

*National Archives and
Records Administration*