12 new items to the GRS and supersedes 46 items found throughout old GRS 10, 11, 12, 18, and 21. It aggregates a number of the law enforcement and other security functions in old GRS 18 into the items for routine security operations records (item 090) and accident and incident records (item 100).

Schedule items 210, 220, 230 and 240 are completely new to the GRS. These items cover records of executive branch agencies responsible for implementing insider threat protection programs under Executive Order 13587, Structural Reforms to Improve the Security of Classified Networks and the Responsible Sharing and Safeguarding of Classified Information.

TERMS USED IN THIS SCHEDULE

4. What are Facility Security Levels?

Facility Security Levels (FSLs) are assigned by agencies to facilities and any property assigned a security awareness status by Government agencies. The FSL determination is an estimation of the level of risk at a facility. See [*The Risk Management Process for Federal Facilities: An Interagency Security Committee Standard*](#) (August 2013, 1st Edition).

QUESTION RELATED TO ITEMS 060 and 061

5. What is the significance of the \$500 over/under threshold amounts identified in the item titles?

Unclaimed personal property becomes the property of the Government 30 days after being found. Documentation of personal property valued over \$500 must be kept for an additional 3 years from the date that title to the property vests in the Government to allow time for the former owner to file a claim. While agencies may choose to keep records of all unclaimed personally owned property for 3 years, lost-and-found documentation for property valued at less than \$500 may be disposed of 30 days

after the property is found.

QUESTION RELATED TO ITEM 070

6. Why are the Interagency Security Committee member records retained for 10 years?

The Department of Homeland Security's Interagency Security Committee recommends a minimum retention period of 10 years for these records, as stated in [*Facility Security Committees: An Interagency Security Committee Standard*](#) (January 1, 2012, 2nd Edition), page 22.

QUESTION RELATED TO ITEM 090

7. Why has the retention period for surveillance records been reduced from 6 months to 30 days?

Many agencies told us the 6-month minimum retention requirement expressed by old GRS 21, item 11 (Routine Surveillance Footage, N1-GRS-98-2, item 37) posed storage challenges because of the file size and attendant storage requirements of such recordings. Agencies felt that a 30-day requirement met both their business needs and storage capabilities. Since this item has the flexibility statement added to the instruction, agencies wanting to continue with the 6-month retention may continue to do so.

QUESTION RELATED TO ITEM 140

8. What is a "TEMPEST Checklist"?

A TEMPEST Checklist is a form used to meet certain security requirements. TEMPEST refers to the investigation, study and control of compromising emanations from telecommunications and automated information system equipment.¹

QUESTION RELATED TO ITEMS 170 and 171

9. What is the difference between items 170 and 171? How do I know if my agency has "delegated investigative authority"?

The difference is whether an agency relies on another agency to conduct investigations (item 170) or conducts its own investigations under authority delegated from the Office of Personnel Management (OPM) or similar organization (item 171). Your agency's personnel security office can tell you your agency's delegated authority status and the agreed-upon retention period for the investigation reports. Item 171 provides disposition authority for records created by those agencies holding delegated authority. Item 170 should be used by all other agencies.

QUESTION RELATED TO ITEMS 210 THROUGH 240

10. What is an insider threat?

An insider threat is the potential that an employee, contractor, or other person with authorized access to a Federal agency "will use his/her authorized access, wittingly or unwittingly, to do harm to the

¹ DoDM 5105.21-V2, October 19, 2012, page 41

security of the United States. This threat can include damage to the United States through violent acts, espionage, terrorism, unauthorized disclosure of national security information, or through the loss, denial or degradation of departmental resources or capabilities” (Defense Security Service Regulation, Number 05-06, January 30, 2014, page 14).

QUESTIONS RELATED TO ITEM 230

11. My agency already follows the GRS for its personnel records and some of the documents included under this item are personnel records but have shorter retention periods. Which takes precedence: other GRS items with shorter retention periods or the GRS 5.6, 25-year retention period required in item 230? Wouldn't it be easier to keep all these records for a flat 25 years to meet the future needs of the insider threat program in my agency?

Item 230 covers *copies* of certain Human Resources (HR) records collected by an insider threat program for a unique business purpose. The original records held by the HR office remain scheduled under HR schedules. Copies of the same record may be retained by different offices for different time periods. Each copy documents a separate business function.

12. Twenty-five years is too long for my agency to keep insider threat information. How do we request a shorter retention period?

Your agency is welcome to submit an agency-specific records schedule following its normal procedure. The schedule should include a justification for deviating from the GRS. The GRS Team reviews all proposed agency schedule items covered by the GRS and determines if the agency can properly use its own authority as a GRS deviation. NARA may deny requests if the proposed agency retention period differs from the GRS and the agency retention period will put the records or the agency at risk.

Since the GRS establishes a legal minimum retention period for similar records across the Government, we request your agency's general counsel sign off on any agency-specific schedule requesting to keep records beneath the 25-year threshold. If we receive numerous requests to keep records shorter, we may reduce the GRS retention period for records held under this item. Thus, it is important for your agency to contact us at GRS_Team@nara.gov regarding any GRS items that do not meet business needs.

GENERAL RECORDS SCHEDULE 5.8: Administrative Help Desk Records

Help desk services are provided by service centers to respond to Government and contract employees' technical and administrative questions. This schedule covers records on managing administrative, technical, and information technology (IT) help desks. It includes records on assistance provided both within the agency and through inter-agency service agreements on functions such as IT help, security, parking, payroll, timekeeping, human resources, etc.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Technical and administrative help desk operational records.</p> <ul style="list-style-type: none">• records of incoming requests (and responses) made by phone, email, web portal, etc.• trouble tickets and tracking logs• quick guides and “Frequently Asked Questions” (FAQs)• evaluations and feedback about help desk services• analysis and reports generated from customer management data• customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports <p>Exclusion: Public customer service records scheduled under GRS 6.5.</p>	<p>Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>	DAA-GRS-2017-0001-0001

New GRS 5.8				Old GRS			
5.8	010	1 year	DAA-GRS-2017-0001-0001	24	10a	1 year	N1-GRS-03-1 item 10a
				24	10b	1 year	N1-GRS-03-1 item 10b

Frequently Asked Questions (FAQs) About GRS 5.8, Administrative Help Desk Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 5.8?

This schedule provides disposition authority for administrative, technical, and information technology (IT) help desk records.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 5.8 differ from the old General Records Schedule?

The old GRS 24, items 10a and 10b, covered information technology help desk records and did not specify whether they covered records of internal or agency-to-agency help desk records, or both. GRS 5.8 combines these two old items into one new item. The new item removes the information technology focus in the old GRS, in recognition that many agencies use help desk services to assist staff with a variety of administrative functions. Moreover, the new item covers both internal (intra-agency) and agency-to-agency (interagency) help desk records.

GENERAL

4. Why are GRS 5.8 Administrative Help Desk Records and GRS 6.5 Public Customer Service Records two separate schedules?

The two schedules reflect different functions. The GRS has separate schedules for administrative support functions (the 5.0 series) and mission support functions (the 6.0 series). Administrative help desk records document administrative support. Public customer service records document mission support. That is why these schedules appear separately.

Frequently Asked Questions (FAQs) about GRS 6.1, Email Managed under a Capstone Approach

Updated May 2017

These FAQs provide additional information for agencies implementing GRS 6.1 (Capstone GRS). Agencies adopting a Capstone approach should also consult other resources available from NARA related to email management, and specifically the Capstone approach. These resources are available on NARA's [Email Management page](#), and include:

- Links to related, over-arching email and transfer related guidance;
- Recorded training sessions related to Capstone implementation best practices, determining Capstone officials, and incorporating a Capstone approach within agency policies and training programs;
- Recorded briefings on the basics of Capstone, geared towards specific audiences (managers, General Counsel, etc.);
- Checklists and recorded training sessions on the basics of Capstone; and
- Information on NARA's own implementation of a Capstone approach.

Agencies should not implement GRS 6.1 of the Capstone approach in isolation. Agencies should also supplement with agency-wide policies and training, and incorporate the schedule and its requirements into agency records management implementation tools (such as manuals and file plans (see FAQ 29).

GENERAL

1. What is the purpose of GRS 6.1?

This schedule:

- Provides disposition authority for agencies who implement a Capstone approach as outlined in [NARA Bulletin 2013-02](#): Guidance on a New Approach to Managing Email Records [Capstone]; and
- Assists agencies to meet Goal 1.2 of the [Managing Government Records Directive \(M-12-18\)](#), which requires agencies to manage both permanent and temporary email records in an accessible electronic format by December 31, 2016.

2. From whom may I request more information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

3. How does an agency document that it is using the Capstone GRS?

To ensure proper oversight and accountability, no agency may implement this GRS until the agency submits a list of Capstone officials to NARA and we approve that list. This restriction applies when using item 010, and acts as an exception list when using only items 011 and 012. To submit your agency's list of Capstone officials, fill out [NARA form 1005](#) (NA-1005), *Verification for Implementing GRS 6.1*, and email it to GRS_Team@nara.gov. The form includes detailed instructions.

4. Do all agencies have to follow this GRS?

If an agency chooses to use one or more items in this GRS, it may not deviate from this schedule's parameters and must submit form NA-1005 as described in Question 3. But an agency may request authority to implement a Capstone approach that differs from this GRS by submitting an agency-specific records schedule to NARA. Reasons agencies may wish to submit an agency-specific schedule can include, but are not limited to:

- The agency believes, and can justify, that it is appropriate to exclude one or more of the officials required for inclusion in item 010, Email of Capstone Officials;
- The agency needs, and can justify, a transfer date longer than the maximum in item 010; or
- The agency wants the authority to dispose of temporary email earlier than permitted by the retention periods in items 011 and 012, and can justify the shorter retention.

We encourage agencies to discuss scheduling options with their [NARA Appraisal Archivist](#).

5. What does this GRS mean when using the term "official"?

In context of this GRS, an official includes all Federal agency employees, regardless of their appointment type (i.e., part-time employees, student employees, term employees, temporary employees, volunteers, interns, and members of the military), who create Federal records.

Officials under this GRS also include contractors that create Federal records in the course of performing their contract. Agencies determine whether contractor-created and -received records meet the definition of a Federal record defined in the Federal Records Act. Agencies must capture and manage contractor-created or -received Federal records appropriately, as with other Federal records. In situations where contractor employees are embedded in the agency and assigned agency email accounts (in contrast to situations where contractors fulfill the terms of a contract by providing a service from outside of the agency), the agency should manage those accounts in accordance with the GRS. Agencies should include records management requirements and provisions on retaining Federal records in contract agreements (36 CFR 1222.32).

6. Who are the Capstone officials this GRS covers?

Your agency must document its Capstone officials and submit that information to NARA on form NA-1005. This form includes detailed instructions to help you identify your agency's officials.

Capstone (permanent) officials are senior officials (e.g., those high on the organization chart) generally responsible for agency and program policy- and mission-related actions. Capstone officials vary agency by agency depending on an agency's organization and how it carries out agency roles. Some agencies will have more Capstone officials than others.

Federal agencies utilize a variety of titles for senior officials. Agencies using item 010 of this schedule must *identify their equivalents* for those positions described within each category provided in the item's description (when applicable).

Cabinet-level agencies implementing a Capstone approach that includes their components or operatives must apply the definition of official to each component separately. For this purpose, the agency should

treat each component or operative as though it were a separate agency.

A general rule of thumb for identifying officials is that every record group (RG) the agency includes in the Capstone implementation should have its own group of Capstone officials.

If you need additional help to identify your agency's Capstone officials, please contact your [NARA Appraisal Archivist](#).

QUESTIONS RELATED TO PERMANENT EMAIL RECORDS

7. What is meant by "Cut off in accordance with agency's business needs" within the disposition instructions for item 010?

Agencies have varying business needs and Capstone implementation plans (including system considerations) that affect when they cutoff email (consider it inactive). The 'business needs' language allows agencies flexibility to develop their own cutoff instructions based on those needs. Agencies must include their cutoff instructions in the "scope" section of form NA-1005, so NARA can document agency plans and anticipate future email transfers.

This flexibility also allows agencies to block (or batch) email to reduce the number of transfers to NARA. Agencies that do not wish to transfer annually may find blocking beneficial. For example, they could transfer email in five-year blocks instead. If the first five-year block spans from 2015 through 2020, the agency would transfer the email in 2035 (15 years after the cutoff date of the most recent records). They would next transfer email in 2040, which would cover email from 2021 through 2025. And so on.

Acceptable cutoff instructions for an agency include, but are not limited to:

- 1) Cut off at the end of the calendar year;
- 2) Cut off at the end of tenure;
- 3) Cut off at the end of each presidential administration; or
- 4) Cut off in five-year blocks at the end of the calendar year of the most recent email (for example, email from 2015 through 2020 would be cutoff in 2020 and transferred in 2035; email from 2021 through 2025 would be cutoff in 2025 and transferred in 2040).

As a reminder, all Federal agencies must manage permanent and temporary email records in an electronic format with the capability to identify, retrieve, and use the records for as long as their disposition requires.

8. What is meant by "Transfer to NARA 15-25 years after cutoff, or after declassification review (when applicable), whichever is later" within the disposition instructions for item 010?

Agencies have varying business needs and missions that affect when they should transfer permanent email to the legal custody of NARA. This language allows agencies flexibility to determine the appropriate transfer time, within the range of 15 to 25 years, after cutoff or after declassification review (if applicable). As with the cutoff instructions (see FAQ 7), agencies must include their transfer time in the "scope" section of form NA-1005, so NARA can document agency plans and anticipate future email transfers.

Agencies should carefully consider their transfer date. Agencies with a high level of deliberative or sensitive email may consider a later transfer date (for example, 25 years), while others without these

concerns should consider an earlier transfer date (for example, 15 years). As a reminder, all Federal agencies must manage permanent and temporary email records in an electronic format with the capability to identify, retrieve, and use the records for as long as their disposition requires. The later the transfer date, the longer the agency maintains this responsibility.

The transfer date should be determined in conjunction with the cutoff instructions (see FAQ 7), as the two complete the full transfer instructions. Examples of full instructions include, but are not limited to:

Cut off...	Transfer...	In this example...
At the end of the calendar year	To NARA 15 years after cutoff	Email from calendar year 2015 would be transferred in 2030
At the end of tenure	To NARA 25 years after cutoff	Email from individuals whose tenure ended in 2015 would be transferred in 2040
At the end of each Presidential administration	To NARA 20 years after cutoff	Email from the 2017 to 2020 administration would be transferred in 2040
At the end of calendar year	To NARA in 15 years in 5 year blocks	Email from 2015 through 2020 would be transferred in 2035; email from 2021 through 2025 would be transferred in 2040
At end of tenure	To NARA in 5 year blocks 15 years after cutoff	Email from individuals whose tenure ended in 2015 through 2020 would be transferred in 2035; email from individuals whose tenure ended in 2021 through 2025 would be transferred in 2040

Agencies with classified email have less flexibility with transfer time frames. As with any classified permanent records, email must be reviewed prior to transfer to NARA. Classified email is typically reviewed at 25 years based on standing Executive Orders.

9. What specific positions are included in category 7, Principal Regional Officials, under item 010?

This category may not apply to all agencies, even if they have offices outside of their headquarters. This category is reserved for those positions that have complete oversight and responsibility spanning a larger region (e.g., multiple states or specific geographic area) in carrying out mission-critical activities. For example, an agency may have 10 regions, each with a Regional Administrator that is responsible for mission-critical activities within that region's jurisdictions; these 10 Regional Administrators would fall into this category. Heads (regardless of title) of offices outside of headquarters, but not under a regionalized structure, are not included in this category. For example, it does not pertain to the heads of individual offices in the field, such as, but not limited to, customer service centers, processing centers, or administrative offices that conduct routine activities (e.g., passport offices, or Social Security claims processing offices, *IRS service centers, commissaries*).

Agencies may discuss the scope of this category with their NARA Appraisal Archivist during review of their form NA-1005.

10. Under category ten of item 010, how do agencies determine what additional roles and positions they should include as Capstone officials?

Category ten, “Additional roles and positions that predominately create permanent records related to mission-critical functions or policy decisions and/or are of historical significance,” is a catch-all category for those roles and positions whose email is appropriate for permanent retention, but not represented in the other nine categories. This could include email of staff in lower level (non-senior) positions, email related to functions in lower-level offices, or email in “service” accounts that agencies use to disseminate policy. For example, an agency with mission-centric task forces should include the head of each task force within this category if not captured in other categories. As with the other categories, the agency must include these roles and positions on its form NA-1005 if it has them. It is possible that an agency will have no roles and positions for this category.

11. Does the GRS apply if Capstone officials have more than one email account or if their email is managed by other staff (such as special assistants, confidential assistants, military assistants, or administrative assistants)?

Yes. Senior officials often have multiple email accounts, either based on their titles (*e.g.*, ArchivistOfTheUnitedStates@nara.gov), or managed by other staff members on their behalf. Agencies must designate all accounts affiliated with a Capstone official role or position as permanent. See category four within item 010.

You can find additional information on designating Capstone officials and email accounts in [NARA Bulletin 2013-03](#), Guidance for agency employees on the management of Federal records, including email accounts, and the protection of Federal records from unauthorized removal.

12. Must agencies maintain a list of Capstone officials and their associated email addresses?

Yes. Agencies should maintain an extended version of form NA-1005 that includes this additional information. Doing so will support the requirements in 36 CFR 1235.48, which requires agencies to include proper documentation when transferring permanent electronic records to NARA. The NA-1005 list will help agencies implement Capstone and export and transfer permanent email. Agencies should consider managing and keeping up-to-date a list of Capstone officials and their associated email addresses as part of agency policy (one of NARA’s recommended best practices). See also FAQ 36.

QUESTIONS RELATED TO TEMPORARY EMAIL RECORDS

13. What is the difference between items 011 and 012?

Item 011 covers all roles that do not fit into the descriptions of either 010 or 012. This item is therefore appropriate for non-senior officials who have roles such as: overseeing and instructing workers on the job; reviewing work in progress; observing and securing worker compliance with procedures and methods; planning, revising, and coordinating programs; planning general work flow and methods; budgeting and financial oversight; and completing other mission-related tasks. See also FAQs 14 and 15. The majority of temporary email accounts should fall into this item.

Item 012 covers routine and/or administrative roles within an agency. Depending on an agency’s unique organization, functions, and/or business needs, this item may be appropriate for only a limited number of roles. Agencies having difficulty determining whether item 012 is appropriate should use item 011.

Your agency should conduct a risk analysis to determine which roles and positions, if any, it should

include in item 012, and should be able to produce this analysis if needed.

14. Why are supervisory positions excluded from item 012?

Supervisory positions are those that plan, assign, and review work, and evaluate performance. Because these positions tend to be involved in business and personnel decisions, we include them in item 011, which specifies a minimum retention period of seven years. See also FAQs 13 and 15.

15. How does an agency determine if it should keep temporary email covered by items 011 and 012 longer than the prescribed minimum retention period?

An agency should involve multiple stakeholders, such as its senior agency official for records management, general counsel, chief information officer, records officer, inspector general, etc., to determine the appropriate retention period for the agency's email. This should include determining if the agency is subject to inspection, audit, legal, and other regulatory requirements that require a longer agency email retention period to meet certain obligations. Ultimately, the agency will document and disseminate the retention period via agency policy and implementation tools. See FAQ 29.

Items 011 and 012 each prescribe a minimum retention period, and both authorize agencies to dispose of covered records any time after the minimum retention period has ended. This allows an agency to make internal decisions on whether or not it should keep temporary accounts contents longer based on business and legal needs.

Agencies may determine that using only item 011 as one agency-wide retention period for all temporary email may better meet its business and legal needs and may be easier to implement. For example, an agency may decide that it should maintain all temporary accounts for seven years, regardless of the role or position of the person whose account they're in. Agencies choosing to use only item 011 for all temporary email may also maintain accounts longer for business needs (e.g., 15 years) without requesting additional authority from NARA. See also FAQs 11, 14, and 29.

16. Why is the minimum retention period for item 011 seven years?

NARA believes that seven years is a reasonable and appropriate baseline retention period for temporary email records, not only to meet agency business needs, but also to ensure we adequately and properly document the policies and transactions of the Federal Government. Preserving these records for this period should also generally allow the Government to adequately defend itself in litigation or vindicate a plaintiff's rights in the event the Government has infringed on them. This retention period is also consistent with most statutes of limitations on pursuing matters against the United States (usually six years or less), with recordkeeping requirements set by Congress (such as the seven-year retention period for audit-related records established in the financial reforms of Sarbanes-Oxley), and with the IRS's seven-year retention period for personal tax records (tied to the six-year statute of limitations for criminal violations of the tax code). These, and similar examples, led NARA to conclude that seven years is an appropriate baseline retention period for temporary email records. See FAQ 15 on when a longer-than-seven-year retention period might be appropriate for certain agencies. Agencies that wish to seek a shorter retention period must submit an agency-specific schedule.

This Capstone GRS allows agencies to elect a shorter retention period using item 012 (three years) for a limited group of specific roles and positions. Please refer to FAQ 13 for additional information.

QUESTIONS ABOUT IMPLEMENTATION

17. May an agency implement portions of this GRS?

Yes, an agency may use any or all of the items on this GRS. If applying this GRS in part (for example, only using item 011), agencies must ensure that all other email records are covered by another NARA-approved disposition authority. Agencies that are using only item 011 or 012 may not dispose of the email of any official listed in item 010, Email of Capstone Officials, without authority from NARA in the form of another GRS or an agency-specific schedule. An agency must still submit form NA-1005 for approval in order to use either only the permanent item or only the temporary items of this GRS.

This flexibility supports those agencies that may want to implement Capstone in phases. Some agencies may find it practical to initially limit their overall Capstone approach to permanent email (item 010) and add management of temporary email within their overall Capstone approach later.

As indicated in the “GRS Scope” section of the Capstone GRS introduction, an agency may choose to exclude several categories of email from its Capstone program. The agency must ensure that it covers any email it excludes from the Capstone program under another NARA-approved schedule or authority before it may dispose of the email. See also FAQ 29.

18. Does this GRS apply to classified email accounts?

Yes. This GRS applies to all email, regardless of classification level. Agencies must include accounts on classified networks or systems within the relevant item on the GRS. For example, a Capstone official (permanent) with both classified and unclassified accounts would have both included under item 010 of this GRS.

The transfer instructions within item 010 allow agencies to transfer permanent classified email in alignment with declassification review. Agencies often don’t review classified records until just prior to the automatic declassification date, which occurs when they are 25 years old. If an agency completes its review earlier than 25 years, but after 15 years, the agency should consult with NARA about when to transfer the records.

19. How is legacy email defined for GRS 6.1?

Legacy email is email that still exists in an electronic format, whether part of a temporary or a permanent account, at the time of Capstone implementation. It may be stored in an email archiving application, a document management system, in individual files (such as *.PST files) on local computers or drives, within current live email applications/systems, and/or stored in other ways.

20. Does the Capstone GRS apply to both retroactive (legacy/existing) and day-forward email?

We expect an agency using this GRS to apply the items the agency uses to all legacy (existing) email. Agencies should summarize the extent of their legacy email on form NA-1005. For example, an agency might state that no legacy email exists for the agency, as the agency used traditional records management with a print-and-file policy prior to adopting Capstone, or that the agency has legacy email back to a certain date. NARA acknowledges that legacy email may be incomplete, or that position titles

may have changed over time. In cases of title changes, the agency may apply GRS items to equivalent positions.

21. Does legacy email include backup or recovery tapes with email stored on them?

No. These tapes were not created for records management purposes, and are outside the scope of GRS 6.1. Backup/recovery tapes are covered under GRS 3.2, item 050, "Backup files identical to permanent records scheduled for transfer to the National Archives," or GRS 3.2, item 051, "Backup files identical to temporary records authorized for destruction by a NARA-approved records schedule."

22. Can other disposition authorities be used to dispose of email prior to using the authorities within GRS 6.1?

Yes, with exceptions depending on the status of the email as described below, and for readable email only (see FAQ 23). Generally speaking, for legacy email most agencies will find applying items from GRS 6.1 to entire bodies of email as less burdensome than applying other valid authorities on an email-by-email basis. Agencies should address this in agency records management policy. See FAQs 3 and 29.

A. For all items on GRS 6.1, day-forward (start of Capstone implementation):

Yes. Agencies may apply other approved disposition authorities to temporary and permanent email prior to applying the disposition authorities within GRS 6.1 for day-forward email (start of Capstone implementation, generally the date approved on the agency's first form NA-1005). This could either be part of culling strategies used within an agency, and/or implementation of a Capstone approach that still utilizes some level of traditional records management. For example, an agency may apply:

- GRS 5.1, item 020, which authorizes deletion of electronic records once filed in an official recordkeeping system (such as with a related case file, or within another records management application) prior to use of the appropriate item from GRS 6.1;
- GRS 5.2, item 010, which authorizes the deletion of transitory records; and/or
- Other NARA approved, media neutral, agency specific disposition authorities. See other FAQ questions under 'Culling' section.

B. For temporary legacy email, items 011 and 012:

Yes. Agencies may apply other approved disposition authorities to legacy email (similar to section A above) prior to applying the disposition authorities within GRS 6.1.

Agencies not able to do this, or unable to ascertain if other approved disposition authorities were adequately applied to legacy email, must apply the authority from the appropriate item on GRS 6.1 at the account level for the minimum retention defined by either item 011 or item 012.

C. For permanent legacy email, item 010:

Yes, with limitations. Agencies may cull personal email (email not affiliated with official government business), clearly transitory email records (GRS 5.2, item 010), and nonrecord material. Agencies may also cull temporary records using any NARA approved media neutral disposition authority, excluding GRS 5.1, item 020. GRS 5.1, item 020 authorizes deletion of electronic records once filed in an official recordkeeping system (such as with a related case file, or within another records

management application). However, if culling records using an agency specific authority, the records must be kept according to the retention of that authority. NARA acknowledges that this may result in duplicate permanent records being transferred. Since print-and-file and cross-filing policies were not consistently followed, or compliance with these policies is often difficult to validate, this ensures that permanently valuable emails are transferred to the National Archives.

23. What do we mean by ‘readable email’?

Readable email is email that is retrievable and usable for as long as needed to conduct agency business and to transfer permanent email records into the National Archives (i.e., for their NARA-approved retention period). This aligns with the requirements of 36 CFR 1236.12(b), related to records management and preservation considerations that must be incorporated into the design, development, and implementation of electronic information systems, as well as the Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18). Email that is not retrievable and usable is, therefore, not readable.

24. What do I do if I have legacy email that is not readable?

Currently NARA is requiring agencies to submit a schedule for legacy email that is not readable. Please contact the GRS Team at GRS_Team@nara.gov to discuss your situation further.

25. What if the status of legacy email is unknown?

Agencies may still submit, and receive approval of, the form NA-1005. NARA understands that agencies may not be able to fully articulate their legacy email scope, and how legacy email will be addressed, at the time of form submission. This may be due to the complex nature of older technology, access issues, or an agency needing time to inventory legacy email.

In these cases, agencies should notate as much information as possible on the form NA-1005. Examples of responses may be “Agency is still determining the full scope of our legacy email. We believe it dates back to approximately 2003. We will report our full finding to NARA within 6 months.” or “We have determined the scope of our email, which extends back to 2000, but we are still determining our access issues and will report our full findings to NARA in 6 months”.

26. Does use of Capstone and this GRS negate DOD 5015.2?

If your agency is part of the Department of Defense, and thus governed by DOD Directive 5015.2 and the accompanying DOD 5015.2 Standard for Records Management Applications, you should work within DOD to determine how Capstone may be implemented. Non DOD agencies are not governed by the 5015.2 directive or standard, and NARA does not require any agency to have 5015.2 compliant applications.

27. Does this GRS include calendars, appointments, tasks, chat transcripts, and other communications?

Although we designed the Capstone approach for managing email records, some agencies may not be able to separate email records from other affiliated records, such as calendars, appointments, tasks, and chats. In these cases, the agency can include the other records under the Capstone GRS. Inclusion of

these records with email accounts should be noted on the NA-1005 in the scope field. However, when the agency manages these other records separately from email, the agency must have a NARA-approved disposition authority for Capstone officials (those whose email is permanent). GRS 5.1, item 010, covers calendars of non-Capstone officials. Chats, however, must be scheduled for both Capstone and non-Capstone officials.

28. How does this GRS affect NARA or agency requirements to file email records with other related Federal records?

Capstone can reduce the burden on individual end-users by encouraging greater use of automated methods for managing email accounts. Agencies must manage their records in accordance with NARA regulations and fulfill the requirements of the Managing Government Records Directive. When using the Capstone approach for capturing and managing email, agencies must:

Consider whether email records and attachments can or should be associated with related records under agency guidance. As a supplement to the Capstone approach, an agency may want or need to associate certain email records that relate to other records, such as case files or project files, with the related records. This consideration depends on an agency's needs and how it chooses to implement its Capstone approach. This may be accomplished by (1) using electronic pointers (such as metadata tags) to establish linkages, or (2) in select cases, filing with associated paper or electronic case or project files. (NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records, item 5d.)

29. How can an agency incorporate this GRS into its implementation tools and policies?

Best practices include the use of internal implementation tools, such as manuals, handbooks, and/or file plans, for records management execution. As with any GRS, the items should be incorporated into these tools and expanded to include agency-specific information and policies. Agencies should also implement policy around their Capstone approach, to incorporate additional agency specific email guidance that does not require NARA approval. For example, this could include:

- Clearly defining the retention period for temporary email in policy and agency manuals, since the GRS authorizes banding;
- Developing and implementing policy related to cross-filing requirements; for example, a policy that may require that certain email be cross-filed within permanent case files;
- Developing and implementing policy related to instances where temporary email may need to be retained for a longer period than prescribed by the GRS and supporting agency policy;
- Developing and Implementing policy on the use of Government accounts for personal purposes;
- Defining the Capstone (permanent) accounts/addresses for the agency with more specificity than included in item 010, Email of Capstone Officials, (for example, those positions and officials specific to your agency). NA-1005 is a tool for this;
- Providing additional policy on how to handle email of officials in an acting position;
- Providing policy on managing nonrecord email;
- Developing policy on when other disposition authorities related to email are appropriate for use, such as the GRS item for transitory records;
- Developing policy related to culling and other opportunities to apply records management to email (See section 861.5 of [NARA's sample Directive](#) posted on our Email Management webpage);
- Implementing procedures for initiating record freezes and litigation holds; and

- Implementing procedures for conducting document searches for purposes of FOIA, Congressional, and other access requests.

QUESTIONS ABOUT CULLING

30. What is culling?

Culling, in the context of Capstone implementation, is the act of removing or deleting material prior to disposition. This may include deleting non-record email (e.g., email blasts (such as agency-wide communications), spam, and personal email (records belonging to an individual and not related to agency business)), and transitory email records (records of short-term interest or that have minimal documentary or evidentiary value). Please refer to GRS 5.2, item 010, and [FAQs about Transitory Records in Electronic Messages](#) for additional information on what constitutes a transitory record.

31. Do you expect agencies and users to cull Capstone email accounts?

Yes, especially for permanent accounts, in order to minimize the amount of non-record and personal emails agencies transfer to the National Archives. Since agencies are most familiar with the content of their email records, we expect agencies to cull permanent accounts to the greatest extent possible. Culling may be manual, automated, or a hybrid of both. We do not expect agencies to cull temporary accounts, but you may do so in accordance with your agency's policy as appropriate. For temporary email, agencies may choose the amount of culling it will allow, based on agency business needs and concerns (such as size of the email repository, cost of maintenance, and risk associated with the possible destruction of records that may be needed for agency business, including litigation).

32. What if an agency can't cull email?

An agency should review its policies and technology to determine and verify its culling capabilities. Some technologies may not allow culling as described above. Agencies may still implement Capstone for permanent accounts without culling, but this will result in the agency transferring to NARA emails that do not meet the definition of a Federal record, which NARA might then permanently preserve. NARA screens and, when warranted, withholds access to accessioned records in accordance with the general restrictions set out in 36 CFR 1256.40-1256.62. NARA decides on the access permitted to accessioned records containing personal privacy information as outlined in 36 CFR 1256.56 without consulting the originating agency. As part of our mission to provide public access to Federal Government records, we disclose records whenever legally permissible. As a result, we could release personal information in non-records that an agency or user did not cull prior to transfer.

33. Will NARA cull Capstone email after it's legally transferred?

Since agencies are most familiar with the content of their email records, we expect them to cull non-record material to the extent possible before transferring. In accordance with 44 U.S.C. § 2108, the Archivist of the United States assumes custody of these records when they are transferred. NARA administers accessioned records in accordance with 44 U.S.C. Chapter 21, 36 CFR Part 1256, and other rules we promulgate to dispose of non-record materials we find in any transfer. However, we cannot guarantee that we will find or cull non-records.

QUESTIONS ABOUT TRANSFER

34. How should agencies transfer email to NARA?

You should transfer email, like any other electronic records, in accordance with current NARA transfer guidelines. You can find up-to-date guidelines on NARA's accessioning website at <http://www.archives.gov/records-mgmt/accessioning/electronic.html>.

35. Will NARA accept encrypted email?

No. As outlined in [NARA Bulletin 2014-04](#), Revised Format Guidance for the Transfer of Permanent Electronic Records, an agency must not transfer to NARA any encrypted permanent electronic records. The Bulletin requires the transferring agency to "[d]eactivate passwords or other forms of file level encryption including digital rights management (DRM) technologies commonly used with audio, video, and some publications that impede access to record data." Likewise, agencies must decrypt any encrypted email attachments prior to transfer.

36. What documentation must an agency submit when it transfers Capstone email?

See [NARA Bulletin 2014-04](#), Revised Format Guidance for the Transfer of Permanent Electronic Records, for our requirements for transferring permanent electronic records. In addition, 36 CFR 1235.48 sets out the documentation agencies must provide to transfer permanent electronic records. This documentation should be an extension of the agency's approved form NA-1005, which documents approved permanent Capstone roles and positions. See FAQ 12.

Agencies must transfer to NARA the email of Capstone officials captured during their tenure as Capstone officials. Therefore, agencies should treat email of a Capstone official created prior to when the agency designated that person as a Capstone official (e.g., prior to their promotion/rotation into a Capstone position) as temporary and should not transfer that previous email to NARA. The following is an example of documentation, in the form of a list, of an agency's Capstone officials and the time period for capture of their email as permanent:

<i>Position title</i>	<i>Email Account/Address</i>	<i>Begin Date of Capture</i>	<i>End Date of Capture</i>
Secretary of [Department]	Senior.Official@agency.gov	January 22, 2013	
Secretary of [Department]	Secretary@agency.gov	January 22, 2013	
Chief Operating Officer	John.Doe@agency.gov	January 22, 2013	June 1, 2013
Chief Operating Officer	Jane.Public@agency.gov	June 2, 2013	

Documentation for legacy email should reflect the position title as it existed at the time the records were created. In instances where the position title may not clearly correlate to those on the form NA-1005 (due to title changes, or positions being eliminated), you should include information on the current position title, or the category from item 010 to which it correlates, in the documentation.

For example, the current "Director of Congressional Affairs" (listed on form NA-1005 under category 6) may have previously been the "Legislative Affairs Officer." In this case, the documentation should link to the approved NA-1005 form either by providing the current title or listing the proper category under item 010 to which the position fits.

GENERAL RECORDS SCHEDULE 6.5: Public Customer Service Records

This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll-free numbers), dialogue (via chat), and email.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Public customer service operations records.</p> <p>Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes:</p> <ul style="list-style-type: none"> • incoming requests and responses • trouble tickets and tracking logs • recordings of call center phone conversations with customers used for quality control and customer service training • system data, including customer ticket numbers and visit tracking • evaluations and feedback about customer services • information about customer services, such as “Frequently Asked Questions” (FAQs) and user guides • reports generated from customer management data • complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports. <p>Exclusion 1: Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency-specific schedule.</p> <p>Exclusion 2: Reports that recommend changes or revisions to an agency’s customer service operation; agencies must schedule these records on an agency-specific schedule.</p>	<p>Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>	<p>DAA-GRS-2017-0002-0001</p>
020	<p>Customer/client records.</p> <p>Distribution lists used by an agency to deliver specific goods or services. Records include:</p> <ul style="list-style-type: none"> • contact information for customers or clients • subscription databases for distributing information such as publications and data sets produced by the agency • files and databases related to constituent and community outreach or relations • sign-up, request, and opt-out forms 	<p>Temporary. Delete when superseded, obsolete, or when customer requests the agency to remove the records.</p>	<p>DAA-GRS-2017-0002-0002</p>

New GRS 6.5				Old GRS			
6.5	010	1 year	DAA-GRS-2017-0002-0001	14	5	3 months	GRS 14, 1952, item 5 (in part)
6.5	020	Superseded	DAA-GRS-2017-0002-0002	13	4a	revision or 3 months	GRS 13, 1952, item 5a
				13	4b	cancelled or revised	GRS 13, 1952, item 5b

Frequently Asked Questions (FAQs) About GRS 6.5, Public Customer Service Records

July 2017

INTRODUCTION

1. What is the purpose of GRS 6.5?

This schedule provides disposition authority for records an agency creates or receives while providing customer service to the public.

2. Whom do I contact for further information about this schedule?

You may contact NARA's General Records Schedules Team at GRS_Team@nara.gov with questions about this schedule.

CHANGES FROM THE OLD GRS

3. How does GRS 6.5 differ from the old General Records Schedule?

Public customer service was never explicitly covered by the old GRS, but is covered in the new GRS. In addition, old items superseded by this schedule include customer or client records, such as mailing lists (GRS 13, items 4a and 4b) and complaints and commendations (GRS 14, item 5, superseded in part).

GENERAL

4. Why are GRS 5.8 Administrative Help Desk Records and GRS 6.5 Public Customer Service Records two separate schedules?

The two schedules reflect different functions. The GRS has separate schedules for administrative support functions (the 5.0 series) and mission support functions (the 6.0 series). Administrative help desk records document administrative support. Public customer service records document mission support. That is why these schedules appear separately.

QUESTION RELATED TO ITEM 020

5. Item 020 covers records that likely include personally identifiable information (PII). Why do you not include instructions for how agencies should handle PII?

The GRS provides instructions for how long agencies must retain records, but does not prescribe how agencies should otherwise manage their records. Agencies should include handling of PII, a form of Controlled Unclassified Information (CUI), in their policies and procedures, in accordance with Government-wide CUI requirements.

Frequently Asked Questions (FAQs) about Flexible Disposition Instructions in the GRS

Updated July 2017

1. What are flexible disposition instructions?

Flexible disposition instructions are those that are in some way open-ended. Examples in the GRS include those that set a minimum retention period, then state “longer retention is authorized if required for business use.” Flexible disposition instructions can allow for either longer or shorter retention periods than the minimum or maximum set by the disposition instruction. For further information on flexible disposition instructions, see Section 3 (“Flexible Retention Periods”) of the FAQs about Flexible Scheduling, at <http://www.archives.gov/records-mgmt/faqs/flexible-scheduling.html>.

2. Why do so many of the new General Records Schedule items have flexible disposition instructions?

The GRS are not like agency-specific schedules. They must apply to all agencies throughout the Federal Government. But we recognize that all agencies may not have identical retention needs, even for records commonly created by multiple agencies. We have approached the GRS instructions as guidelines for agencies in retaining their records. We establish basic retention requirements—usually minimum retention periods—but otherwise, leave it to the agencies to determine their business needs for the records. In other words, with flexible disposition instructions, NARA does not need to review an agency’s disposition instructions for records covered by the GRS as long as they meet the basic retention requirements.

The benefits of this approach are:

- GRS disposition instructions make clear the basic retention requirements and when longer or shorter retention periods are permissible;
- Agencies don’t have to request deviations to the GRS as long as their retention periods fall within the parameters of the GRS instruction;
- The flexible disposition instructions allow multiple GRS items to be bucketed to the longest common retention period, as chosen by the agency; and
- We can potentially cover more temporary items in the GRS, even if agencies have different retention needs.

3. How should flexible disposition instructions be implemented in traditional, non-bucket schedules?

You should update the schedules for your agency to reflect new GRS items and, in doing so, determine the appropriate retention period for your agency’s business needs. You may:

- Use only the minimum retention period. In that case, do not include “longer retention is authorized if required for business use” in your disposition manual;

- Set a specific retention or retention band within the parameters established by the GRS. For example, if the GRS says “Destroy when 3 years old but longer retention is authorized if required for business use,” then the agency disposition manual may say “Destroy when 5 years old”; or
- Use the disposition instruction exactly as written, leaving specific retention up to offices or individual users.

In some cases, you may not have to do anything other than update the GRS disposition authority. As long as your agency’s retention period already falls into the parameters of the GRS, you can cite the GRS without making any other change to your agency’s disposition instructions.

4. How should flexible instructions be implemented in big bucket schedules?

If you wish to continue using an existing big bucket schedule when a new GRS is issued, you need to notify NARA (per 36 CFR 1227.12) of your intent to use your own agency-specific big bucket schedule rather than the GRS. See the “FAQs about GRS Notifications” above in this document. However, as long as the retention periods fall within the parameters of the GRS, there should be no problem with NARA approving use of your agency’s bucket schedule. Be aware that, when determining whether an existing bucket item’s retention period falls within the GRS retention period, you must take into consideration the individual cutoff instructions (when the retention period begins), which may affect retention periods for different items within the bucket.

Records should be bucketed to the longest retention period, but pay attention to cutoff instructions! We often see cases where an agency has incorporated a GRS item with a 3-year retention period into a bucket with 5-year retention. This seems well and good until we look at the GRS item’s cutoff instructions. “Destroy when 5 years old” means the clock starts ticking at document creation. “Destroy 3 years after superseded or obsolete” means the clock may not begin ticking until the document is already several years old. Destruction of everything in a bucket at 5 years of age could wipe out records still in active use.

So how do you resolve this issue in big bucket schedules? The most common way we have seen agencies do it while not completely dismantling buckets is to include non-specific cutoff instructions in the bucket disposition and specific cutoff instructions in an accompanying crosswalk. For example, the disposition instruction states “destroy 5 years after cutoff” and the user refers to the crosswalk to identify the cutoff instruction for the GRS items covered by the bucket. Then each GRS item can indicate unique cutoff requirements.

5. How can agencies using electronic records management applications (RMAs), which require fixed cut-off statements and retention periods, implement the open-ended GRS disposition authorities?

The agency may continue to use fixed disposition instructions suited to RMAs as long as the instructions fit within the parameters of GRS disposition instructions and the agency cites the GRS authority. If the agency schedule's fixed disposition instructions do not fit within the parameters of the new GRS disposition instructions, the agency may ask to use its existing schedules by notifying the GRS Team within 120 days of the new GRS issuance (if the GRS permits). If the agency finds the new GRS authority covers records not previously scheduled by the agency and its business needs require fixed disposition instructions outside the parameters of the new GRS, the agency may request a deviation from the GRS by submitting a new schedule.

6. Can agencies still dispose of records in monthly, quarterly, or annual batches?

Yes. Batching records for disposal is a time-honored custom. For most analog records it's the only really workable option. Batching frequency should reflect volume of records and local storage capacity. Popular batches are records closed in a month, quarter, and year. Batches should not cover more than a single fiscal or calendar year. For example, an agency may choose to retire its closed financial management records on a quarterly basis (*e.g.* 4th Quarter, 2015), but batch its closed employee hiring records as a single unit covering an entire year (*e.g.* FY 2015). It is okay that some records from early in the year may be retained for almost an entire additional year before ultimate destruction.

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Schedule 1 Civilian Personnel Records

~~Schedule 2 Payrolling and Pay Administration Records~~ **Superseded in full**

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Schedule 5 Budget Preparation, Presentation, and Apportionment Records

~~Schedule 6 Accountable Officers' Accounts Records~~ **Superseded in full**

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Superseded in full

~~Schedule 18 Security and Protective Services Records~~ **Superseded in full**

~~Schedule 19~~ **Rescinded in 1986**

~~Schedule 20 Electronic Records~~ **Superseded in full**

~~Schedule 21 Audiovisual Records~~ **Superseded in full**

~~Schedule 22~~ **Rescinded in 1998**

~~Schedule 23 Records Common to Most Offices within Agencies~~ **Superseded in full**

~~Schedule 24 Information Technology Operations and Management Records~~ **Superseded in full**

~~Schedule 25 Ethics Program Records~~ **Superseded in full**

~~Schedule 26 Temporary Commissions, Boards, Councils and Committees~~ **Superseded in full**

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions, and certain nontextual records. They also include records relating to temporary commissions, boards, councils and committees. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, many of the records descriptions are general. Agency records officers may either use the schedules as an appendix to an agency printed schedule or tailor the general schedules to the agency's own particular needs and incorporate them into agency schedules.

The GRS covers only records that are common among several agencies. For complete coverage of the disposition of all its records, each agency must independently develop schedules for the remaining records. Agencies should exercise particular care in applying items in GRS 1-16 and 18 to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than 3 years. Program subject files may be needed by the agency for 10 years or more and may have archival value as well. Except when the volume of administrative records is negligible, agencies should maintain administrative records separately from program records in their agency recordkeeping systems. If administrative records are mixed with program records in the recordkeeping system and cannot be economically segregated, the entire file must be kept for the period of time approved for the program records. Similarly, if documents described in the GRS are part of a subject or case file that documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

For more information on scheduling records not covered by the GRS, including potentially permanent records, see the Disposition of Federal Records Handbook. Also, the National Archives and Records Administration (NARA) has prepared a series of instructional guides that provide information on scheduling nontextual records that are not covered by the GRS. The handbook and separate guides on electronic records, audiovisual records, and cartographic and architectural records are available from the National Archives and Records Administration (NWCP), Room G-9, Washington, DC 20408.

GRS items cover only record copies. In some instances, more than one copy of a document or file would be considered a record if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the records officer should treat them as records. Records officers may consult with the NARA Life Cycle Management Division (NWML) to determine the record or nonrecord status of particular files.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects these records they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies and destroy the paper copies after verification of the film unless legal considerations require longer retention of the paper (36 CFR

1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit a Standard Form (SF) 115 providing justification for the deviation.

The GRS includes an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various Government agencies.

Items at the end of GRS 1-16, 18, 23, 24, 25 and 26 provide disposition instructions for electronic mail and word processing copies, maintained apart from the recordkeeping copy, of the records described in the other items in those schedules. The other items authorize the disposition of the recordkeeping copy. The electronic mail and word processing records covered in each of those schedules are those that remain in personal and shared directories after the recordkeeping copy has been produced, and electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel that cannot be reconciled within the agency may be referred to the Director, Life Cycle Management Division (NWML), NARA, from offices in the Washington, DC area, or the NARA regional records services facility from offices outside the Washington, DC area.

Some records series covered by the GRS are eligible for retirement to the Washington National Records Center or to records center storage in a NARA regional records services facility. Records should be retired from agency space to such storage only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to records center storage in a NARA facility should have a remaining retention of at least 1 year. If special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate NARA facility director. Procedures for transfer of records to records center storage in a NARA facility are found in NARA regulations (36 CFR 1228.152).

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management (OPM), the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to *The Guide to Personnel Recordkeeping*, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

1. ~~Official Personnel Folders (OPFs).~~

~~Records filed on the right side of the OPF. (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.~~

a. ~~Transferred employees. Rescinded per GRS Transmittal 28~~

b. ~~Separated employees. Superseded by GRS 2.2, item 040 (DAA-GRS-2017-0007-0004)~~

~~[NOTES: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPFs to NPRC. These agencies retain OPFs for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]~~

2. ~~Service Record Cards. [See note after item 2b.]~~

~~Service Record Card (Standard Form (SF) 7 or equivalent).~~

a. ~~Cards for employees separated or transferred on or before December 31, 1947. Rescinded per GRS Transmittal 28~~

b. ~~Cards for employees separated or transferred on or after January 1, 1948. Rescinded per GRS Transmittal 28~~

~~[NOTE: Effective December 31, 1994, the SF 7 card became obsolete.]~~

3. ~~Personnel Correspondence Files.~~

~~Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**~~

4. ~~Offers of Employment Files.~~

~~Correspondence, including letters and telegrams, offering appointments to potential employees.~~

a. ~~Accepted offers. **Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

b. ~~Declined offers:~~

(1) ~~When name is received from certificate of eligibles. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**~~

(2) ~~Temporary or excepted appointment. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**~~

(3) ~~All others. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**~~

5. ~~Certificate of Eligibles Files.~~

~~Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible. **Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

6. ~~Employee Record Cards. [See note after this item.]~~

~~Employee record cards used for informational purposes outside personnel offices (such as SF 7B). **Rescinded per GRS Transmittal 28**~~

~~[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]~~

7. ~~Position Classification Files.~~

a. ~~Position Classification Standards Files.~~

(1) ~~Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency. **Rescinded per GRS Transmittal 28**~~

(2) ~~Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM~~

~~approval or disapproval.~~

~~(a) Case file.~~ **Superseded by GRS 2.1, item 010 (DAA-GRS-2014-0002-0001)**

~~(b) Review File.~~ **Rescinded per GRS Transmittal 28**

~~b. Position Descriptions.~~

~~Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.~~ **Superseded by GRS 2.1, item 020 (DAA-GRS-2014-0002-0002)**

~~c. Survey Files.~~

~~(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.~~ **Rescinded per GRS Transmittal 28**

~~(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.~~ **Rescinded per GRS Transmittal 28**

~~d. Appeals Files.~~

~~(1) Case files relating to classification appeals, excluding OPM classification certificate.~~ **Superseded by GRS 2.1, item 030 (DAA-GRS-2014-0002-0004)**

~~(2) Certificates of classification issued by OPM.~~ **Superseded by GRS 2.1, item 040 (DAA-GRS-2014-0002-0005)**

~~8. Interview Records.~~

~~Correspondence, reports, and other records relating to interviews with prospective employees.~~ **Superseded by GRS 2.1, item 090 (DAA-GRS-2014-0002-0008)**

~~9. Performance Rating Board Case Files.~~

~~Copies of case files forwarded to OPM relating to performance rating board reviews.~~ **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**

~~10. Temporary Individual Employee Records.~~

~~a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.~~ **Superseded by GRS 2.2, item 041 (DAA-GRS-2017-0007-0005)**

b. ~~Immigration and Naturalization Service Form I-9.~~ **Superseded by GRS 2.2, item 060 (DAA-GRS-2017-0007-0007)**

11. ~~Position Identification Strips.~~

Strips, such as the former SF 7D, containing summary data on each position occupied. **Rescinded per GRS Transmittal 28**

12. ~~Employee Awards Files.~~ [See note after item 12d.]

a. ~~General awards records, EXCLUDING those relating to department-level awards.~~

(1) ~~Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.~~ **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**

(2) ~~Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.~~ **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**

b. ~~Length of service and sick leave awards files.~~

Records including correspondence, reports, computations of service and sick leave, and lists of awardees. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**

c. ~~Letters of commendation and appreciation.~~

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**

d. ~~Lists of or indexes to agency award nominations.~~

Lists of nominees and winners and indexes of nominations. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**

[NOTE: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

13. ~~Incentive Awards Program Reports.~~

Reports pertaining to the operation of the Incentive Awards Program. **Rescinded per GRS Transmittal 28**

14. ~~Notifications of Personnel Actions.~~

Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

a. ~~Chronological file copies, including fact sheets, maintained in personnel offices.~~
Superseded by GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)

b. ~~All other copies maintained in personnel offices.~~ **Superseded by GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)**

15. ~~RESERVED~~

16. ~~Personnel Operations Statistical Reports.~~

Statistical reports in the operating personnel office and subordinate units relating to personnel. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**

17. ~~Correspondence and Forms Files.~~

Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.

a. ~~Correspondence and forms relating to pending personnel actions.~~ **Superseded by GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)**

b. ~~Retention registers and related records.~~

(1) ~~Registers and related records used to effect reduction-in-force actions.~~
Superseded by GRS 2.5, item 011 (DAA-GRS-2014-0004-0002)

(2) ~~Registers from which no reduction-in-force actions have been taken and related records.~~ **Superseded by GRS 2.5, item 010 (DAA-GRS-2014-0004-0001)**

c. ~~All other correspondence and forms.~~ **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**

18. ~~Supervisors' Personnel Files and Duplicate OPF Documentation.~~

a. ~~Supervisors' Personnel Files.~~

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF. **Superseded by GRS 2.2, item 080 (DAA-GRS-2017-0007-0012)**

b. ~~Duplicate Documentation.~~

~~Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.~~ **Superseded by GRS 2.2, item 080 (DAA-GRS-2017-0007-0012)**

19. Individual Non-Occupational Health Record Files.

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 6 years after date of last entry. (NC1-64-77-10 item 19)

20. Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

- a. If information is summarized on statistical report.

Destroy 3 months after last entry. (NC1-64-77-10 item 20a)

- b. If information is not summarized.

Destroy 2 years after last entry. (NC1-64-77-10 item 20b)

21. Employee Medical Folder (EMF). [See note after item 21c.]

- a. Long-term medical records as defined in 5 CFR Part 293, Subpart E.

- (1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

- (2) Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. (N1-GRS-86-4 item 21a2)

- b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM).

Destroy 1 year after separation or transfer of employee. (N1-GRS-86-4 item 21b)

- c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

Destroy 60 years after retirement to the NARA records storage facility. (N1-GRS-86-4

item 21c)

[NOTE: Electronic master files and databases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

22. Statistical Summaries. [See note after this item.]

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Destroy 2 years after date of summary or report. (NC1-64-77-10 item 22)

[NOTE: Electronic master files and databases created to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

~~23. Employee Performance File System Records. [See note after item 23b(4).]~~

~~a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).~~

~~(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.~~

~~**Superseded by GRS 2.2, item 071 (DAA-GRS-2017-0007-0009)**~~

~~(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. **Superseded by GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)**~~

~~(3) Performance related records pertaining to a former employee.~~

~~(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~

~~(b) All other performance plans and ratings. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~

~~(4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~

~~(5) Supporting documents. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~

~~b. SES appointees (as defined in 5 U.S.C. 3132a(2)).~~

~~(1) Performance records superseded through an administrative, judicial, or~~

quasi-judicial procedure. **Superseded by GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)**

(2) ~~Performance-related records pertaining to a former SES appointee.~~

(a) ~~Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**~~

(b) ~~All other performance ratings and plans. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**~~

(3) ~~All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214). **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**~~

(4) ~~Supporting documents. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**~~

[NOTE: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

24. ~~Reasonable Accommodation Request Records~~

~~Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:~~

- ~~▪ Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;~~
- ~~▪ Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and~~
- ~~▪ Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.~~

~~This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).~~

a. ~~General Files~~

Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures. **Superseded by GRS 2.3, item 020 (DAA-GRS-2015-0007-0004)**

b. ~~Employee Case Files~~

Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes. **Superseded by GRS 2.3, item 021 (DAA-GRS-2015-0007-0005)**

c. ~~Supplemental Files~~

Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, notes. **Superseded by GRS 2.3, item 021 (DAA-GRS-2015-0007-0005)**

d. ~~Tracking System~~

Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance. **Superseded by GRS 2.3, item 020 (DAA-GRS-2015-0007-0004)**

25. ~~Equal Employment Opportunity (EEO) Records.~~

a. ~~Official Discrimination Complaint Case Files.~~

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and

~~meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.~~

Superseded by GRS 2.3, item 031 (DAA-GRS-2015-0007-0007) and GRS 2.3, item 032 (DAA-GRS-2015-0007-0008)

b. ~~Copies of Complaint Case Files.~~

~~Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.~~ **Rescinded per GRS Transmittal 28**

c. ~~Preliminary and Background Files.~~

(1) ~~Background records not filed in the Official Discrimination Complaint Case Files.~~ **Superseded by GRS 2.3, item 033 (DAA-GRS-2015-0007-0009)**

(2) ~~Records documenting complaints that do not develop into Official Discrimination Complaint Cases.~~ **Superseded by GRS 2.3, item 033 (DAA-GRS-2015-0007-0009)**

d. ~~Compliance Records.~~

(1) ~~Compliance Review Files.~~

~~Reviews, background documents, and correspondence relating to contractor employment practices.~~ **Superseded by GRS 2.3, item 034 (DAA-GRS-2015-0007-0010)**

(2) ~~EEO Compliance Reports.~~ **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**

e. ~~Employee Housing Requests.~~

~~Forms requesting agency assistance in housing matters, such as rental or purchase.~~ **Rescinded per GRS Transmittal 28**

f. ~~Employment Statistics Files. [See note after this item.]~~

~~Employment statistics relating to race and sex.~~ **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**

[NOTE: ~~Electronic master files and databases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]~~

g. ~~EEO General Files.~~

~~General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later~~

legislation, and agency EEO Committee meeting records, including minutes and reports. **Superseded by GRS 2.3, item 030 (DAA-GRS-2015-0007-0006)**

~~h. EEO Affirmative Action Plans (AAP).~~

~~(1) Agency copy of consolidated AAP(s). **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**~~

~~(2) Agency feeder plan to consolidated AAP(s). **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**~~

~~(3) Report of on-site reviews of Affirmative Action Programs. **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**~~

~~(4) Agency copy of annual report of Affirmative Action accomplishments. **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**~~

26. Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling. (NC1-64-77-10 item 27a)

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old. (NC1-64-77-10 item 27b)

~~27. Alternative Dispute Resolution (ADR) Files.~~

~~Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.~~

~~[NOTE: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]~~

a. ~~General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program. **Superseded by GRS 2.3, item 010 (DAA-GRS-2015-0007-0001)**~~

b. ~~Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence. **Superseded by GRS 2.3, item 011 (DAA-GRS-2015-0007-0002) and GRS 2.3, item 012 (DAA-GRS-2015-0007-0003)**~~

28. ~~Labor Management Relations Records.~~

a. ~~Labor Management Relations General and Case Files.~~

~~Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.~~

(1) ~~Office negotiating agreement. **Superseded by GRS 2.3, item 050 (DAA-GRS-2015-0007-0014)**~~

(2) ~~Other offices. **Superseded by GRS 2.3, item 051 (DAA-GRS-2015-0007-0015)**~~

b. ~~Labor Arbitration General and Case Files.~~

~~Correspondence, forms, and background papers relating to labor arbitration cases. **Superseded by GRS 2.3, item 052 (DAA-GRS-2015-0007-0016)**~~

29. ~~Training Records.~~

~~EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. [See note after item 29b.]~~

a. ~~General file of agency sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.~~

(1) ~~Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**~~

(2) ~~Background and working files. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**~~

b. ~~Employee training.~~

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001) and GRS 2.6, item 030 (DAA-GRS-2016-0014-0003)**

[NOTE: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

~~30. Administrative Grievance, Disciplinary, and Adverse Action Files. [See note after item 30b.]~~

~~a. Administrative Grievance Files (5 CFR 771).~~

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. **Superseded by GRS 2.3, item 060 (DAA-GRS-2015-0007-0017)**

~~b. Adverse Action Files (5 CFR 752) and Performance Based Actions (5 CFR 432).~~

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF. **Superseded by GRS 2.3, item 061 (DAA-GRS-2015-0007-0018) and GRS 2.3, item 062 (DAA-GRS-2015-0007-0023)**

[NOTE: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the agency's records disposition manual, and any other issuance dealing with the disposition of these records. (N1-GRS-92-1 item 30 Note)]

~~31. Personnel Injury Files.~~

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor. **Superseded by GRS 2.4, item 100 (DAA-GRS-2016-0015-0012)**

~~32. Merit Promotion Case Files.~~

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates. **Superseded by**

GRS 2.1, item 050 (DAA-GRS-2014-0002-0006)

33. ~~Examining and Certification Records.~~

a. ~~Delegated agreements.~~

~~Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment. Superseded by GRS 2.1, item 150 (DAA-GRS-2014-0002-0021)~~

b. ~~Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials. Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)~~

c. ~~Correspondence or notices received from eligibles indicating a change in name, address, or availability. Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)~~

d. ~~Test material stock control.~~

~~Stock control records of examination test material including running inventory of test material in stock. (N1 GRS 85-2 item 34b) Rescinded per GRS Transmittal 28~~

e. ~~Application Record Card (OPM Form 5000A, or equivalent). Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)~~

f. ~~Examination Announcement Case Documentation Files.~~

~~Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination. Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)~~

g. ~~Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs). Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)~~

h. ~~Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent). Rescinded per GRS Transmittal 28~~

i. ~~Test Answer Sheets.~~

~~Written test answer sheets for both eligibles and ineligibles. Filed by date of processing. Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)~~

j. ~~Lost or Exposed Test Material Case Files.~~

~~Records showing the circumstances of loss, nature of the recovery action, and corrective action required. Superseded by GRS 2.1, item 070 (DAA-GRS-2014-0002-0012)~~

k. ~~Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)~~

l. ~~Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

~~(1) On active register or inventory. Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)~~

~~(2) On inactive register or inventory. Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)~~

m. ~~Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format. Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)~~

n. ~~Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)~~

o. ~~Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form. Superseded by GRS 2.1, item 080 (DAA-GRS-2014-0002-0013)~~

p. ~~Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention. Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS~~

2.1, item 051 (DAA-GRS-2014-0002-0007)

- q. ~~Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory. **Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~
- r. ~~Interagency Placement Program (IPP) application and registration sheet. **Superseded by GRS 2.3, item 071 (DAA-GRS-2015-0007-0020)**~~
- s. ~~DEP control cards, if maintained. **Superseded by GRS 2.3, item 070 (DAA-GRS-2015-0007-0019)**~~
- t. ~~Reports of audits of delegated examining operations. **Superseded by GRS 2.1, item 160 (DAA-GRS-2014-0002-0022)**~~

34. Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Destroy when 5 years old. (N1-GRS-87-6 item 35)

35. ~~Denied Health Benefits Requests Under Spouse Equity. [See note after item 35b(2).] Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.~~

a. ~~Health benefits denied, not appealed. **Superseded by GRS 2.4, item 111 (DAA-GRS-2016-0015-0014)**~~

b. ~~Health benefits denied, appealed to OPM for reconsideration.~~

(1) ~~Appeal successful—benefits granted. **Rescinded per GRS Transmittal 28**~~

(2) ~~Appeal unsuccessful—benefits denied. **Superseded by GRS 2.4, item 111 (DAA-GRS-2016-0015-0014)**~~

[NOTE: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

36. Federal Workplace Drug Testing Program Files. [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71,

Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).] (N1-GRS-98-2 item 6)

- b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36b)

- c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36c)

- d. Records relating to the collection and handling of specimens.

- (1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36d1)

- (2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36d2)

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

(a) Employees. (N1-GRS-98-1 item 36e2a)

Destroy when employee leaves the agency or when 3 years old, whichever is later.

(b) Applicants not accepted for employment.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-98-1 item 36e2b)

(2) Negative results.

Destroy when 3 years old. (N1-GRS-98-1 item 36e1)

[NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s). (N1-GRS-98-1 Notes 1 and 2)]

~~37. Donated Leave Program Case Files.~~

~~Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. **Superseded by GRS 2.4, item 071 (DAA-GRS-2016-0015-0009)**~~

~~38. Wage Survey Files.~~

~~Wage survey reports and data, background documents and correspondence pertaining to~~

area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). **Superseded by GRS 2.4, item 080 (DAA-GRS-2016-0015-0010)**

39. ~~Retirement Assistance Files.~~

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits. **Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)**

40. ~~Handicapped Individuals Appointment Case Files.~~

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2. **Superseded by GRS 2.1, item 110 (DAA-GRS-2014-0002-0018)**

41. ~~Pay Comparability Records.~~

Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances. **Superseded by GRS 2.4, item 090 (DAA-GRS-2016-0015-0011)**

42. ~~Alternate Worksite Records.~~

- a. ~~Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act. **Superseded by GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**~~
- b. ~~Unapproved requests. **Superseded by GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**~~
- c. ~~Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program. **Superseded by GRS 2.3, item 080 (DAA-GRS-2015-0007-0021) and GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**~~

GENERAL RECORDS SCHEDULE 2

~~Payrolling and Pay Administration Records~~

~~Payrolling and pay administration records pertain to disbursements to civilian employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Standard Form (SF) 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management (OPM); (b) files maintained in agency space for audit by the General Accounting Office (GAO) under 31 U.S.C. 3529(c); (c) records relating to tax withholding, savings bonds, fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. The National Archives and Records Administration (NARA) must be consulted for any records created prior to January 1, 1921 before applying these disposition instructions.~~

~~Documents required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the GAO unless the agency concerned has written approval of the Comptroller General, as required by 44 U.S.C. 3309. Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6 – Pay, Leave, and Allowances and incorporated in the GAO Policy and Procedures Manual for Guidance of Federal Agencies.~~

~~In the payrolling process different types of records are accumulated. Under Title 6 of the GAO Manual these records are normally site audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.~~

~~All payroll systems require the maintenance of a leave record used to submit data to the payroll system. Information is posted to this record from more detailed records kept by time and attendance clerks located throughout an agency. Depending on the type of system in operation, this leave record may be a hard copy input form or it may be a wholly electronic input.~~

~~Other records incidental to the payrolling process are employee requests for tax withholding; employee requests for Thrift Savings Plan deductions; savings bond records; and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.~~

PAYROLL

1. — Individual Employee Pay Record.

a. ~~Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system. Rescinded per GRS Transmittal 28~~

b. ~~Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form. Superseded by GRS 2.4, item 040 (DAA-GRS-2016-0015-0004)~~

2. ~~Noncurrent Payroll Files.~~

~~Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form. Rescinded per GRS Transmittal 28~~

Items 3 through 5. Reserved.

TIME AND ATTENDANCE

6. ~~Leave Application Files.~~

~~SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.~~

a. ~~If employee initials time card or equivalent. Superseded by GRS 2.4, item 030 (DAA-GRS-2016-0015-0003)~~

b. ~~If employee has not initialed time card or equivalent. Superseded by GRS 2.4, item 030 (DAA-GRS-2016-0015-0003)~~

7. ~~Time and Attendance Source Records.~~

~~All time and attendance records upon which leave input data is based, such as time or sign in sheets; time cards (such as Optional Form (OF) 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form. Superseded by GRS 2.4, item 030 (DAA-GRS-2016-0015-0003)~~

8. ~~Time and Attendance Input Records.~~

~~Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor. Superseded by GRS 2.4, item 030 (DAA-GRS-2016-0015-0003)~~

9. ~~Leave Record.~~

a. ~~Record of employee leave, such as SF 1150, prepared upon transfer or separation. Rescinded per GRS Transmittal 24 (see GRS 2.5, item 040)~~

b. ~~Creating agency copy, when maintained. Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)~~

Items 10 through 12. Reserved.

~~DEDUCTIONS, ALLOTMENTS, AND ELECTRONIC FUNDS TRANSFERS~~

~~13. Tax Files.~~

- a. ~~Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents. Superseded by GRS 2.4, item 020 (DAA-GRS-2016-0015-0002)~~
- b. ~~Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor. Superseded by GRS 2.4, item 050 (DAA-GRS-2016-0015-0005)~~
- c. ~~Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor. Superseded by GRS 2.4, item 050 (DAA-GRS-2016-0015-0005)~~

~~14. Savings Bond Purchase Files.~~

- a. ~~Authorization for Purchase and Request for Change—U.S. Savings Bonds, SB 2152, or equivalent. Rescinded per GRS Transmittal 28~~
- b. ~~Bond registration files: issuing agent's copies of bond registration stubs. Rescinded per GRS Transmittal 28~~
- c. ~~Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds. Rescinded per GRS Transmittal 28~~

~~15. Combined Federal Campaign and Other Allotment Authorizations.~~

- a. ~~Authorization for individual allotment to the Combined Federal Campaign. Superseded by GRS 2.4, item 010 (DAA-GRS-2016-0015-0001)~~
- b. ~~Other authorizations, such as union dues and savings. Superseded by GRS 2.4, item 010 (DAA-GRS-2016-0015-0001)~~

~~16. Thrift Savings Plan Election Form.~~

~~Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.
Superseded by GRS 2.4, item 010 (DAA-GRS-2016-0015-0001)~~

~~17. Direct Deposit Sign-up Form (SF 1199A). Superseded by GRS 2.4, item 010 (DAA-GRS-2016-0015-0001)~~

~~18. Levy and Garnishment Files.~~

~~Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees. Superseded by GRS 2.4, item 010 (DAA-GRS-2016-0015-0001)~~

~~Items 19 through 21. Reserved.~~

PAYROLL ADMINISTRATION

~~22. Payroll System Reports.~~

- ~~a. Error reports, ticklers, system operation reports. Superseded by GRS 2.4, item 060 (DAA-GRS-2016-0015-0006)~~
- ~~b. Reports and data used for agency workload and or personnel management purposes. Superseded by GRS 2.4, item 060 (DAA-GRS-2016-0015-0006)~~
- ~~c. Reports providing fiscal information on agency payroll. Superseded by GRS 2.4, item 061 (DAA-GRS-2016-0015-0007)~~

~~23. Payroll Change Files.~~

~~Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.~~

- ~~a. Copies subject to GAO audit. Superseded by GRS 2.4, item 010 (DAA-GRS-2016-0015-0001)~~
- ~~b. All other copies. Rescinded per GRS Transmittal 28~~

~~24. Payroll Correspondence.~~

~~Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments. Superseded by GRS 2.4, item 060 (DAA-GRS-2016-0015-0006)~~

~~Items 25 through 27. Reserved.~~

RETIREMENT

~~28. Retirement Files.~~

~~Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent. Superseded by GRS 2.5, items 010 (DAA-GRS-2014-0004-0001) and 011 (DAA-GRS-2014-0004-0002)~~

~~Items 29 through 30. Reserved.~~

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers.

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

1. ~~Real Property Files.~~ [See note after item 1b.]

~~Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.~~

~~a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title. **Superseded by GRS 5.4, item 020 (DAA-GRS-2016-0011-0002)**~~

~~b. Abstract or certificate of title. **Superseded by GRS 5.4, item 020 (DAA-GRS-2016-0011-0002)**~~

~~[**NOTE:** Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of a Standard Form (SF) 115 to NARA.]~~

2. ~~General Correspondence Files.~~

~~Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**~~

3. ~~Routine Procurement Files~~

~~a. Procurement or purchase organization copy, and related papers.~~

~~(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").~~

~~(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

- ~~(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~(2) Transactions dated earlier than July 3, 1995.~~
 - ~~(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000 **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~b. Obligation copy. **Rescinded per GRS Transmittal 23**~~
 - ~~c. Other copies of records described above used by component elements of a procurement office for administrative purposes. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**~~
 - ~~d. Data Submitted to the Federal Procurement Data System (FPDS). **Superseded by GRS 1.1, item 013 (DAA-GRS-2016-0001-0002)**~~
- 4. Supply Management Files.

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

 - ~~a. Copies received from other units for internal purposes or for transmission to staff agencies. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**~~
 - ~~b. Copies in other reporting units and related working documents. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**~~
- 5. Solicited and Unsolicited Bids and Proposals Files.
 - ~~a. Successful bids and proposals. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~b. Solicited and unsolicited unsuccessful bids and proposals.~~
 - ~~(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~(2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.~~

~~(a) When filed separately from contract case files. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~(b) When filed with contract case files. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~c. Canceled solicitations files.~~

~~(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~2) Unopened bids. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~d. Lists or card files of acceptable bidders. Superseded by GRS 1.1, item 070 (DAA-GRS-2016-0001-0004) and item 071 (DAA-GRS-2016-0001-0005)~~

~~6. Public Printer Files.~~

~~Records relating to requisitions on the Printer, and all supporting papers.~~

~~a. Printing procurement unit copy of requisition, invoice, specifications, and related papers. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~b. Accounting copy of requisition. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~7. Non-personnel Requisition File.~~

~~Requisitions for non-personnel services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)). Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

~~8. Inventory Requisition File.~~

~~Requisitions for supplies and equipment for current inventory.~~

~~a. Stockroom copy. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~b. All other copies. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~9. Inventory Files.~~

~~a. Inventory lists. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~b. Inventory cards. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

- ~~c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**~~

~~10. Telephone Records.~~

~~Telephone statements and toll slips. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

~~11. Contractors' Payroll Files.~~

~~Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers.~~

~~**Superseded by GRS 1.1, item 050 (DAA-GRS-2013-0003-0003)**~~

~~12. Tax Exemption Files.~~

~~Tax exemption certificates and related papers. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

~~13. Unsuccessful Grant Application Files.~~

~~Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications. **Superseded by GRS 1.2, item 021 (DAA-GRS-2013-0008-0006)**~~

~~14. Grant Administrative Files. [See note after this item.]~~

~~Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. **Superseded by GRS 1.2, item 010 (DAA-GRS-2013-0008-0007)**~~

~~15. Contract Appeals Case Files.~~

~~Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.~~

~~a. Records created prior to October 1, 1979. **Rescinded per GRS Transmittal 23**~~

~~b. Records created after September 30, 1979. **Superseded by GRS 1.1, item 060 (DAA-GRS-2016-0001-0003)**~~

~~16. Contractor's Statement of Contingent or Other Fees.~~

~~SF 119, Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.~~

~~**Rescinded per GRS Transmittal 23**~~

17. Small and Disadvantaged Business Utilization Files.

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507.

Destroy when 3 years old. (N1-GRS-87-14 item 1)

18. Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)

Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures.

[NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.]

a. Circular No. A-76 case files/studies maintained by office having primary responsibility.

Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 to 10 years after cut off. (N1-GRS-05-2 item 18a)

[NOTE: To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.]

b. Circular No. A-76 records maintained by other offices, including information copies and background material.

Cut off upon completion of study. Destroy 2 years after cut off. (N1-GRS-05-2 item 18b)

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration (GSA) transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the GSA and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form (SF) 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.

b. SF 120, Report of Excess Personal Property, and SF 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

1. ~~Property Disposal Correspondence Files.~~

Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for. **Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)**

2. ~~Excess Personal Property Reports.~~ **Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)**

3. ~~Surplus Property Case Files.~~

Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.

a. ~~Transactions of more than \$25,000.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

- b. ~~Transactions of \$25,000 or less.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. ~~Real Property Files.~~ [See note after this item.]

~~Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.~~ **Superseded by GRS 5.4, item 020 (DAA-GRS-2016-0011-0002) and GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

[~~**NOTE:** Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.~~]

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of OMB and the Department of Treasury reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

1. Budget Correspondence Files.

Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

Destroy when 2 years old. (GRS 5, 1952, items 1 and 3)

2. Budget Background Records.

Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

Destroy 1 year after the close of the fiscal year covered by the budget. (NC1-GRS-81-13 item 2)

3. Budget Reports Files.

Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of fiscal year).

Destroy when 5 years old. (GRS 5, 1952, item 5a)

b. All other reports.

Destroy 3 years after the end of the fiscal year. (NC-64-75-2 item 5b)

4. Budget Apportionment Files. [See note after this item.]

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Destroy 2 years after the close of the fiscal year. (GRS 5, 1952, item 6)

[NOTE: The following budget files are not covered by the GRS:

- * Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.
- * Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA. (GRS 5, 1952, items 1 and 2)]

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Department of Treasury. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if a site audit was involved. This procedure was extended and confirmed by GAO General Regulation No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form (SF) 1166 and SF 1167) for use by all agencies, effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer of the Treasury.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that an audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognizance. GAO has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal records centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Records Management, GAO. Because the records previously transferred to GAO are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

1. ~~Accountable Officers' Files. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

- a. ~~Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.~~

~~Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.~~

~~SF 215 — Deposit Ticket
SF 224 — Statement of Transactions
SF 1012 — Travel Voucher
SF 1034 — Public Voucher for Purchases and Services Other Than Personal
SF 1036 — Statement of Certificate and Award
SF 1038 — Advance of Funds Application and Account
SF 1047 — Public Voucher for Refunds
SF 1069 — Voucher for Allowance at Foreign Posts of Duty
SF 1080 — Voucher for Transfer Between Appropriations and/or Funds
SF 1081 — Voucher and Schedule of Withdrawals and Credits
SF 1096 — Schedule of Voucher Deductions
SF 1097 — Voucher and Schedule to Effect Correction of Errors
SF 1098 — Schedule of Canceled Checks
SF 1113 — Public Voucher for Transportation Charges
SF 1129 — Reimbursement Voucher
SF 1143 — Advertising Order
SF 1145 — Voucher for Payment Under Federal Tort Claims Act
SF 1154 — Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
SF 1156 — Public Voucher for Fees and Mileage
SF 1164 — Claim for Reimbursement for Expenditures on Official Business
SF 1166 — Voucher and Schedule of Payments
SF 1185 — Schedule of Undeliverable Checks for Credit to Government Agencies
SF 1218 — Statement of Accountability (Foreign Service Account)
SF 1219 — Statement of Accountability
SF 1220 — Statement of Transactions According to Appropriation, Funds, and Receipt Accounts~~

SF 1221 — Statement of Transactions According to Appropriation, Funds, and Receipt
Accounts (Foreign Service Account)
OF 1114 — Bill of Collection
OF 1114A — Official Receipt
OF 1114B — Collection Voucher

Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

- b. — Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

2. — GAO Exceptions Files.

GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence.
Rescinded per GRS Transmittal 23

3. — Certificates Settlement Files.

Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.

- a. — Certificates covering closed account settlements, supplemental settlements, and final balance settlements. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**
- b. — Certificates covering periodic settlements. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. — General Fund Files.

Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.
Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

5. — Accounting Administrative Files.

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

- a. — Files used for workload and personnel management purposes. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**
- b. — All other files. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

6. — Federal Personnel Surety Bond Files.

a. ~~Official copies of bond and attached powers of attorney.~~

(1) ~~Bonds purchased before January 1, 1956. Rescinded per GRS Transmittal 23~~

(2) ~~Bonds purchased after December 31, 1955. Rescinded per GRS Transmittal 23~~

b. ~~Other bond files including other copies of bonds and related documents. Rescinded per GRS Transmittal 23~~

7. ~~Gasoline Sales Tickets.~~

~~Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

8. ~~Telephone Toll Tickets.~~

~~Originals and copies of toll tickets filed in support of telephone toll call payments. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

9. ~~Telegrams.~~

~~Originals and copies of telegrams filed in support of telegraph bills. Rescinded per GRS Transmittal 23~~

10. ~~Administrative Claims Files.~~

a. ~~Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

b. ~~Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).~~

~~Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.~~

(1) ~~Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

(2) ~~Claims for which collection action has been terminated under 4 CFR Part 104.~~

(a) ~~Claims for which the Government's right to collect was not extended. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

(b) ~~Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-~~

0005-0001)

~~(3) — Claims that the agency administratively determines are not owed to the United States after collection action was initiated. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

~~c. — Claims files that are affected by a court order or that are subject to litigation proceedings. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

~~11. — Waiver of Claims Files.~~

~~Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an~~

~~employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.~~

~~a. — Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount). Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

~~b. — Denied waivers. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they, in turn, summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a.——Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.
- b.——Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Department of Treasury, and overall reports of agency fiscal condition which may be required by the General Accounting Office (GAO) (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by GAO auditors to be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Department of Treasury and the OMB, or to those formerly maintained by the GAO. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

1. ~~Expenditure Accounting General Correspondence and Subject Files.~~

Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

2. ~~General Accounting Ledgers.~~

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

3. ~~Appropriation Allotment Files.~~

Allotment records showing status of obligations and allotments under each authorized appropriation. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. ~~Expenditure Accounting Posting and Control Files.~~

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.

a. ~~Original records.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

b. ~~Copies.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

a. ~~Stores Accounting.~~ These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. ~~Plant Accounting.~~ These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. ~~Cost Accounting.~~ These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

1. ~~Plant, Cost, and Stores General Correspondence Files.~~

Correspondence files of units responsible for plant, cost, and stores accounting operations.
Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)

2. ~~Stores Invoice Files.~~

Invoices or equivalent papers used for stores accounting purposes. **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

3. ~~Stores Accounting Files.~~

~~Stores accounting returns and reports. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

4. ~~Stores Accounting Background Files.~~

~~Working files used in accumulating stores accounting data. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

5. ~~Plant Accounting Files. [See note after this item.]~~

~~Plant account cards and ledgers, other than those pertaining to structures. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

6. ~~Cost Accounting Reports.~~

a. ~~Copies in units receiving reports. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

b. ~~Copies in reporting units and related work papers. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

7. ~~Cost Report Data Files.~~

~~Ledgers, forms, and electronic records used to accumulate data for use in cost reports.~~

a. ~~Ledgers and forms. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

b. ~~Automated records.~~

~~(1) Detail cards. Rescinded per GRS Transmittal 23~~

~~(2) Summary cards. Rescinded per GRS Transmittal 23~~

~~(3) Tabulations. Rescinded per GRS Transmittal 23~~

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by General Records Schedule 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

- a. ~~Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.~~
- b. ~~Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.~~

1. Commercial Freight and Passenger Transportation Files.

- a. ~~Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
- b. ~~Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account,~~

requiring the voucher to be retained beyond the 6 year retention period. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

~~d. Obligation copy of commercial passenger transportation vouchers. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

~~e. Unused ticket redemption forms, such as SF 1170. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

~~2. Lost or Damaged Shipments Files.~~

~~Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act. **Superseded by GRS 5.5, item 040 (DAA-GRS-2016-0012-0004)**~~

~~3. Noncommercial, Reimbursable Travel Files.~~

~~Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.~~

~~a. Travel administrative office files. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

~~b. Obligation copies. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**~~

~~4. General Travel and Transportation Files.~~

~~a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**~~

~~b. Accountability records documenting the issue or receipt of accountable documents. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**~~

~~5. Records Relating to Official Passports. [See notes after item 5c.]~~

~~a. Application files.~~

~~Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations. **Superseded by GRS 2.2, item 090 (DAA-GRS-2017-0007-0013)**~~

~~b. Annual reports concerning official passports.~~

~~Reports to the Department of State concerning the number of official passports issued and related matters. Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)~~

~~c. Passport registers.~~

~~Registers and lists of agency personnel who have official passports. Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001) and GRS 2.2, item 091 (DAA-GRS-2017-0007-0014)~~

~~[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State. (N1 GRS 91 1, item 5 Notes)]~~

~~6. RESERVED~~

~~7. Federal Employee Transportation Subsidy Records.~~

~~Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies. Superseded by GRS 2.4, item 130 (DAA-GRS-2016-0015-0017) and GRS 2.4, item 131 (DAA-GRS-2016-0015-0018)~~

GENERAL RECORDS SCHEDULE 10

~~Motor Vehicle and Aircraft Maintenance and Operation Records~~

These records pertain to the management, maintenance, and operation of motor vehicles and aircraft used by agencies.

~~Motor vehicles.~~ Items 1 through 7 pertain to motor vehicles used by agencies. 41 CFR 101-34 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Acquisition Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This portion of the schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Acquisition Service (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

~~Aircraft.~~ Items 9 through 13 pertain to the management, maintenance, and operation of aircraft used by Federal agencies. 41 CFR 102-33 prescribes policies and procedures. These items include Federal records accumulated in connection with the use of leased aircraft as well as records provided by contractors for government agencies. Specifically excluded from this schedule are previously approved records series from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

~~[Note: Some of these records may be necessary for the investigation and preparation of accident/incident reports. Agencies conducting their own internal accident/incident investigation congruent with those conducted by the Federal Aviation Administration and the National Transportation Safety Board must maintain those records in accordance with item 13 of this schedule. The records of the Federal Aviation Administration and the National Transportation Safety Board are excluded from item 13 of this schedule.]~~

~~1. Motor Vehicle Correspondence Files.~~

~~Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~2. Motor Vehicle Operating and Maintenance Files.~~

- ~~a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling. Superseded by GRS 5.4, item 090 (DAA-GRS-2016-0011-0011)~~

~~b. Maintenance records, including those relating to service and repair. Superseded by GRS 5.4, item 090 (DAA-GRS-2016-0011-0011)~~

~~3. Motor Vehicle Cost Files.~~

~~Motor vehicle ledger and worksheets providing cost and expense data. Superseded by GRS 5.4, item 090 (DAA-GRS-2016-0011-0011)~~

~~4. Motor Vehicle Report Files.~~

~~Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~5. Motor Vehicle Accident Files.~~

~~Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness. Superseded by GRS 5.4, item 140 (DAA-GRS-2016-0011-0017)~~

~~6. Motor Vehicle Release Files.~~

~~Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle. Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)~~

~~7. Motor Vehicle Operator Files.~~

~~Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence. Superseded by GRS 5.4, item 110 (DAA-GRS-2016-0011-0014)~~

~~8. Reserved.~~

~~9. Routine Aircraft Operations.~~

~~Records that pertain to the day to day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records. Superseded by GRS 5.4, item 120 (DAA-GRS-2016-0011-0015)~~

~~10. Logistical Support for Flight Operations.~~

~~Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program~~

and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters. **Superseded by GRS 5.4, item 130 (DAA-GRS-2016-0011-0016)**

11. General Aircraft Maintenance and Modifications Records.

Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see item 12 for records relating to maintenance activities involving specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of materiel, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.

a. ~~Recordkeeping copies of maintenance manuals for unique or customized aircraft. **Rescinded per GRS Transmittal 27**~~

b. ~~All other records. **Superseded by GRS 5.4, item 100 (DAA-GRS-2016-0011-0013) and GRS 5.4, item 130 (DAA-GRS-2016-0011-0016)**~~

12. Individual Aircraft Maintenance and Airframe Modifications Records.

Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment. **Superseded by GRS 5.4, item 100 (DAA-GRS-2016-0011-0013)**

13. Records Required for Accident/Incident Reports.

Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records that reflect Government-wide programs (such as the records held by the GSA Public Buildings Service). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

1. Space and Maintenance General Correspondence Files.

Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

2. Agency Space Files.

Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.

a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

(1) Agency reports to the GSA, including Standard Form (SF) 81, Request for Space, and related documents. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

(2) Copies in subordinate reporting units and related work papers. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

3. Directory Service Files.

Correspondence, forms, and other records relating to the compilation of directory service listings. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

4. ~~Credentials Files.~~

~~Identification credentials and related papers.~~

- a. ~~Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials. Superseded by GRS 5.6, item 120 (DAA-GRS-2017-0006-0016) and GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)~~
- b. ~~Receipts, indexes, listings, and accountable records. Superseded by GRS 5.6, item 120 (DAA-GRS-2017-0006-0016) and GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)~~

5. ~~Building and Equipment Service Files.~~

~~Requests for building and equipment maintenance services, excluding fiscal copies. Superseded by GRS 5.4, item 071 (DAA-GRS-2016-0011-0009)~~

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records that reflect Government wide programs, such as records held by the U.S. Postal Service and the Information Technology Service of the General Services Administration (GSA), other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the GSA and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

1. ~~Messenger Service Files.~~

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

2. ~~Communication General Files.~~

a. ~~Correspondence and related records pertaining to internal administration and operation.~~
Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)

b. ~~Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.~~ **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

c. ~~Telecommunications statistical reports including cost and volume data.~~ **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

d. ~~Telecommunications voucher files.~~

(1) ~~Reference copies of vouchers, bills, invoices, and related records.~~ **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

(2) ~~Records relating to installation, change, removal, and servicing of equipment.~~
Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)

- e. ~~Copies of agreements with background data and other records relating to agreements for telecommunications services. Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)~~

3. ~~Telecommunications Operational Files.~~ [See note after item 3b.]

- a. ~~Message registers, logs, performance reports, daily load reports, and related and similar records. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- b. ~~Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office. Rescinded per GRS Transmittal 27~~

[**NOTE:** Master files and data bases created to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

4. ~~Telephone Use (Call Detail) Records.~~

~~Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records. Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)~~

[**NOTE:** Records for those numbers associated with e-mail transmission may be deleted or destroyed as indicated above if the agency has ensured that the transmission data that is necessary for the intelligibility of the e-mail is preserved elsewhere. (N1-GRS-96-4 note)]

5. ~~Post Office and Private Mail Company Records.~~

~~Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.~~

- a. ~~Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- b. ~~Application for registration and certification of declared value mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- c. ~~Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~

6. ~~Mail and Delivery Service Control Files.~~

- a. ~~Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- b. ~~Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds). Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- c. ~~Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers). Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- d. ~~Statistical reports and data relating to handling of mail and volume of work performed. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- e. ~~Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- f. ~~Records of and receipts for mail and packages received through the Official Mail and Messenger Service. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- g. ~~General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- h. ~~Locator cards, directories, indexes, and other records relating to mail delivery to individuals. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~

7. ~~Metered Mail Files.~~

~~Official metered mail reports and all related papers. Superseded by GRS 5.5, item 030 (DAA-GRS-2016-0012-0003)~~

8. ~~Postal Irregularities File.~~

~~Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002) and GRS 5.6, item 050 (DAA-GRS-2017-0006-0006)~~

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

1. ~~Administrative Correspondence Files.~~

~~Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents. Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)~~

2. ~~Project Files.~~ [See note after item 2b.]

~~Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.~~

a. ~~Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~

b. ~~Files pertaining to planning and other technical matters. Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)~~

~~[NOTE: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed. (NC1-GRS-81-5, items 1a and 1b)]~~

3. ~~Control Files.~~

~~Control registers pertaining to requisitions and work orders.~~ **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

4. ~~Mailing Lists.~~

a. ~~Correspondence, request forms, and other records relating to changes in mailing lists.~~
Superseded by GRS 6.5, item 020 (DAA-GRS-2017-0002-0002)

b. ~~Card lists.~~ **Superseded by GRS 6.5, item 020 (DAA-GRS-2017-0002-0002)**

5. Joint Committee on Printing (JCP) Reports Files.

Reports to Congress and related records.

a. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old. (GRS 13, 1952, item 6a)

b. Copies in subordinate reporting units and related work papers.

Destroy 1 year after date of report. (GRS 13, 1952, item 6b)

6. ~~Internal Management Files.~~

~~Records relating to internal management and operation of the unit.~~ **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

1. Information Requests Files.

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature. **Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**

2. Acknowledgment Files.

Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply. **Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**

3. Press Service Files.

Press service teletype news and similar materials. **Rescinded per GRS Transmittal 27**

4. Information Project Files.

Information service project case files maintained in formally designated information offices.
Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)

~~5. Commendation/Complaint Correspondence Files.~~

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records. **Superseded by GRS 6.4, item 020 (DAA-GRS-2016-0005-0002) and GRS 6.5, item 010 (DAA-GRS-2017-0002-0001)**

~~6. Indexes and Check Lists.~~

Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent. **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

Items 7 through 10. Reserved.

~~11. FOIA Requests Files.~~

Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~(1) Granting access to all the requested records. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Request not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(b) Request appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(3) Denying access to all or part of the records requested.~~

~~(a) Request not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(b) Request appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~b. Official file copy of requested records. **Rescinded per GRS Transmittal 24**~~

~~12. FOIA Appeals Files.~~

~~Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein). Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~b. Official file copy of records under appeal. Rescinded per GRS Transmittal 24~~

~~13. FOIA Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

~~a. Registers or listing. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~b. Other files. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~14. FOIA Reports Files.~~

~~Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level. Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)~~

~~15. FOIA Administrative Files.~~

~~Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)~~

~~16 through 20. Reserved.~~

~~21. Privacy Act Requests Files.~~

~~Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~(1) Granting access to all the requested records. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Requests not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(b) Requests appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(3) Denying access to all or part of the records requested.~~

~~(a) Requests not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(b) Requests appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~b. Official file copy of requested records. Rescinded per GRS Transmittal 24~~

~~22. Privacy Act Amendment Case Files.~~

~~Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).~~

~~a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)~~

~~b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials. Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)~~

~~c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)~~

~~23. Privacy Act Accounting of Disclosure Files. Now GRS 4.2, item 050 (NC1-64-77-1 item 27)~~

~~24. Privacy Act Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.~~

~~a. Registers or listings. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~b. Other files. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~25. Privacy Act Reports Files.~~

~~Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels. Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)~~

~~26. Privacy Act General Administrative Files.~~

~~Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)~~

~~27 through 30. Reserved.~~

~~31. Mandatory Review For Declassification Requests Files.~~

~~Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).~~

~~(1) Granting access to all the requested records. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Request not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(b) Request appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(3) Denying access to all or part of the records requested.~~

~~(a) Request not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(b) Request appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~b. Official file copy of requested records. Rescinded per GRS Transmittal 23~~

~~c. Sanitizing instructions. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

32. Mandatory Review for Declassification Appeals Files.

Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- a. ~~Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**
- b. ~~Official file copy of records under appeal.~~ **Rescinded per GRS Transmittal 24**

33. Mandatory Review for Declassification Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

- a. ~~Registers or listing.~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**
- b. ~~Other files.~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

34. Mandatory Review for Declassification Reports Files.

Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

35. Mandatory Review for Declassification Administrative Files.

Records relating to the general agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including notices, memoranda, correspondence, and related records. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

36. Erroneous Release Files.

Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

- a. ~~Files that include the official file copy of the released records.~~ **Superseded by GRS 4.2, item 060 (DAA-GRS-2015-0002-0001)**
- b. ~~Files that do not include the official file copy of the released records.~~ **Superseded by GRS 4.2, item 061 (DAA-GRS-2015-0002-0002)**

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

1. ~~Housing General Correspondence Files.~~

Correspondence files pertaining to the maintenance and management of housing projects.
Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)

2. ~~Housing Maintenance and Repair Files.~~

Maintenance and repair records for individual units.

a. ~~Summary card or ledger record.~~ **Superseded by GRS 5.4, item 070 (DAA-GRS-2016-0011-0008)**

b. ~~Work orders, requisitions, and related papers involved in repair and maintenance work.~~
Superseded by GRS 5.4, item 070 (DAA-GRS-2016-0011-0008)

3. ~~Housing Management Files.~~

Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

4. ~~Housing Lease Files.~~

Copies of leases, renewals, termination notices, and related documents. **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**

5. ~~Housing Assignment and Vacancy Card Files.~~

a. ~~Individual tenant cards.~~ **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**

b. ~~Individual housing unit cards.~~ **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**

6. ~~Housing Inventory Files.~~

Furnishing inventory files, pertaining to items included in furnished units. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

7. ~~Housing Application Files (other than copies in lease files).~~

a. ~~Rejected application files.~~ **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**

b. ~~All others.~~ **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of a Standard Form (SF) 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

1. Administrative Issuances. [See note after item 1b.]

- a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)

- b. Case files related to (a) above that document aspects of the development of the issuance.

Destroy when issuance is destroyed. (NC1-GRS-81-5 item 3d)

[**NOTE:** Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA. (NC1-64-77-8 items 1a & 2a)]

2. ~~Records Disposition Files.~~

~~Descriptive inventories, disposal authorizations, schedules, and reports.~~

a. ~~Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.~~

(1) ~~SF 115s that have been approved by NARA.~~ **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

(2) ~~Other records.~~ **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

b. ~~Routine correspondence and memoranda.~~ **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**

3. ~~Forms Files.~~

a. ~~One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.~~ **Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)**

b. ~~Background materials, requisitions, specifications, processing data, and control records.~~ **Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)**

4. ~~Records Holdings Files.~~

~~Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.~~

a. ~~Records held by offices that prepare reports on agency-wide records holdings.~~ **Rescinded per GRS Transmittal 24**

b. ~~Records held by other offices.~~ **Rescinded per GRS Transmittal 24**

5. Project Control Files.

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed. (NC1-64-77-8 item 7)

6. Reports Control Files.

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued. (NC1-GRS-80-7 item 1)

~~7. Records Management Files.~~

~~Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. **Superseded by GRS 4.1, items 020 (DAA-GRS-2013-0002-0007) and 030 (DAA-GRS-2013-0002-0008)**~~

8. Reserved.

~~9. Feasibility Studies.~~

~~Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system. **Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0007)**~~

~~10. Microform Inspection Records.~~

~~a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**~~

~~b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**~~

11. IRM Triennial Review Files.

Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old. (N1-GRS-87-15 item 1)

12. Information Collection Budget Files.

Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old. (N1-GRS-87-16 item 1)

13. Documents Published in the Federal Register. [See note after item 13b.]

- a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old. (N1-GRS-87-17 item 1a)

- b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old. (N1-GRS-87-17 item 1b)

[NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition. (N1-GRS-87-17 item 1 Note)]

14. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such

- as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.
- Destroy when superseded. (N1-GRS-91-5 item 1a)
- b. Management control plans.
- Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.
- Destroy when superseded. (N1-GRS-91-5 item 1b)
- c. Risk analyses.
- Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.
- Cut off closed files annually. Destroy after next review cycle. (N1-GRS-91-5 item 1c)
- d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]
- Cut off closed files annually. Destroy after next reporting cycle. (N1-GRS-91-5 item 1d)
- [**NOTE:** This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA. (N1-GRS-91-5 item 1d)]
- e. Tracking files.
- Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.
- Destroy 1 year after report is completed. (N1-GRS-98-2 item 23)
- f. Review files. [See note after item 14f(2).]
- Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.
- (1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.
(N1-GRS-91-5 item 1f1)

- (2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.
(N1-GRS-91-5 item 1f2)

[**NOTE:** Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to **copies** maintained as internal reviews.]

GENERAL RECORDS SCHEDULE 17

Cartographic, Aerial Photographic, Architectural, and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives and Records Administration (NARA) before applying the disposition instructions in this schedule.

1. ~~Cartographic Records Prepared During Intermediate Stages of Publication.~~

Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map. **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

2. ~~Reserved.~~

3. ~~Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.~~

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

4. ~~Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.~~ **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

5. ~~Contract Negotiation Drawings.~~

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air

conditioning projects; or drawings superseded by final working/as built drawings. **Superseded by GRS 5.4, item 050 (DAA-GRS-2016-0011-0005)**

6. ~~Space Assignment Plans.~~

Outline floor plans indicating occupancy of a building. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

7. ~~Reserved.~~

8. ~~Engineering Drawings of Routine Minor Parts.~~

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

9. ~~Drawings Reflecting Minor Modifications.~~

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

10. ~~Paint Plans and Samples.~~ [See note after this item.]

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting a Standard Form (SF) 115 to NARA. (N1 GRS 88-5 item 10 Note)]

GENERAL RECORDS SCHEDULE 18

~~Security and Protective Services Records~~

~~Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.~~

~~This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.~~

~~CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS~~

~~Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.~~

~~1. Classified Documents Administrative Correspondence Files. [See note after this item.]~~

~~Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule. **Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)**~~

~~[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]~~

~~2. Document Receipt Files.~~

~~Records documenting the receipt and issuance of classified documents. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**~~

~~3. Destruction Certificates Files.~~

~~Certificates relating to the destruction of classified documents. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**~~

4. ~~Classified Document Inventory Files.~~

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

5. ~~Top Secret Accounting and Control Files.~~

- a. ~~Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**~~
- b. ~~Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**~~

6. ~~Access Request Files.~~

~~Requests and authorizations for individuals to have access to classified files. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**~~

7. ~~Classified Document Container Security Files. [See note after item 7b.]~~

- a. ~~Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. **Superseded by GRS 4.2, item 031 (DAA-GRS-2013-0007-0020)**~~
- b. ~~Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet. **Superseded by GRS 4.2, item 032 (DAA-GRS-2016-0002-0003)**~~

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. ~~Security and Protective Services Administrative Correspondence Files. [See note after this item.]~~

~~Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**~~

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

9. ~~Survey and Inspection Files. (Government-owned facilities)~~

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. **Superseded by GRS 5.6, item 080 (DAA-GRS-2017-0006-0010) and GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)**

10. ~~Survey and Inspection Files. (Privately owned facilities)~~

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents. **Superseded by GRS 5.6, item 080 (DAA-GRS-2017-0006-0010) and GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)**

11. ~~Investigative Files.~~

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**

12. ~~Property Pass Files.~~

Property pass files, authorizing removal of property or materials. **Superseded by GRS 5.6, item 040 (DAA-GRS-2017-0006-0005)**

13. ~~Guard Assignment Files.~~

Files relating to guard assignments and strength.

a. ~~Ledger records.~~ **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**

b. ~~Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.~~ **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**

14. ~~Police Functions Files.~~

Files relating to exercise of police functions.

a. ~~Ledger records of arrest, cars ticketed, and outside police contacts.~~ **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**

b. ~~Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.~~ **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-**

0006-0013)

- ~~c. Reports on contact of outside police with building occupants. Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)~~

~~15. Personal Property Accountability Files.~~

~~Files relating to accountability for personal property lost or stolen.~~

- ~~a. Ledger files. Superseded by GRS 5.6, item 060 (DAA-GRS-2017-0006-0007) and GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)~~
- ~~b. Reports, loss statements, receipts, and other documents relating to lost and found articles. Superseded by GRS 5.6, item 060 (DAA-GRS-2017-0006-0007) and GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)~~

~~16. Key Accountability Files.~~

~~Files relating to accountability for keys issued.~~

- ~~a. For areas under maximum security. Superseded by GRS 5.6, item 020 (DAA-GRS-2017-0006-0002)~~
- ~~b. For other areas. Superseded by GRS 5.6, item 021 (DAA-GRS-2017-0006-0003)~~

~~17. Visitor Control Files.~~

~~Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.~~

- ~~a. For areas under maximum security. Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014)~~
- ~~b. For other areas. Superseded by GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)~~

~~18. Facilities Checks Files.~~

~~Files relating to periodic guard force facility checks.~~

- ~~a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule). Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- ~~b. Reports of routine after hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~

19. ~~Guard Service Control Files.~~

- a. ~~Control center key or code records, emergency call cards, and building record and employee identification cards. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- b. ~~Round reports, service reports on interruptions and tests, and punch clock dial sheets. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- c. ~~Automatic machine patrol charts and registers of patrol and alarm services. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- d. ~~Arms distribution sheets, charge records, and receipts. Superseded by GRS 5.6, item 030 (DAA-GRS-2017-0006-0004)~~

20. ~~Logs and Registers.~~

~~Guard logs and registers not covered elsewhere in this schedule.~~

- a. ~~Central guard office master logs. Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)~~
- b. ~~Individual guard post logs of occurrences entered in master logs. Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)~~

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

21. ~~Security Clearance Administrative Subject Files.~~

~~Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule. Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)~~

22. ~~Personnel Security Clearance Files.~~

~~Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.~~

- a. ~~Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance,~~

exclusive of copies of investigative reports furnished by the investigating agency.
Superseded by GRS 5.6, item 181 (DAA-GRS-2017-0006-0025)

b. ~~Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.~~ **Superseded by GRS 5.6, item 170 (DAA-GRS-2017-0006-0022)**

c. ~~Index to the Personnel Security Case Files.~~ **Superseded by GRS 5.6, item 190 (DAA-GRS-2017-0006-0026)**

23. ~~Personnel Security Clearance Status Files.~~

~~Lists or rosters showing the current security clearance status of individuals.~~ **Superseded by GRS 5.6, item 190 (DAA-GRS-2017-0006-0026)**

24. ~~Security Violations Files.~~

~~Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.~~

a. ~~Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutive determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations.~~ **Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)**

b. ~~All other files, exclusive of documents placed in official personnel folders.~~ **Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)**

25. ~~Classified Information Nondisclosure Agreements.~~

a. ~~If maintained separately from the individual's official personnel folder.~~ **Superseded by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)**

b. ~~If maintained in the individual's official personnel folder.~~ **Rescinded per GRS Transmittal 24**

~~EMERGENCY PLANNING RECORDS~~

~~Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.~~

26. ~~Emergency Planning Administrative Correspondence Files.~~ [See note after this item.]

~~Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.~~ **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**

~~[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]~~

~~27. Emergency Planning Case Files. [See notes after this item.]~~

~~Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**~~

~~[NOTES: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115. (Implied in NC1 GRS 81-1 item 1a)]~~

~~28. Emergency Operations Tests Files.~~

~~Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**~~

~~29. National Defense Executive Reserve (NDER) Case Files.~~

~~Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.~~

~~a. Case files on reservists. **Rescinded per GRS Transmittal 27**~~

~~b. Case files on individuals whose applications were rejected or withdrawn. **Rescinded per GRS Transmittal 27**~~

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and for specified paper, microform, or other hard copy records that are integrally related to the electronic records.

This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. 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 is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 1a (in part), 2a, and 16 of this schedule apply to hard copy records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for the referenced electronic records whatever the medium in which such programs and documentation exist.

This schedule has been revised to expand the authority agencies have to apply previously approved schedules to electronic records; grant broader authority to agencies to dispose of hard copy records that have been converted to an electronic format; and provide disposition instructions for ad hoc printouts and for documentation associated with permanent electronic records. Additionally, because copies of system security records are now covered by GRS 24, item 5, a cross-reference has been provided for item 11b to that effect. The items affected by the revisions to this GRS 20 schedule are 2, 3, 3.1, 11, and 16.

Electronic versions of most records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.

- a. ~~Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records. **Superseded by GRS 3.1, items 010 (DAA-GRS-2013-0005-0006), 011 (DAA-GRS-2013-0005-0007), and 020 (DAA-GRS-2013-0005-0004)**~~
- b. ~~Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~
- c. ~~Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost back files used to assess charges for system use. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**~~

2. ~~Input/Source Records.~~

- a. ~~Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).~~
 - (1) ~~Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format. **Rescinded per GRS Transmittal 23**~~
 - (2) ~~Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion. **Rescinded per GRS Transmittal 23**~~
 - (3) ~~Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations). **Rescinded per GRS Transmittal 23**~~
 - (4) ~~Hard copy documents other than those covered by Items 2(a) (1) – (3).~~

~~Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later. **Superseded by GRS 4.3, items 010 (DAA-GRS-2013-0001-0001), 011 (DAA-GRS-2013-0001-0002), and 012 (DAA-GRS-2013-0001-0003)**~~
- b. ~~Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~

- c. ~~Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING 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. Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)~~
- d. ~~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. Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)~~

3. ~~Electronic Records That Replace Temporary Hard Copy Records.~~

~~Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)~~

a. ~~Scanned images. Rescinded per GRS Transmittal 23~~

b. ~~Electronic formats other than scanned images.~~

- (1) ~~Records covered by temporary items in the GRS 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) —or— Records covered by temporary items in an agency specific schedule that pertain to administrative housekeeping activities. Rescinded per GRS Transmittal 23~~
- (2) ~~Records covered by 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). Rescinded per GRS Transmittal 23~~
- (3) ~~Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings. Rescinded per GRS Transmittal 23~~
- (4) ~~Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records. Rescinded per GRS Transmittal 23~~
- (5) ~~Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4). Rescinded per GRS Transmittal 23~~

3.1 ~~Electronic Records That Replace Permanent Hard Copy Records.~~

Electronic records that replace hard copy records approved as permanent in a previously approved schedule. **Rescinded per GRS Transmittal 23**

4. ~~Data Files Consisting of Summarized Information.~~

~~Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable——under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

5. ~~Records Consisting of Extracted Information.~~

~~Electronic files consisting solely of records extracted from a single master file or data——base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are produced as disclosure-free files to allow public access to the data; or produced by an extraction process which changes the informational content of the——source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

6. ~~Print File.~~

~~Electronic file 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. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

7. ~~Technical Reformat File.~~

~~Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

8. ~~Backups of Files.~~

~~Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.~~

~~a. File identical to records scheduled for transfer to the National Archives. **Superseded by GRS 3.2, item 050 (DAA-GRS-2013-0006-0007)**~~

~~b. File identical to records authorized for disposal in a NARA-approved records schedule. **Superseded by GRS 3.2, item 051 (DAA-GRS-2013-0006-0008)**~~

9. ~~Finding Aids (or Indexes).~~

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

10. Special Purpose Programs:

Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. **Superseded by GRS 3.1, item 012 (DAA-GRS-2013-0005-0008)**

11. Documentation:

a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.

(1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule. **Superseded by GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)**

(2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule. **Superseded by GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)**

b. Copies of records relating to system security. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

12. Downloaded and Copied Data:

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

c. 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. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

13. Word Processing Files.

~~Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

14. Electronic Mail Records.

~~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 recordkeeping system, paper, or microform for recordkeeping purposes.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

15. Electronic Spreadsheets.

~~Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.~~

~~a. When used to produce hard copy that is maintained in organized files.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~b. When maintained only in electronic form.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

16. Hard copy printouts created to meet ad hoc business needs.

~~Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs. Excluded are printouts created to satisfy established reporting requirements (e.g., a statistical report produced quarterly in accordance with an agency directive).~~ **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA) Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, "Recovery of Precious Metals."

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

~~STILL PHOTOGRAPHY~~

1. ~~Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency.~~ **Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)**
2. ~~Personnel Identification or Passport Photographs.~~ **Superseded by GRS 2.2, item 090 (DAA-GRS-2017-0007-0013), GRS 5.6, item 120 (DAA-GRS-2017-0006-0016), and GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)**
3. ~~Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency.~~ **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

4. ~~Reserved.~~

GRAPHIC ARTS

5. ~~Viewgraphs.~~ Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)

6. ~~Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics.~~ Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)

7. ~~Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.~~ Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)

8. ~~Line Copies of Graphs and Charts.~~ Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)

MOTION PICTURES

9. ~~Films Acquired from Outside Sources for Personnel and Management Training.~~ Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)

10. ~~Reserved.~~

11. ~~Routine Surveillance Footage.~~ Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)

12. ~~Routine Scientific, Medical, or Engineering Footage.~~ Rescinded per GRS Transmittal 26

13. ~~Reserved.~~

VIDEO RECORDINGS

14. ~~Programs Acquired from Outside Sources for Personnel and Management Training.~~ Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)

15. ~~Reserved.~~

16. ~~Rehearsal or Practice Tapes.~~ Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)

17. ~~Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency. (These include "role-play" sessions, management and supervisory instruction, etc.)~~ Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)

18. ~~Routine Surveillance Recordings.~~ Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)

19. ~~Routine Scientific, Medical, or Engineering Recordings.~~ Rescinded per GRS Transmittal 26

20. ~~Recordings that Document Routine Meetings and Award Presentations.~~ Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)

21. ~~Reserved.~~

~~AUDIO (SOUND) RECORDINGS~~

22. ~~Recordings of Meetings Made Exclusively for Note Taking or Transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. [See note after this item.] Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)~~

~~[NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]~~

23. ~~Dictation Belts or Tapes. Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)~~

24. ~~Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production. Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)~~

25. ~~Reserved.~~

26. ~~Daily or Spot News Recordings Available to Local Radio Stations on a Call in Basis. Superseded by GRS 6.4, item 040 (DAA-GRS-2016-0005-0004)~~

27. ~~Reserved.~~

~~RELATED DOCUMENTATION~~

28. ~~Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records. Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)~~

29. ~~Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

GENERAL RECORDS SCHEDULE 23

~~Records Common to Most Offices within Agencies~~

~~This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.~~

~~Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.~~

~~1. — Office Administrative Files. [See note after this item.]~~

~~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. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. **Superseded by GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)**~~

~~[**NOTE:** This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA). (N1-GRS-98-2 item 43 Note)]~~

~~2-4. — Reserved.~~

~~5. — Schedules of Daily Activities.~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.~~

- ~~a. — Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official~~

activities of high Government officials. [See note after item 5a.] **Superseded by GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)**

~~[NOTE: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. (N1-GRS-87-19 item 5a Note)]~~

- b. ~~Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files. **Superseded by GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)**~~

6. ~~Suspense Files.~~

~~Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.~~

- a. ~~A note or other reminder to take action. **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~
- b. ~~The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

7. ~~Transitory Files.~~

~~Records of short term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:~~

- ~~* Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; **Bullet superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**~~
- ~~* Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material; **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~
- ~~* Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records; **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

~~* Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities; Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)~~

~~* Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date. Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)~~

~~8. Tracking and Control Records:~~

~~Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

~~9. Finding Aids (or Indexes):~~

~~Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records. **GRS 20 superseded by GRS Transmittal 24.**

1. Oversight and Compliance Files.

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

- a. Performance measurements and benchmarks. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**
- b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**

2. IT Facility, Site Management, and Equipment Support Services Records.

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.~~

Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)

~~3. IT Asset and Configuration Management Files.~~

- a. ~~Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.~~

Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)

- b. ~~Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~

- (1) ~~Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.~~ **Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)**
- (2) ~~Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

~~4. System Backups and Tape Library Records.~~

- a. ~~Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.~~

- (1) ~~Incremental backup tapes.~~ **Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)**

- (2) ~~Full backup tapes.~~ **Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)**

- b. ~~Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.~~ **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

~~5. Files Related to Maintaining the Security of Systems and Data.~~

- a. ~~System Security Plans and Disaster Recovery Plans.~~ **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**
- b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.~~ **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**
- 6. ~~User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.~~
 - a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.~~ **Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)**
 - b. ~~Routine systems, i.e., those not covered by item 6a.~~ **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**
- 7. ~~Computer Security Incident Handling, Reporting and Follow-up Records.~~ **Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)**
- 8. ~~IT Operations Records.~~
 - a. ~~Workload schedules, run reports, and schedules of maintenance and support activities.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
 - b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
 - c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
- 9. ~~Financing of IT Resources and Services.~~
 - a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
 - b. ~~Files related to managing third party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
 - c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING~~

records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

~~10. IT Customer Service Files.~~

- a. ~~Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers. **Superseded by GRS 5.8, item 010 (DAA-GRS-2017-0001-0001)**~~
- b. ~~Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting. **Superseded by GRS 5.8, item 010 (DAA-GRS-2017-0001-0001)**~~

~~11. IT Infrastructure Design and Implementation Files.~~

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.~~

- a. ~~Records for projects that are not implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- b. ~~Records for projects that are implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- c. ~~Installation and testing records. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~

~~12. RESERVED.~~

~~13. Public Key Infrastructure (PKI) Records.~~

- a. ~~PKI Administrative Records.~~
 - ~~(1) FBCA CAs. **Now GRS 3.2, item 060**~~
 - ~~(2) Other (non-FBCA *et. al.*) CAs. **Now GRS 3.2, item 061**~~
- b. ~~PKI Transaction-specific Records. **Now GRS 3.2, item 062**~~

GENERAL RECORDS SCHEDULE 25

Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics related master lists are not included in this schedule. Ethics related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

1. Ethics Program Implementation, Interpretation, Counseling, and Development Files.

Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics related regulations and directives. Including:

- * Records documenting the review of proposed or established ethics related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.
- * Determinations, including advice and counseling to individual employees, and supporting records.
- * Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

a. ~~Records such as determinations regarding attendance at widely attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines.~~
Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)

b. ~~All other records.~~ **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**

2. ~~Financial Disclosure Reporting Files.~~

Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

a. ~~Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.~~

(1) ~~SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.~~
Superseded by GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)

(2) ~~All other SF 278s.~~ **Superseded by GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)**

b. ~~Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.~~

(1) ~~OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.~~
Superseded by GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)

(2) ~~All other OGE Form 450s and OGE Optional Form 450-As.~~ **Superseded by GRS 2.8, items 071 (DAA-GRS-2014-0005-0012) and 072 (DAA-GRS-2014-0005-0013)**

c. ~~Alternative or additional financial disclosure reports and related records.~~

(1) ~~Reports for individuals not subsequently confirmed by the U.S. Senate.~~
Superseded by GRS 2.8, item 080 (DAA-GRS-2014-0005-0014)

(2) ~~All other alternative or additional financial disclosure reports.~~ **Superseded by GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)**

3. ~~Ethics Agreement Records.~~

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- ~~* Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.~~
- ~~* Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.~~
- ~~* Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3). **Superseded by GRS 2.8, items 100 (DAA-GRS-2014-0005-0017) and 101 (DAA-GRS-2014-0005-0018)**~~

~~4. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.~~

~~Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution. **Superseded by GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)**~~

~~5. Non-Federally Funded Travel Files.~~

- ~~a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties. **Superseded by GRS 2.8, item 030 (DAA-GRS-2014-0005-0003)**~~
- ~~b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel. **Superseded by GRS 2.8, item 031 (DAA-GRS-2014-0005-0004)**~~

~~6. Ethics Program Review Files.~~

~~Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.~~

- ~~a. OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~
- ~~b. All other records produced during OGE program reviews, including notes and background materials. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~

7. ~~Annual Agency Ethics Program Questionnaire Files.~~

- a. ~~Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records. Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)~~
- b. ~~All other records related to responses to annual agency ethics program questionnaires. Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)~~

8. ~~Ethics Program Employee Training and Education Files.~~

- a. ~~Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records. Superseded by GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)~~
- b. ~~Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters. Superseded by GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)~~

9. ~~Ethics Program Procedures Files.~~

~~Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes. Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)~~

GENERAL RECORDS SCHEDULE 26

Temporary Commissions, Boards, Councils and Committees

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term “commission” is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the Code of Federal Regulations (CFR) and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA’s transfer requirements for permanent records. See 36 CFR Sections: 1228.266 — Audiovisual Records; 1228.268 — Cartographic and Architectural Records; 1228.270 — Electronic Records; 1230.026 — Microform Records

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

1. Internal Agency Committees

a. Internal agency committees unrelated to an agency’s mission

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, *e.g.* committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

Any files created and/or maintained by the committee. **Superseded by GRS 5.1, item 030 (DAA-GRS-2016-0016-0003)**

b. Internal agency committees related to an agency’s mission

Committees established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related 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, *e.g.* committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

~~Any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.~~

Rescinded per GRS Transmittal 28

~~2. Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA).~~

~~[NOTE: The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government.]~~

- ~~a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as~~
- ~~• original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components~~
 - ~~• agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed~~
 - ~~• one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files~~
 - ~~• correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission~~
 - ~~• substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data)~~
 - ~~• questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically)~~
 - ~~• records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act~~
 - ~~• documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and~~

- documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records. **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002))**

[NOTE: Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.]

b. ~~Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as~~

- ~~correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]~~
- ~~audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events~~
- ~~other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and~~
- ~~extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred.]

[NOTE: Administrative records generated by an advisory committee — records relating to budget, personnel, supply or similar housekeeping or facilitation functions — may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support.]

c. ~~Web site records.~~

(1) ~~Electronic version of web site(s). **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005))**~~

(2) ~~Design, management, and technical operation records. **Rescinded per GRS Transmittal 24**~~

~~(3) Electronic version of content records duplicated in textual series of commission records.
(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))~~

~~[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records.]~~

~~3. Committee Records Not Maintained by the Sponsor or Secretariat~~

~~Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. **Rescinded per GRS Transmittal 24**~~

~~[NOTE: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~[NOTE: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~4. Committee Management Records~~

~~Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5 U.S.C. Appendix 2). [See note after this item.] Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.~~

~~Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer.~~

~~(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006))~~

~~[NOTE: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.]~~

~~[NOTE: Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting a SF 115 to NARA.]~~

GENERAL RECORDS SCHEDULE 27

Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management.~~ This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA. **GRS 20 was entirely superseded by GRS Transmittal 24.**

1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[**Note:** This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[**Note:** Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

4. ~~Legal and Regulatory Compliance Records~~

~~Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. **Superseded by GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)**~~

5. 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. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[**Note:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. ~~CIO Subject and Office Records~~

~~Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency. **Rescinded per GRS Transmittal 27**~~

~~[**Note:** Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere.]~~

7. ~~Schedules of Daily Activities~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems. **Rescinded per GRS Transmittal 27**~~

~~[**Note:** This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]~~

GRS 27, Records of the Chief Information Officer

Implementation Guide

ITEM TITLE	TYPES OF RECORDS
<p>1. Information Technology (IT) Program Planning Records</p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records.</p> <p>[Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]</p>
<p>2. Enterprise Architecture Records</p> <p>Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency's baseline or target enterprise architecture (EA).</p> <p>[Note: An "iteration" would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.]</p> <p>[Note: This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.</p>
<p>3. IT Capital Investment Records</p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and related clearance and review records.</p> <p>[Note: Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, "Financing of IT Resources and Services," covers many such records.]</p>

<p>4. Legal and Regulatory Compliance Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Records of agency-wide compliance with Federal laws and regulations governing information resources management.</p>
<p>5. CIO Committee Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> <p>[Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]</p>
<p>6. CIO Subject and Office Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above.</p> <p>[Note: Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, "Files Related to Maintaining the Security of Systems and Data."]</p>
<p>7. Schedules of Daily Activities</p> <p>Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.</p>	<p>Official calendars, appointment books, schedules, logs, and diaries.</p> <p>[Note: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]</p>

**Frequently Asked Questions about General Records Schedule 27,
*Records of the Chief Information Officer***

1. To whom does General Records Schedule 27 apply?

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

2. Does this schedule describe all of the records of Federal CIOs?

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

3. How does this schedule differ from GRS 20, *Electronic Records*, and GRS 24, *Information Technology (IT) Operations and Management Records*?

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

4. How does GRS 27/4, “Legal and Regulatory Compliance Records,” differ from GRS 24/1, “Oversight and Compliance Files”?

GRS 27/4 covers CIO records that document an agency’s compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office’s or a system’s compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

5. Does this schedule cover records related to IT security?

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, “Legal and Regulatory Compliance Records.” However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, “Files Related to Maintaining the Security of Systems and Data.” Records related to specific security breaches or incidents are covered by GRS 24/7, “Computer Security Incident Handling, Reporting and Follow-up Records.”

6. Does this schedule cover system data?

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency’s mission must be scheduled individually by submission of an SF 115 to the National Archives.

7. Do records have to be arranged in these categories?

No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

8. Is this schedule only for paper records?

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

FORMS INDEX

STANDARD FORMS

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1B	List of Books to be Bound	3 13	6 2
1C	Printing and Binding Requisition for Specialty Items	3 13	6 2
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7A	Service Record - Continuation (obsolete as of Dec. 31, 1994)	1	2
7B	Employee Record (obsolete as of Dec. 31, 1994)	1	6
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98	Notice of Intention to Make a Service Contract and Response to Notice	3	11
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152	Request for Clearance or Cancellation of a Standard or Optional Forms or Exception	16	3
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362	U.S. Government Freight Loss/Damage Claim	9	2
364	Report of Discrepancy	9	2
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1034	Public Voucher for Purchases and Services Other Than Personal	6	1
1034A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	6	1
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<u>SF NUMBER</u>	<u>TITLE</u>	<u>Schedule</u>	<u>Item</u>
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1048	Memorandum - Public Voucher for Refunds	6	1
1049	Public Voucher for Refunds	6	1
1050	Public Voucher for Refunds (Memorandum)	6	1
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1080	Voucher for Transfers Between Appropriations and/or Funds	6	1
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1128A	Payroll for Personal Services - Payroll Certification and Summary - Memorandum	2	2
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1145A	Voucher for Payment Under Federal Tort Claims Act - Memorandum	6	1
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1151	Nonexpenditure Transfer Authorization	6	1
1152	Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee	1	1
1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	6	1
1156	Public Voucher for Fees and Mileage of Witnesses	6	1
1156A	Public Voucher for Fees and Mileage of Witnesses - Memorandum	6 9	1 3
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1164	Claim for Reimbursement for Expenditures on Official Business	6 9	1 3

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1166	Voucher and Schedule of Payments	6	1
1166A	Voucher and Schedule of Payments - Memorandum	6	1
1167	Voucher and Schedule of Payments (Continuation Sheet)	6	1
1167A	Voucher and Schedule of Payments (Continuation Sheet) - Memorandum	6	1
1169A	U.S. Government Transportation Request - Memorandum Copy	9	1
1170	Redemption of Unused Tickets	9	1
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1176A	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces - Memorandum	6	1
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1182	Subscriber List for Issuance of United States Savings Bonds	2	14b
1183	Subscriber List for Issuance of United States Savings Bonds	2	14b
1186	Transmittal for Transportation Schedules and Related Basic Documents	9	1
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1188	Cancellation of Payroll Deductions for Labor Organization Dues	2	15b

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1203A	U.S. Government Bill of Lading, Privately Owned Personal Property - Memorandum Copy	9	1
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1218	Statement of Accountability (Foreign Service Account)	6	1
1219	Statement of Accountability	6	1
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1221	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (Foreign Service Account)	6 6	1 5
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2801	Application for Immediate Retirement under the Civil Service Retirement System	1	1
2801-1	Certified Summary of Federal Service - Civil Service Retirement System	1	1
2802	Application for Refund of Retirement Deductions - Civil Service Retirement System	1	1

<u>SF NUMBER</u>	<u>TITLE</u>	<u>Schedule</u>	<u>Item</u>
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2804	Application to Make Voluntary Contributions - Civil Service Retirement System	1	1
2805	Request for Recovery of Debt Due the United States	2	18
2808	Designation of Beneficiary - Civil Service Retirement System	1	1
2809	Health Benefits Registration Form - Federal Employees Health Benefits Program	1	1
2810	Notice of Change in Health Benefits Enrollment	1	1
2811	Transmittal and Summary Report to Carrier - Federal Employees Health Benefits Program	2	22b
2812	Report of Withholdings and Contributions for Health Benefits, Life Insurance, and Retirement	2	22b
2812A	Report of Withholdings and Contributions for Health Benefits by Enrollment Code	2	22b
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	Employees' Group Life Insurance Program	6	1
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30	Motor Vehicle Service and Inspection Work Orders	10	2
55	U.S. Government Identification (Card)	11	4
68	Record of Travel Expenses	9	3
101	Summary Worksheet for Estimating Reporting Costs	16	6
108	Daily Vehicle Usage Report	10	2
112	Classified Material Receipt	18	5
116	Record of Top Secret Material	18	5
117	Notice of a Security Violation	18	24
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123	Top Secret Document Inventory Record	18	5
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141	Application for Service Credit	1	1
144	Temporary Duty (TDY) Official Travel Authorization	9	1
153	Telegram	12	3
153A	Telegram (Continuation Sheet)	12	3
158	General Receipt	6	1
164	Meritorious Service Increase Certificate	1	12
187	Telegram Repeat Request	12	3
189	Travel Reimbursement Voucher	6	1
189A	Travel Reimbursement Voucher - Memorandum	6 9	1 1
189B	Travel Reimbursement Voucher (Continuation Sheet) Schedule of Expenses and Amounts Claimed	6	1
189C	Travel Reimbursement Voucher (Continuation Sheet) - Memorandum Schedule of Expenses and Amounts Claimed	6 9	1 1
190	Foreign Service Emergency Locator Information	1	6
191	Outgoing Telegram	12	3
191A	Outgoing Telegram - Continuation Sheet	12	3
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205	Statement of Operating Cash Advance and Replenishment Voucher	6	1
206	Purchase Order, Receiving Report and Voucher	3	3
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	3	3
208	Statement of Collections - Foreign Service of the United States of America	6	1
612	Optional Application for Federal Employment	1	1,15, 32
1017G	Journal Voucher	7	4
1121	Bill of Lading Accountability Record	9	1
1130	Time and Attendance Report	2	7
1135	Time and Attendance Report	2	7
1136	Time and Attendance Report	2	7
1137	Leave Record	2	9

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	1a	OPFs - Transferred Employees	To receiving agency	Rescinded		
1	1b	OPFs - Separated Employees	65 years	2.2	040	129 years
1	2a	Service Record Cards - 1947 and earlier	60 years	Rescinded		
1	2b	Service Record Cards - 1948 and later	3 years	Rescinded		
1	3	Personnel Correspondence Files	3 years	2.2	010	3 years
1	4a	Offers of Employment Files - Accepted	When appointment is effective	2.1	050 or 051	2 years
1	4b1	Offers of Employment Files - Declined (cert. of eligibles)	Return to OPM	2.1	060	1 year
1	4b2	Offers of Employment Files - Declined (temp or excepted)	File with application	2.1	060	1 year
1	4b3	Offers of Employment Files - Declined (all others)	Destroy immediately	2.1	060	1 year
1	5	Certificate of eligibles Files	2 years	2.1	050 or 051	2 years
1	6	Employee record cards	Separation of employee	Rescinded		
1	7a1	Position Classification Files - Standards	Superseded or obsolete	Rescinded		
1	7a2a	Position Classification Files - Standards development: case	5 years	2.1	010	2 years
1	7a2b	Position Classification Files - Standards development: review	2 years	Rescinded		
1	7b	Position Classification Files - PDs	2 years	2.1	020	2 years
1	7c1	Position Classification Files - Classification survey reports	3 years	Rescinded		
1	7c2	Position Classification Files - Inspections and audits	Superseded or obsolete	Rescinded		
1	7d1	Position Classification Files - Classification appeals	3 years	2.1	030	3 years
1	7d2	Position Classification Files - Cert. of classification	When position is abolished	2.1	040	2 years
1	8	Interview Records	6 months	2.1	090	2 years
1	9	Performance Rating Board case files	1 year	2.2	072	5 years
1	10a	Temporary individual employee records - Left side of OPF	Superseded or obsolete	2.2	041	Superseded or obsolete
1	10b	Temporary individual employee records - INS form I-9	3 years	2.2	060	3 years
1	11	Position ID strips	Superseded or obsolete	Rescinded		
1	12a1	Employee Awards Files - General within agency	2 years	2.2	030	2 years
1	12a2	Employee Awards Files - General outside of agency	2 years	2.2	030	2 years
1	12b	Employee Awards Files - Length of service/sick leave	1 year	2.2	030	2 years
1	12c	Employee Awards Files - Letters of commendation	2 years	2.2	030	2 years
1	12d	Employee Awards Files - Lists/indexes to award nominations	Superseded or obsolete	2.2	030	2 years
1	13	Incentive awards	3 years	Rescinded		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	14a	Notifications of Personnel Actions (SF-50) - Chron file copies in pers offices	2 years	2.2	050	Business use ceases
1	14b	Notifications of Personnel Actions (SF-50) - All other copies in pers offices	1 year	2.2	050	Business use ceases
1	15	Does not exist	N/A			
1	16	Personnel Operations statistical reports	2 years	2.2	010	3 years
1	17a	Correspondence and forms - Pending personnel actions	Immediate	2.2	050	Business use ceases
1	17b1	Retention registers and related records used to effect reduction-in-force actions	2 years	2.5	011	2 years
1	17b2	Retention registers and related records from which no reduction-in-force actions have been taken and related records	Superseded or obsolete	2.5	010	Superseded or obsolete
1	17c	All other correspondence and forms	6 months	2.2	010	3 years
1	18a	Supervisors' Personnel Files	Superseded/obs. or 1 year	2.2	080	Superseded/obs. or 1 year
1	18b	Duplicates of OPF material	6 months	2.2	080	Superseded/obs. or 1 year
1	19	Non-occupational health records	6 years	No change		
1	20a	Health Unit Control Files - Logs of visitors, summarized on statistical reports	3 months	No change		
1	20b	Health Unit Control Files - Logs not summarized	2 years	No change		
1	21a1	Employee Medical Folder (EMF) - Longterm transferred employees	See 5 CFR Part 293 Subpart E	No change		
1	21a2	Employee Medical Folder (EMF) - Longterm separated employees	75 years or 60 years or 30 years	No change		
1	21b	Employee Medical Folder (EMF) - Temp EMF records	1 year	No change		
1	21c	Employee Medical Folder (EMF) - Individual employee health file pre-EMF system	60 years	No change		
1	22	Statistical summaries re health	2 years	No change		
1	23a1	Employee Performance File System Records - Non-SES Employees - Unacceptable performance	1 year	2.2	071	1 year
1	23a2	Employee Performance File System Records - Non-SES Employees - Records superseded thru admin or judicial procedure	Superseded	2.2	073	Superseded
1	23a3a	Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - Latest rating	To gaining agency or 4 years	2.2	070	4 years
1	23a3b	Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - All other performance plans and ratings	4 years	2.2	070	4 years
1	23a4	Employee Performance File System Records - Non-SES Employees - All other performance appraisal records	4 years	2.2	070	4 years
1	23a5	Employee Performance File System Records - Non-SES Employees - Supporting documents	4 years	2.2	070	4 years
1	23b1	Employee Performance File System Records - SES appointees - SES records superseded thru admin or judicial procedure	Superseded	2.2	073	Superseded

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	23b2a	Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES latest rating	To gaining agency or 5 years	2.2	072	5 years
1	23b2b	Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES all other plans/ratings	5 years	2.2	072	5 years
1	23b3	Employee Performance File System Records - SES all other performance appraisals	5 years	2.2	072	5 years
1	23b4	Employee Performance File System Records - SES appointees - SES supporting documents	5 years	2.2	072	5 years
1	24a	Reasonable Accommodation Request Records - General	3 years	2.3	020	3 years
1	24b	Reasonable Accommodation Request Records - Employee case files	3 years	2.3	021	3 years
1	24c	Reasonable Accommodation Request Records - Supplemental files	3 years	2.3	021	3 years
1	24d	Reasonable Accommodation Request Records - Tracking system	3 years	2.3	020	3 years
1	25a	EEO Records - Discrimination complaints	4 years	2.3	031 or 032	3 years or 7 years
1	25b	EEO Records - Duplicates of above	1 year	Rescinded		
1	25c1	EEO Records - Prelim/bkgd files	2 years	2.3	033	2 years
1	25c2	EEO Records - Bkgd to complaints that don't become official discrimination cases	2 years	2.3	033	2 years
1	25d1	EEO Records - Compliance reviews re contractor practices	7 years	2.3	034	7 years
1	25d2	EEO Records - Compliance reports	3 years	2.3	035	5 years
1	25e	EEO Records - Employee housing requests	1 year	Rescinded		
1	25f	EEO Records - Employment statistics re race/sex	5 years	2.3	035	5 years
1	25g	EEO Records - EEO general	3 years	2.3	030	3 years
1	25h1	EEO Records - Affirmative Action Plans: consolidated for whole agency	5 years	2.3	035	5 years
1	25h2	EEO Records - Feeder plans	5 years	2.3	035	5 years
1	25h3	EEO Records - On-site review of AAP	5 years	2.3	035	5 years
1	25h4	EEO Records - Agency copy of AAP annual rept	5 years	2.3	035	5 years
1	26a	Personnel Counseling Records - Counseling files	3 years	No change		
1	26b	Personnel Counseling Records - Alcohol and drug abuse program	3 years	No change		
1	27a	Alternative Dispute Resolution - General files	3 years	2.3	010	3 years
1	27b	Alternative Dispute Resolution - Case files	3 years	2.3	011 or 012	3 years or 7 years
1	28a1	Labor Management Relations Records - General and case files, office of record	5 years	2.3	050	5 years
1	28a2	Labor Management Relations Records - All other offices	Superseded or obsolete	2.3	051	Superseded or obsolete
1	28b	Labor Management Relations Records - Arbitration general and case	5 years	2.3	052	5 years
1	29a1	Training Records - General, in-house, excluding curriculum	5 years	2.6	010	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	29a2	Training Records - Background	3 years	2.6	010	3 years
1	29b	Training Records - Training by outside opportunities	5 years	2.6	010	3 years
				2.6	030	3 years or 1 year
1	30a	Administrative Grievance, Disciplinary, & Adverse Action Files - Admin Grievance	4 to 7 years	2.3	060	4 to 7 years
1	30b	Administrative Grievance, Disciplinary, & Adverse Action Files - Adverse & performance based actions	4 to 7 years	2.3	061 or 062	4 to 7 years
1	31	Personal Injury Files	3 years	2.4	100	3 years
1	32	Merit Promotion Case Files	2 years or OPM audit	2.1	050	2 years
1	33a	Examining and Certification Records - Delegated agreements	3 years	2.1	150	3 years
1	33b	Examining and Certification Records - General correspondence	1 year	2.1	050 or 051	2 years
1	33c	Examining and Certification Records - Change of address/status notes from eligibles	90 days	2.1	050 or 051	2 years
1	33d	Examining and Certification Records - Test material stock control	Superseded or obsolete	Rescinded		
1	33e	Examining and Certification Records - Application record card (OPM 5000A)	90 days	2.1	050 or 051	2 years
1	33f	Examining and Certification Records - Examination announcements	2 years	2.1	050 or 051	2 years
1	33g	Examining and Certification Records - Register of eligibles (OPM 5001-C)	2 years	2.1	050 or 051	2 years
1	33h	Examining and Certification Records - Letters denying eligibility (OPM 4896)	1 year	Rescinded		
1	33i	Examining and Certification Records - Test answer sheets	6 months	2.1	050 or 051	2 years
1	33j	Examining and Certification Records - Lost/exposed test material	5 years	2.1	070	5 years
1	33k	Examining and Certification Records - Cancelled or ineligible applications	1 year	2.1	060	1 year
1	33l1	Examining and Certification Records - Eligible applications (OF 612 etc) on active register	90 days	2.1	060	1 year
1	33l2	Examining and Certification Records - Eligible applications (OF 612 etc) on inactive register	1 year	2.1	060	1 year
1	33m	Examining and Certification Records - Ineligible applications for positions filled by case	2 years	2.1	060	1 year
1	33n	Examining and Certification Records - Eligible applications for positions filled by case	2 years	2.1	060	1 year
1	33o	Examining and Certification Records - Request for prior approval of pers actions (SF 59, OPM 648)	1 year	2.1	080	1 year
1	33p	Examining and Certification Records - Certificates (SF 39, SF 39A)	2 years	2.1	050 or 051	2 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	33q	Examining and Certification Records - Certification request control index	2 years	2.1	050 or 051	2 years
1	33r	Examining and Certification Records - Interagency Placement Program	Termination of eligibility	2.3	071	Termination of eligibility
1	33s	Examining and Certification Records - DEP control cards	2 years	2.3	070	2 years
1	33t	Examining and Certification Records - Audit reports	3 years	2.1	151	3 years
1	34	Occupational injury/illness Files	5 years	No change		
1	35a	Denied health benefits requests under spouse equity - Not appealed	3 years	2.4	111	1 year
1	35b1	Denied health benefits requests under spouse equity - Appealed--successful	Create enrollment file	Rescinded		
1	35b2	Denied health benefits requests under spouse equity - Appealed--unsuccessful	3 years	2.4	111	1 year
1	36a	Federal Workplace Drug Testing Program Files - Test plans/procedures	3 years	No change		
1	36b	Federal Workplace Drug Testing Program Files - Employee acknowledgement of notice that drug-testing may be necessary in a position	Employee separation	No change		
1	36c	Federal Workplace Drug Testing Program Files - Selection/scheduling	3 years	No change		
1	36d1	Federal Workplace Drug Testing Program Files - Collection/handling of specimens record books	3 years	No change		
1	36d2	Federal Workplace Drug Testing Program Files - Collection/handling of specimens chain of custody	3 years	No change		
1	36e1a	Federal Workplace Drug Testing Program Files - Test results: positive: employees	3 years or employee separation	No change		
1	36e1b	Federal Workplace Drug Testing Program Files - Test results: positive: not employees	3 years	No change		
1	36e2	Federal Workplace Drug Testing Program Files - Test results: negative	3 years	No change		
1	37	Donated leave Program Case Files	1 year	2.4	071	1 year
1	38	Wage survey files	Completion of two more surveys	2.4	080	Second succeeding survey
1	39	Retirement assistance files	1 year	2.5	020	1 year
1	40	Handicapped Individuals Appointment Case Files	5 years	2.1	110	5 years
1	41	Pay comparability records	3 years	2.4	090	3 years
1	42a	Alternative Worksite Records - Approved	1 year	2.3	081	1 year
1	42b	Alternative Worksite Records - Unapproved	1 year	2.3	081	1 year
1	42c	Alternative Worksite Records - Forms	1 year	2.3	080 or 081	3 years or 1 year
2	1a	Individual Employee Pay Record - Database version	Update regularly	Rescinded		
2	1b	Individual Employee Pay Record - Individual Pay Record, non-electronic	56 years	2.4	040	56 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
2	2	Noncurrent Payroll Files	15 years	Rescinded		
2	3	Does not exist	N/A			
2	4	Does not exist	N/A			
2	5	Does not exist	N/A			
2	6a	Leave Application Files - If employee initials time card	End of following pay period	2.4	030	3 years
2	6b	Leave Application Files - If employee has not initialed time card	3 years or GAO audit	2.4	030	3 years
2	7	Time and Attendance Source Records	6 years or GAO audit	2.4	030	3 years
2	8	Time and Attendance Input Records	6 years or GAO audit	2.4	030	3 years
2	9a	Leave record: Record of employee leave, such as SF 1150, prepared upon transfer or separation	File on right [sic] side of OPF	2.5	040	File on left side of OPF
2	9b	Leave record: Creating agency copy, when maintained	3 years	2.5	020	1 year
2	10	Does not exist	N/A			
2	11	Does not exist	N/A			
2	12	Does not exist	N/A			
2	13a	Tax Files - W-4s	4 years	2.4	020	4 years
2	13b	Tax Files - Agency copy of W-2s	4 years	2.4	050	4 years
2	13c	Tax Files - Agency copy of W-3s, etc.	4 years	2.4	050	4 years
2	14a	Saving Bond Purchase Files - Authorization for purchase and Request for Change	Separation of employee	Rescinded		
2	14b	Saving Bond Purchase Files - Bond registration files	4 months	Rescinded		
2	14c	Saving Bond Purchase Files - Bond receipt and transmittal files	4 months	Rescinded		
2	15a	Combined Federal Campaign and Other Allotment Authorizations - Authorization for individual allotment	3 years or GAO audit	2.4	010	2 years after separation
2	15b	Combined Federal Campaign and Other Allotment Authorizations - Other authorizations	3 years or GAO audit	2.4	010	2 years after separation
2	16	Thrift Savings Plan Election Form	Separation of employee or superseded	2.4	010	2 years after separation
2	17	Direct Deposit Sign-up Form	Separation of employee or superseded	2.4	010	2 years after separation
2	18	Levy and Garnishment Files	3 years	2.4	010	2 years after separation
2	19	Does not exist	N/A			
2	20	Does not exist	N/A			
2	21	Does not exist	N/A			
2	22a	Payroll System Reports - Error reports, etc.	2 years	2.4	060	2 years
2	22b	Payroll System Reports - Reports and data used for workload and personnel mgmt	2 years	2.4	060	2 years
2	22c	Payroll System Reports - Reports providing fiscal info	3 years or GAO audit	2.4	061	3 years
2	23a	Payroll Change Files - Copies subject to GAO audit	3 years or GAO audit	2.4	010	2 years after separation
2	23b	Payroll Change Files - All other copies	1 month	Rescinded		
2	24	Payroll Correspondence	2 years	2.4	060	2 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
2	25	Does not exist	N/A			
2	26	Does not exist	N/A			
2	27	Does not exist	N/A			
2	28	Retirement files	Delete upon OPM acceptance	2.5	010 011	Superseded or obsolete 2 years
3	1a	Real Property Files - Records relating to property acquired after December 31, 1920, other than abstract or certificate of title	10 years after sale	5.4	020	Transfer to new owner
3	1b	Real Property Files - Abstract or certificate of title	Transfer to purchaser	5.4	020	Transfer to new owner
3	2	General Correspondence Files	2 years	1.1	001	3 years
3	3a1a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions exceeding simplified acquisition threshold and construction contracts exceeding \$2000	6 years, 3 months	1.1	010	6 years
3	3a1b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions below simplified acquisition threshold and constructions contracts at or below \$2000	3 years	1.1	010	6 years
3	3a2a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.	6 years, 3 months	1.1	010	6 years
3	3a2b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize small purchase procedures and all construction contracts under \$2,000.	3 years	1.1	010	6 years
3	3b	Routine Procurement Files - Obligation copy	When funds are obligated	Rescinded		
3	3c	Routine Procurement Files - Other copies	Upon termination	1.1	011	Business use ceases
3	3d	Routine Procurement Files - Data submitted to FPDS	5 years	1.1	013	6 years
3	4a	Supply Management Files - Copies received from other units	2 years	5.4	010	3 years
3	4b	Supply Management Files - Copies in other reporting units and related working documents	1 year	5.4	010	3 years
3	5a	Solicited and Unsolicited Bids and Proposals Files - Successful bids and proposals	With related contract (see item 3)	1.1	010	6 years
3	5b1	Solicited and Unsolicited Bids and Proposals Files - Unsuccessful - Relating to small purchases	1 year after award or payment	1.1	010	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
3	5b2a	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - Files separated from contract case files	When related contract is completed	1.1	010	6 years
3	5b2b	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - When filed with contract case files	With related contract (see item 3)	1.1	010	6 years
3	5c1	Solicited and Unsolicited Bids and Proposals Files - Cancelled solicitations files - formal solicitations canceled prior to award	5 years	1.1	010	6 years
3	5c2	Unopened bids	Return to bidder	1.1	010	6 years
3	5d	Solicited and Unsolicited Bids and Proposals Files - Lists or card files of acceptable bidders	Superseded or obsolete	1.1	070	5 years
				1.1	071	3 years
3	6a	Public Printer Files - Procurement unit copy	3 years	1.1	010	6 years
3	6b	Public Printer Files - Accounting copy	3 years	1.1	010	6 years
3	7	Nonpersonal Requisition File	1 year	1.1	010	6 years
3	8a	Inventory Requisition File - Stockroom copy	2 years	5.4	010	3 years
3	8b	Inventory Requisition File - all other copies	6 months	5.4	010	3 years
3	9a	Inventory Files - Inventory lists	2 years	5.4	010	3 years
3	9b	Inventory Files - Inventory cards	2 years	5.4	010	3 years
3	9c	Inventory Files - Report of survey files etc.	2 years	5.4	010	3 years
3	10	Telephone Records	3 years	1.1	010	6 years
3	11	Contractors' Payroll Files	3 years	1.1	050	3 years
3	12	Tax Exemption Files	3 years	1.1	010	6 years
3	13	Unsuccessful Grant Application Files	3 years	1.2	021	3 years
3	14	Grant Administrative Files	2 years	1.2	010	3 years
3	15a	Contract Appeals Case Files - prior to Oct. 1, 1979	6 years, 3 mos	Rescinded		
3	15b	Contract Appeals Case Files - after Sep. 30, 1979	1 year	1.1	060	1 year
3	16	Contractor's Statement of Contingent or Other Fees	Superseded or obsolete	Rescinded		
3	17	Small and Disadvantaged Business Utilization Files	3 years	No change		
3	18a	Federal Activities Inventory Reform (FAIR) Act Records - maintained by office having primary responsibility	6 to 10 years (as selected by agency)	No change		
3	18b	Federal Activities Inventory Reform (FAIR) Act Records - maintained by other offices	2 years	No change		
4	1	Property Disposal Correspondence Files	2 years	5.4	040	3 years
4	2	Excess Personal Property Reports	3 years	5.4	040	3 years
4	3a	Surplus Property Case Files - more than \$25,000	6 years	1.1	010	6 years
4	3b	Surplus Property Case Files - \$25,000 or less	3 years	1.1	010	6 years
4	4	Real Property Files	Transfer to new owner	5.4	020 or 051	Transfer to new owner
5	1	Budget Correspondence	2 years	No change		
5	2	Budget Background Records	1 year	No change		
5	3a	Budget Reports Files - Annual report	5 years	No change		
5	3b	Budget Reports Files - All other reports	3 years	No change		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
5	4	Budget Apportionment Files	2 years	No change		
6	1a	Accountable Officers' Files - Originals	6 years, 3 months	1.1	010	6 years
6	1b	Accountable Officers' Files - Memorandum or extra copies	1 year	1.1	011	Business use ceases
6	2	GAO Exceptions Files	1 year	Rescinded		
6	3a	Certificates Settlement Files - covering closed account settlements, etc.	2 years	1.1	010	6 years
6	3b	Certificates Settlement Files - covering periodic settlements	Receipt of new certificate	1.1	010	6 years
6	4	General Fund Files	3 years	1.1	010	6 years
6	5a	Accounting Administrative Files - For workload and personnel management	2 years	1.1	001	3 years
6	5b	Accounting Administrative Files - All other files	3 years	1.1	001	3 years
6	6a1	Federal Personnel Surety Bond Files - Official copies - before 1/1/1956	15 years	Rescinded		
6	6a2	Federal Personnel Surety Bond Files - Official copies - after 12/31/1955	15 years	Rescinded		
6	6b	Federal Personnel Surety Bond Files - Other	Bond becomes inactive	Rescinded		
6	7	Gasoline Sales Tickets	3 years or GAO audit	1.1	010	6 years
6	8	Telephone Toll Tickets	3 years or GAO audit	1.1	010	6 years
6	9	Telegrams	3 years or GAO audit	Rescinded		
6	10a	Administrative Claims Files - Claims against the US	6 years, 3 months	1.1	080	7 years
6	10b1	Administrative Claims Files - Claims by the US - Paid in full	6 years, 3 months	1.1	080	7 years
6	10b2a	Administrative Claims Files - Claims by the US - Collection action terminated - right to collect not extended	10 years, 3 months	1.1	080	7 years
6	10b2b	Administrative Claims Files - Claims by the US - Collection action terminated - entitled to additional time	3 months after litigation period	1.1	080	7 years
6	10b3	Administrative Claims Files - Claims by US - not owed to US	6 years, 3 months	1.1	080	7 years
6	10c	Administrative Claims Files - affected by court order, etc.	6 years, 3 months or end of litigation	1.1	080	7 years
6	11a	Waiver of Claims Files - Approved waivers	6 years, 3 months	1.1	080	7 years
6	11b	Waiver of Claims Files - Denied waivers	With claims in 10b/10c options	1.1	080	7 years
7	1	Expenditures Accounting General Correspondence and Subject Files	2 years	1.1	001	3 years
7	2	General Accounting Ledgers	6 years, 3 months	1.1	010	6 years
7	3	Appropriation Allotment Files	6 years, 3 months	1.1	010	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
7	4a	Expenditure Accounting Posting and Control Files - Originals	3 years	1.1	010	6 years
7	4b	Expenditure Accounting Posting and Control Files - Copies	2 years	1.1	010	6 years
8	1	Plant, Cost, and Stores General Correspondence Files	2 years	1.1	001	3 years
8	2	Stores Invoice Files	3 years	1.1	040	3 years
8	3	Stores Accounting Files	3 years	1.1	040	3 years
8	4	Stores Accounting Background Files	2 years	1.1	040	3 years
8	5	Plant Accounting Files	3 years	1.1	040	3 years
8	6a	Cost Accounting Reports - Copies in units receiving reports	3 years	1.1	040	3 years
8	6b	Cost Accounting Reports - Copies in reporting units and related work papers	3 years	1.1	040	3 years
8	7a	Cost Report Data Files - Ledgers and forms	3 years	1.1	040	3 years
8	7b1	Cost Report Data Files - Automated records - detail cards	6 months	Rescinded		
8	7b2	Cost Report Data Files - Automated records - summary cards	6 months	Rescinded		
8	7b3	Cost Report Data Files - Tabulations	1 year	Rescinded		
9	1a	Commercial Freight and Passenger Transportation Files - Original vouchers	6 years	1.1	010	6 years
9	1b	Commercial Freight and Passenger Transportation Files - Exclusion to 1a	10 years	1.1	010	6 years
9	1c	Commercial Freight and Passenger Transportation Files - Issuing office copies	6 years	1.1	010	6 years
9	1d	Commercial Freight and Passenger Transportation Files - Obligation copy	When funds are obligated	1.1	010	6 years
9	1e	Commercial Freight and Passenger Transportation Files - Unused ticket redemption forms	3 years	1.1	010	6 years
9	2	Lost or Damaged Shipment Files	6 years	5.5	040	6 years
9	3a	Noncommercial, Reimbursable Travel Files - Travel administrative office files	6 years	1.1	010	6 years
9	3b	Noncommercial, Reimbursable Travel Files - Obligation copies	When funds are obligated	1.1	011	Business use ceases
9	4a	General Travel and Transportation Files - Admin records	2 years	1.1	001	3 years
9	4b	General Travel and Transportation Files - Accountability Records	1 year	5.5	020	1 year or superseded/obsolete
9	5a	Records Relating to Official Passports - Application files	3 years	2.2	090	3 years or separation
9	5b	Records Relating to Official Passports - Annual reports	1 year	2.2	010	3 years
9	5c	Records Relating to Official Passports - Passport registers	Superseded or obsolete	2.2	010	3 years
				2.2	091	Superseded/obs.
9	6	Does not exist	N/A			
9	7	Federal Employee Transportation Subsidy Records	3 years	2.4	130	3 years
				2.4	131	2 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
10	1	Motor Vehicle Correspondence Files	2 years	5.4	010	3 years
10	2a	Motor Vehicle Operating and Maintenance Files - Operating records	3 months	5.4	090	3 years
10	2b	Motor Vehicle Operating and Maintenance Files - Maintenance records	1 year	5.4	090	3 years
10	3	Motor Vehicle Cost Files	3 years	5.4	090	3 years
10	4	Motor Vehicle Report Files	3 years	5.4	010	3 years
10	5	Motor Vehicle Accident Files	6 years	5.4	140	3 years
10	6	Motor Vehicle Release Files	4 years	5.4	040	3 years
10	7	Motor Vehicle Operator Files	3 years	5.4	110	3 years
10	8	Does not exist	N/A			
10	9	Routine Aircraft Operations	2 years	5.4	120	3 years
10	10	Logistical Support for Flight Operations	6 years or superseded	5.4	130	6 years
10	11a	General Aircraft Maintenance and Modification Records - Recordkeeping copies of maintenance manuals for unique or customized aircraft	Permanent	Rescinded		
10	11b	General Aircraft Maintenance and Modification Records - All other records	6 years or superseded or obsolete	5.4	100 or 130	6 years
10	12	Individual Aircraft Maintenance and Airframe Modification Records	6 years	5.4	100	6 years
10	13	Records Required for Accident/Incident Reports	1 year	5.6	100	3 years
11	1	Space and Maintenance General Correspondence Files	2 years	5.4	010	3 years
11	2a	Agency Space Files - Building plan files, etc.	2 years	5.4	010	3 years
11	2b1	Agency Space Files - Correspondence and reports - Reports to GSA	2 years	5.4	010	3 years
11	2b2	Agency Space Files - Copies	1 year	5.4	010	3 years
11	3	Directory Service Files	2 months	5.4	010	3 years
11	4a	Credentials Files - Identification credentials	3 months	5.6	120	6 years
				5.6	130	6 months
11	4b	Credentials Files - Receipts, indexes, listings, etc.	After everything is accounted for	5.6	120	6 years
				5.6	130	6 months
11	5	Building and Equipment Service Files	3 months	5.4	071	90 days
12	1	Messenger Service Files	2 months	5.5	020	1 year or superseded/obsolete
12	2a	Communication General Files - Correspondence: internal admin and operation	2 years	5.5	010	3 years
12	2b	Communication General Files - Telecommunications general files	3 years	5.5	010	3 years
12	2c	Communication General Files - Telecommunications statistical reports	1 year	5.5	020	1 year or superseded/obsolete
12	2d1	Communication General Files - Telecommunication voucher files - reference copies	1 year	1.1	011	Business use ceases
12	2d2	Communication General Files - Telecommunication voucher files - relating to installation, etc.	1 year after audit or 3 years	5.5	010	3 years
12	2e	Communication General Files - Copies of agreements	2 years	5.5	010	3 years
12	3a	Telecommunications Operational Files - Message registers, etc.	6 months	5.5	020	1 year or superseded/obsolete

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
12	3b	Telecommunications Operational Files - Copies of incoming/outgoing messages	2 months	Rescinded		
12	4	Telephone Use (Call Detail) Records	3 years	5.5	010	3 years
12	5a	Post Office and Private Mail Company Records - re: incoming/outgoing mail	1 year	5.5	020	1 year or superseded/obsolete
12	5b	Post Office and Private Mail Company Records - Application for registration and certification of declared value mail	1 year	5.5	020	1 year or superseded/obsolete
12	5c	Post Office and Private Mail Company Records - Report of loss, etc.	1 year	5.5	020	1 year or superseded/obsolete
12	6a	Mail and Delivery Service Control Files - Records of receipt and routing	1 year	5.5	020	1 year or superseded/obsolete
12	6b	Mail and Delivery Service Control Files - Statistical reports of postage used	6 months	5.5	020	1 year or superseded/obsolete
12	6c	Mail and Delivery Service Control Files - Requisition for stamps	6 months	5.5	020	1 year or superseded/obsolete
12	6d	Mail and Delivery Service Control Files - Statistical reports and data relating to handling of mail	1 year	5.5	020	1 year or superseded/obsolete
12	6e	Mail and Delivery Service Control Files - Records relating to checks or other valuables remitted to agency by mail	1 year	5.5	020	1 year or superseded/obsolete
12	6f	Mail and Delivery Service Control Files - Records of and receipts for mail and packages received through Official Mail and Messenger Service	6 months	5.5	020	1 year or superseded/obsolete
12	6g	Mail and Delivery Service Control Files - General files	1 year	5.5	020	1 year or superseded/obsolete
12	6h	Mail and Delivery Service Control Files - Locator cards, directories, indexes, etc.	5 months	5.5	020	1 year or superseded/obsolete
12	7	Metered Mail Files	6 years	5.5	030	6 years
12	8	Postal Irregularities Files	3 years	5.5	020	1 year or superseded/obsolete
				5.6	050	3 years
13	1	Administrative Correspondence Files	2 years	5.5	010	3 years
13	2a	Project Files - Files pertaining to the accomplishment of the job	1 year	5.5	020	1 year or superseded/obsolete
13	2b	Project Files - Files pertaining to planning and other tech matters	3 years	5.5	010	3 years
13	3	Control Files	1 year	5.5	020	1 year or superseded/obsolete
13	4a	Mailing Lists - Correspondence, etc.	3 months	6.5	020	Superseded/obsolete
13	4b	Mailing Lists - Card lists	When canceled or revised	6.5	020	Superseded/obsolete
13	5a	Joint Committee on Printing (JCP) Reports Files - Agency report to JCP	3 years	No change		
13	5b	Joint Committee on Printing (JCP) Reports Files - Copies in subordinate units	1 year	No change		
13	6	Internal Management Files	2 years	5.5	010	3 years
14	1	Information Requests Files	3 months	4.2	010	90 days
14	2	Acknowledgment Files	3 months	4.2	010	90 days
14	3	Press Service Files	3 months	Rescinded		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
14	4	Information Project Files	1 year	6.4	030	No longer needed
14	5	Commendation/Complaint Correspondence Files	3 months	6.4	020	90 days
				6.5	010	1 year
14	6	Indexes and Check Lists	Superseded or obsolete	6.4	030	No longer needed
14	7-10	Do not exist	N/A			
14	11a1	FOIA Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	11a2a	FOIA Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	11a2b	FOIA Requests Files - Unable to be filled - appealed	6 years or 3 years	4.2	020	6 years
14	11a3a	FOIA Requests Files - Denied - not appealed	6 years	4.2	020	6 years
14	11a3b	FOIA Requests Files - Denied - appealed	6 years or 3 years or with related records	4.2	020	6 years
14	11b	FOIA Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	12a	FOIA Appeals Files - Correspondence and supporting documents	6 years or 3 years	4.2	020	6 years
14	12b	FOIA Appeals Files - Official file copy of records under appeal	Disposition for official file copy	Rescinded		
14	13a	FOIA Control Files - Registers or listings	5 years	4.2	040	5 years
14	13b	FOIA Control Files - Other files	5 years	4.2	040	5 years
14	14	FOIA Reports Files	2 years	4.2	070	2 years
14	15	FOIA Administrative Files	2 years	4.2	001	3 years
14	16-20	Do not exist	N/A			
14	21a1	Privacy Act Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	21a2a	Privacy Act Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	21a2b	Privacy Act Requests Files - Unable to be filled - appealed	4 years or 3 years or with related records	4.2	020	6 years
14	21a3a	Privacy Act Requests Files - Denied - not appealed	5 years	4.2	020	6 years
14	21a3b	Privacy Act Requests Files - Denied - appealed	4 years or 3 years or with related records	4.2	020	6 years
14	21b	Privacy Act Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	22a	Privacy Act Amendment Case Files - Agreed by agency	4 years or official copy disposition	4.2	090	4 years
14	22b	Privacy Act Amendment Case Files - Refused by agency	3 years, 4 years or official copy disposition	4.2	090	4 years
14	22c	Privacy Act Amendment Case Files - Refused and appealed	3 years or official copy disposition	4.2	090	4 years
14	23	Privacy Act Accounting of Disclosure Files	5 years or official copy disposition	4.2	050	5 years or official copy disposition

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
14	24a	Privacy Act Control Files - registers or listings	5 years	4.2	040	5 years
14	24b	Privacy Act Control Files - other files	5 years	4.2	040	5 years
14	25	Privacy Act Reports Files	2 years	4.2	070	2 years
14	26	Privacy Act General Administrative Files	2 years	4.2	001	3 years
14	27-30	Do not exist	N/A			
14	31a1	Mandatory Review For Declassification Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	31a2a	Mandatory Review For Declassification Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	31a2b	Mandatory Review For Declassification Requests Files - Unable to be filled - appealed	4 years or with related records	4.2	020	6 years
14	31a3a	Mandatory Review For Declassification Requests Files - Denied - not appealed	5 years	4.2	020	6 years
14	31a3b	Mandatory Review For Declassification Requests Files - Denied - appealed	4 years or with related records	4.2	020	6 years
14	31b	Mandatory Review For Declassification Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	31c	Mandatory Review For Declassification Requests Files - Sanitizing instructions	When requested docs are declassified or destroyed	4.2	020	6 years
14	32a	Mandatory Review for Declassification Appeals Files - Correspondence and supporting documents	4 years	4.2	020	6 years
14	32b	Mandatory Review for Declassification Appeals Files - Official file copy of records under appeal	Disposition for official file copy	Rescinded		
14	33a	Mandatory Review for Declassification Control Files - regular or listing	5 years	4.2	040	5 years
14	33b	Mandatory Review for Declassification Control Files: other files	5 years	4.2	040	5 years
14	34	Mandatory Review for Declassification Reports Files	2 years	4.2	030	2 years
14	35	Mandatory Review for Declassification Administrative Files	2 years	4.2	030	2 years
14	36a	Erroneous Release Files that include the official file copy of the released records	Disposition for official file copy or 6 years	4.2	060	6 years or with related records
14	36b	Erroneous Release Files that do not include the official file copy of the released records	6 years	4.2	061	6 years
15	1	Housing General Correspondence Files	2 years	5.4	010	3 years
15	2a	Housing Maintenance and Repair Files - Summary card or ledger record	3 years	5.4	070	3 years
15	2b	Housing Maintenance and Repair Files - Work orders, etc.	3 years	5.4	070	3 years
15	3	Housing Management Files	2 years	5.4	010	3 years
15	4	Housing Lease Files	3 years	5.4	080	3 years
15	5a	Housing Assignment and Vacancy Card Files - Individual tenant cards	When tenant vacates	5.4	080	3 years
15	5b	Housing Assignment and Vacancy Card Files - Individual housing unit cards	3 years	5.4	080	3 years
15	6	Housing Inventory Files	3 years	5.4	010	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
15	7a	Housing Application Files - Rejected application files	1 year	5.4	080	3 years
15	7b	Housing Application Files - All others	2 years	5.4	080	3 years
16	1a	Administrative Issuances - Notices, etc.	Superseded or obsolete	No change		
16	1b	Administrative Issuances - Case files	When issuance is destroyed	No change		
16	2a1	Records Disposition Files - Basic documentation - approved SF115s	2 years	4.1	020	6 years
16	2a2	Records Disposition Files - Basic documentation - Other records	6 years	4.1	020	6 years
16	2b	Records Disposition Files - Routine correspondence and memoranda	2 years	4.1	020	6 years
16	3a	Forms Files - One record copy of each form	5 years	4.1	040	3 years
16	3b	Forms Files - Background materials, etc.	Superseded or obsolete	4.1	040	3 years
16	4a	Records Holdings Files - records in offices that prepare reports on agency-wide records holdings	3 years	Rescinded		
16	4b	Records Holdings Files - records held by other offices	1 year	Rescinded		
16	5	Project Control Files	1 year	No change		
16	6	Reports Control Files	2 years	No change		
16	7	Records Management Files	6 years	4.1	020 030	6 years 3 years
16	8	Does not exist	N/A			
16	9	Feasibility Studies	5 years	3.1	011	5 years
16	10a	Microfilm Inspection Records - re: permanent records	1 year	4.1	020	6 years
16	10b	Microfilm Inspection Records - re: temporary records	2 years	4.1	020	6 years
16	11	IRM Triennial Review Files	7 years	No change		
16	12	Information Collection Budget Files	7 years	No change		
16	13a	Documents Published in the Federal Register - Processing notices announcing matters not codified in CFR	1 year	No change		
16	13b	Documents Published in the Federal Register - Processing of semiannual regulatory agenda	2 years	No change		
16	14a	Management Control Records - Policy, procedure, and guidance files	Superseded or obsolete	No change		
16	14b	Management Control Records - Management control plans	Superseded or obsolete	No change		
16	14c	Management Control Records - Risk analyses	After next review cycle	No change		
16	14d	Management Control Records - Annual reports and assurance statements	After next reporting cycle	No change		
16	14e	Management Control Records - Tracking files	1 year	No change		
16	14f1	Management Control Records - Review Files - Responsible office	5 years	No change		
16	14f2	Management Control Records - Review Files - Other offices	1 year	No change		
17	1	Cartographic Records Prepared During Intermediate Stages of Publication	No longer needed	6.4	030	No longer needed

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
17	2	Does not exist	N/A			
17	3	Architectural Drawings of Temporary Structure and Buildings or of Buildings Not Critical to the Mission of the Agency	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	4	Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	5	Contract Negotiation Drawings	Superseded by as-built drawings	5.4	050	Superseded or obsolete
17	6	Space Assignment Plans	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	7	Does not exist	N/A			
17	8	Engineering Drawings of Routine Minor Parts	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	9	Drawings Reflecting Minor Modifications	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	10	Paint Plans and Samples	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
18	1	Classified Documents Administrative Correspondence Files	2 years	4.2	001	3 years
18	2	Document Receipt Files	2 years	4.2	030	2 years
18	3	Destruction Certificates Files	2 years	4.2	030	2 years
18	4	Classified Document Inventory Files	2 years	4.2	030	2 years
18	5a	Top Secret Accounting and Control Files - accountability over Top Secret documents	5 years	4.2	040	5 years
18	5b	Top Secret Accounting and Control Files - handling and control documents	Related doc. downgraded, transferred, or destroyed	4.2	040	5 years
18	6	Access Request Files	2 years	4.2	030	2 years
18	7a	Classified Document Container Security Files - safe and padlock combinations, names of individuals knowing combinations	Superseded or obsolete	4.2	031	Superseded by new form
18	7b	Classified Document Container Security Files - records of opening, closing, and routine checking of the security of containers	3 months	4.2	032	90 days
18	8	Security and Protective Services Administrative Correspondence Files	2 years	5.6	010	3 years
18	9	Survey and Inspection Files - government-owned facilities	3 years	5.6	80	5 years
				5.6	81	3 years
18	10	Survey and Inspection Files - privately owned facilities	4 years	5.6	80	5 years
				5.6	81	3 years
18	11	Investigative Files	2 years	5.6	100	3 years
18	12	Property Pass Files	3 months	5.6	040	3 months
18	13a	Guard Assignment Files - ledger records	3 years	5.6	010	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
18	13b	Guard Assignment Files - requests, analyses, reports, change notices, etc.	2 years	5.6	010	3 years
18	14a	Police Functions Files - ledger records	3 years	5.6	100	3 years
18	14b	Police Functions Files - reports, statements of witnesses, warning notices, etc.	2 years	5.6	100	3 years
18	14c	Police Functions Files - reports on contact of outside police with building occupants	1 year	5.6	100	3 years
18	15a	Personal Property Accountability Files - ledger files	3 years	5.6	60	3 years
				5.6	61	30 days
18	15b	Personal Property Accountability Files - reports, loss statements, receipts, etc.	1 year	5.6	60	3 years
				5.6	61	30 days
18	16a	Key Accountability Files - areas under maximum security	3 years	5.6	020	3 years
18	16b	Key Accountability Files - other areas	6 months	5.6	021	6 months
18	17a	Visitor Control Files - areas under maximum security	5 years	5.6	110	5 years
18	17b	Visitor Control Files - other areas	2 years	5.6	111	2 years
18	18a	Facilities Checks Files - Data sheets, door slip summaries, check sheets, and guard reports on security violations	1 year	5.6	090	30 days
18	18b	Facilities Checks Files - Reports of routine after hours security checks	1 month	5.6	090	30 days
18	19a	Guard Service Control Files - Control center key or code records, emergency call cards, and building record and employee identification cards	Superseded or obsolete	5.6	090	30 days
18	19b	Guard Service Control Files - Round reports, service reports on interruptions and tests, and punch clock dial sheets	1 year	5.6	090	30 days
18	19c	Guard Service Control Files - Automatic machine patrol charts and registers of patrol and alarm services	1 year	5.6	090	30 days
18	19d	Guard Service Control Files - Arms distribution sheets, charge records, and receipts	3 months	5.6	030	3 months
18	20a	Logs and Registers - central master logs	2 years	5.6	110	5 years
				5.6	111	2 years
18	20b	Logs and Registers - individual posts	1 year	5.6	110	5 years
				5.6	111	2 years
18	21	Security Clearance Administrative Subject Files	2 years	5.6	010	3 years
18	22a	Personnel Security Clearance Files - investigation done by government	5 years	5.6	181	5 years
18	22b	Personnel Security Clearance Files - investigation provided by other organizations	Per investigating agency instructions	5.6	170	Per agency instruction
18	22c	Personnel Security Clearance Files - index	With related case file	5.6	190	With related case file
18	23	Personnel Security Clearance Status Files	Superseded or obsolete	5.6	190	With related case file
18	24a	Security Violations Files - referred to DOJ or DOD	5 years	5.6	200	5 years
18	24b	Security Violations Files - all other files	2 years	5.6	200	5 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
18	25a	Classified Information Nondisclosure Agreements - maintained separately from OPF	70 years	4.2	121	50 years
18	25b	Classified Information Nondisclosure Agreements - maintained in OPF	See OPF disposition	Rescinded		
18	26	Emergency Planning Administrative Correspondence Files	2 years	5.3	010	3 years
18	27	Emergency Planning Case Files	3 years	5.3	010	3 years
18	28	Emergency Operations Tests Files	3 years	5.3	010	3 years
18	29a	National Defense Executive Reserve (NDER) Case Files - reservists	5 years	Rescinded		
18	29b	National Defense Executive Reserve (NDER) Case Files - applications rejected or withdrawn	5 years	Rescinded		
20	1a	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system	No longer needed	3.1	010	5 years
					011	5 years
					020	3 years
20	1b	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files/records to create/update master file	After transfer to master file	5.2	020	When verified in new final record
20	1c	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage	No longer needed	3.2	030	Business use ceases
20	2a1	Input/Source Records - Hard-copy - Previously scheduled; must be transferred in hard-copy	Permanent	Rescinded		
20	2a2	Input/Source Records - Hard-copy - Previously scheduled; e-recs don't meet transfer standards	Permanent	Rescinded		
20	2a3	Input/Source Records - Hard-copy - Contain info not captured in electronic version	Apply previously approved schedule	Rescinded		
20	2a4	Input/Source Records - Hard-copy - Records not covered by 2a1-3.	When e-version is verified, etc.	5.2	020	When verified in new final record
20	2b	Input/Source Records - Electronic records (except noted in 2c) entered during update process	When verified in master file	5.2	020	When verified in new final record
20	2c	Input/Source Records - Electronic records received from another agency	When verified in master file	5.2	020	When verified in new final record
20	2d	Input/Source Records - Uncalibrated or unvalidated observational data	When verified in master file	5.2	020	When verified in new final record
20	3a	Electronic Versions of Records Scheduled for Disposal - Scanned images	When hard copy retention expires	Rescinded		
20	3b1	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Administrative records	When hard copy retention expires	Rescinded		
20	3b2	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Records covered by GRS 1, Item 21; GRS 1, Item 22; GRS 1, Item 25f; GRS 12, Item 3; and GRS 18, Item 5.	Submit SF-115	Rescinded		
20	3b3	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Digital still pictures, sound or video	When hard copy retention expires	Rescinded		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
20	3b4	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Media neutral program records	Apply previously approved schedule	Rescinded		
20	3b5	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)1, 3(b)(3), or 3(b)(4).	Submit SF-115	Rescinded		
20	3.1	Electronic Records that Replace Permanent Hard Copy Records	Permanent	Rescinded		
20	4	Data Files Consisting of Summarized Information	No longer needed	5.2	020	When verified in new final record
20	5	Records Consisting of Extracted Information	No longer needed	5.2	020	When verified in new final record
20	6	Print File	No longer needed	5.2	020	When verified in new final record
20	7	Technical Reformat File	No longer needed	5.2	020	When verified in new final record
20	8a	Backups of Files - Identical to permanent records	When backed up or transferred to NARA	3.2	050	After capture or transfer request
20	8b	Backups of Files - Identical to temporary records	Superseded or obsolete	3.2	051	After identical records deleted
20	9	Finding Aids (or Indexes)	No longer needed	4.1	010	No longer needed
20	10	Special Purpose Programs	When related master file is deleted	3.1	012	When master file is deleted
20	11a1	Documentation - Related to temporary systems	When related master file is deleted	3.1	051	5 years
20	11a2	Documentation - Related to permanent systems	Permanent	3.1	050	Permanent
20	11b	Documentation - Copies of records relating to system security	See GRS 24, item 5	3.2	010	1 year
20	12a	Downloaded and Copied Data - Derived data for ad-hoc reports	No longer needed	5.2	020	When verified in new final record
20	12b	Downloaded and Copied Data - Derived data in lieu of hard copy reports	No longer needed	5.2	020	When verified in new final record
20	12c	Downloaded and Copied Data - Metadata or reference data	No longer needed	5.2	020	When verified in new final record
20	13	Word Processing Files	No longer needed	5.1	020	After copying to recordkeeping system
20	14	Electronic Mail Records	After copying to recordkeeping system	5.1	020	After copying to recordkeeping system
20	15a	Electronic Spreadsheets - Used to produce hard copy that is maintained in organized files	No longer needed	5.1	020	After copying to recordkeeping system
20	15b	Electronic Spreadsheets - Maintained in electronic form	When hard copy retention expires	5.1	020	After copying to recordkeeping system
20	16	Hard Copy Printouts Created to Meet Ad Hoc Business Needs	No longer needed	5.2	020	When verified in new final record

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
21	1	Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency (Still Photography)	1 year	6.4	050	2 years
21	2	Personnel Identification or Passport Photographs (Still Photography)	Superseded or obsolete or 5 years	2.2	090	3 years or separation
				5.6	120	6 years
				5.6	130	6 months
21	3	Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not reflect the Mission of the Agency (Still Photog.)	1 year	2.6	010	3 years
21	4	Does not exist	N/A			
21	5	Viewgraphs	1 year	6.4	050	2 years
21	6	Routine Artwork for Handbills, Flyers, Posters, Letterhead, and Other Graphics	No longer needed	6.4	030	No longer needed
21	7	Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction	No longer needed	6.4	030	No longer needed
21	8	Line Copies of Graphs and Charts	No longer needed	6.4	030	No longer needed
21	9	Films Acquired from Outside Sources for Personnel and Management Training (Motion Pictures)	1 year	2.6	010	3 years
21	10	Does not exist	N/A			
21	11	Routine Surveillance Footage (Motion Pictures)	6 months	5.6	090	30 days
21	12	Routine Scientific, Medical, or Engineering Footage (Motion Pictures)	2 years	Rescinded		
21	13	Does not exist	N/A			
21	14	Programs Acquired from Outside Sources for Personnel and Management Training (Video Recordings)	1 year	2.6	010	3 years
21	15	Does not exist	N/A			
21	16	Rehearsal or Practice Tapes (Video Recordings)	Immediate	6.4	030	No longer needed
21	17	Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency (Video Recordings)	1 year	2.6	010	3 years
21	18	Routine Surveillance Recordings (Video Recordings)	6 months	5.6	090	30 days
21	19	Routine Scientific, Medical, or Engineering Recordings (Video Recordings)	2 years	Rescinded		
21	20	Recordings that Document Routine Meetings and Award Presentations (Video Recordings)	2 years	6.4	050	2 years
21	21	Does not exist	N/A			
21	22	Recordings of Meetings Made Exclusively for Note Taking or Transcription (Audio/Sound Recordings)	Immediate	5.2	020	Creation of final record or end of business use
21	23	Dictation Belts or Tapes (Audio/Sound Recordings)	Immediate	5.2	020	Creation of final record or end of business use
21	24	Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production (Audio/Sound Recordings)	Immediate	6.4	030	No longer needed
21	25	Does not exist	N/A			

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
21	26	Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis (Audio/Sound Recordings)	6 months	6.4	040	No longer needed
21	27	Does not exist	N/A			
21	28	Production Files or Similar Files that Document Origin, Development, Acquisition, Use and Ownership of Temporary Audiovisual Records	With related records	6.4	050	2 years
21	29	Finding Aids for Temporary Audiovisual Records	With related records	4.1	010	No longer needed
23	1	Office Administration Files	2 years	5.1	010	Business use ceases
23	2-4	Do not exist	N/A			
23	5a	Schedules of Daily Activities - substantive information	2 years	5.1	010	Business use ceases
23	5b	Schedules of Daily Activities - routine activities	No longer needed	5.1	010	Business use ceases
23	6a	Suspense Files - A note or reminder	Immediate	5.2	010	Business use ceases
23	6b	Suspense Files - Copy of outgoing communication	Immediate	5.2	010	Business use ceases
23	7	Transitory Files (first bullet only) - Routine requests for information	No longer needed	4.2	010	90 days
23	7	Transitory Files (all other bullets)	No longer needed	5.2	010	Business use ceases
23	8	Tracking and Control Records	2 years	4.1	010	No longer needed
23	9	Finding Aids (or Indexes)	With related records	4.1	010	No longer needed
24	1a	Oversight and Compliance Files - Performance measurements and benchmarks	5 years or 1 year	3.1	040	5 years
24	1b	Oversight and Compliance Files - All other oversight and compliance records	3 years or 1 year	3.1	040	5 years
24	2	IT Facility, Site Management, and Equipment Support Services Records	3 years or superseded	3.1	020	3 years
24	3a	IT Asset and Configuration Management Files - Inventories	1 year	3.1	020	3 years
24	3b1	IT Asset and Configuration Management Files - Management Records - system implementations, applications, modifications	1 year	3.1	030	5 years
24	3b2	IT Asset and Configuration Management Files - Management Records - routine IT maintenance	3 years or 1 year	3.1	020	3 years
24	4a1	System Backups and Tape Library Records - Backup tapes - Incremental backup tapes	Superseded or obsolete	3.2	040	Superseded
24	4a2	System Backups and Tape Library Records - Backup tapes - Full backup tapes	After second subsequent backup	3.2	041	When second subsequent backup verified
24	4b	System Backups and Tape Library Records - Tape library records	Superseded or obsolete	4.1	010	No longer needed
24	5a	Files Related to Maintaining the Security of Systems and Data - System Security Plans and Disaster Recovery Plans	1 year	3.2	010	1 year

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
24	5b	Files Related to Maintaining the Security of Systems and Data - IT risks, etc.	1 year	3.2	010	1 year
24	6a	User Identification, Profiles, Authorizations, and Password Files - Systems requiring special accountability	6 years	3.2	031	6 years
24	6b	User Identification, Profiles, Authorizations, and Password Files - Routine systems	See GRS 20, item 1c	3.2	030	Business use ceases
24	7	Computer Security Incident Handling, Reporting, and Follow-up Records	3 years	3.2	020	3 years
24	8a	IT Operations Records - Workload schedules, etc.	1 year	3.1	020	3 years
24	8b	IT Operations Records - Problem reports, etc.	1 year	3.1	020	3 years
24	8c	IT Operations Records - Operations reports, etc.	3 years	3.1	020	3 years
24	9a	Financing of IT Resources and Services - Agreements	3 years	3.1	020	3 years
24	9b	Financing of IT Resources and Services - Files related to managing third-party services	3 years	3.1	020	3 years
24	9c	Financing of IT Resources and Services - allocate charges, track payments	3 years	3.1	020	3 years
24	10a	IT Customer Service Files - Help desk information	1 year	5.8	010	1 year
24	10b	IT Customer Service Files - Logs, reports, etc.	1 year	5.8	010	1 year
24	11a	IT Infrastructure Design and Implementation Files - Not implemented	1 year	3.1	010	5 years
24	11b	IT Infrastructure Design and Implementation Files - Implemented	5 years	3.1	010	5 years
24	11c	IT Infrastructure Design and Implementation Files - Installation and testing	3 years	3.1	010	5 years
24	12	Does not exist	N/A			
24	13a1	PKI Records - PKI Administrative Records - FBCA Cas	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	3.2	060	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months
24	13a2	PKI Records - PKI Administrative Records - Other Cas	7 years, 6 months to 20 years, 6 months	3.2	061	7 years, 6 months to 20 years, 6 months
24	13b	PKI Records - Transaction specific records	7 years, 6 months to 20 years, 6 months	3.2	062	7 years, 6 months to 20 years, 6 months
25	1a	Ethics Program Implementation, Interpretation, Counseling, and Development Files - [see records list in schedule]	3 years	2.8	010	6 years
25	1b	Ethics Program Implementation, Interpretation, Counseling, and Development Files - all other records	6 years	2.8	010	6 years
25	2a1	Financial Disclosure Reporting Files - public reports - individuals not subsequently confirmed or elected	1 year	2.8	060	1 year
25	2a2	Financial Disclosure Reporting Files - public reports - all other reports	6 years	2.8	061	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
25	2b1	Financial Disclosure Reporting Files - confidential reports - individuals not subsequently confirmed or elected	1 year	2.8	070	1 year
25	2b2	Financial Disclosure Reporting Files - confidential reports - all other reports	6 years	2.8	071 072	6 years 6 years
25	2c1	Financial Disclosure Reporting Files - alternative or additional - individuals not subsequently confirmed or elected	1 year	2.8	080	1 year
25	2c2	Financial Disclosure Reporting Files - alternative or additional - all other reports	6 years	2.8	081	6 years
25	3	Ethics Agreement Records	6 years	2.8	100 101	6 years Destruction of last disclosure report
25	4	Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files	6 years	2.8	020	6 years
25	5a	Non-Federally Funded Travel Files - Semiannual Expense Reports	3 years	2.8	030	3 years
25	5b	Non-Federally Funded Travel Files - records used to compile Semiannual Expense Reports	1 year	2.8	031	1 year
25	6a	Ethics Program Review Files - OGE program review reports, etc.	6 years	2.8	050	6 years
25	6b	Ethics Program Review Files - all other records	1 year	2.8	050	6 years
25	7a	Annual Agency Ethics Program Questionnaire Files - questionnaire completed by ethics officials in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978	3 years	2.8	040	3 years
25	7b	Annual Agency Ethics Program Questionnaire Files - all other records	1 year	2.8	040	3 years
25	8a	Ethics Program Employee Training and Education Files - administration	6 years	2.6	020	6 years
25	8b	Ethics Program Employee Training and Education Files - training materials	6 years	2.6	020	6 years
25	9	Ethics Program Procedures Files	6 years	2.8	010	6 years
26	1a	Internal Agency Committees - unrelated to mission	No longer needed	5.1	030	Business use ceases
26	1b	Internal Agency Committees - related to mission	Must be scheduled	Rescinded		
26	2a	FACA Committees - establishment, policy, etc.	Permanent	6.2	010 020	Permanent Permanent
26	2b	FACA Committees - day-to-day activities	3 years	6.2	050	Superseded, no longer needed or committee termination
26	2c1	FACA Committees - websites - electronic version	At termination or no longer needed	6.2	010 050	Permanent Superseded, no longer needed or committee termination

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
26	2c2	FACA Committees - websites - design and management	At termination or no longer needed	Rescinded		
26	2c3	FACA Committees - websites - electronic version of records duplicated elsewhere	At termination or no longer needed	6.2	050	Superseded, no longer needed or committee termination
26	3	Records not maintained by sponsor or secretariat	3 years	Rescinded		
26	4	Committee management records	6 years	6.2	040	6 years
					050	Superseded, no longer needed or committee termination
					060	3 years
27	1	Information Technology Program Planning Records	7 years	No change		
27	2	Enterprise Architecture Records	7 years	No change		
27	3	Information Technology Capital Investment Records	7 years	No change		
27	4	Legal and Regulatory Compliance Records	5 years	4.2	080	5 years
27	5	CIO Committee Records	5 years	No change		
27	6	CIO Subject and Office Records	5 years	Rescinded		
27	7	Schedules of Daily Activities	2 years	Rescinded		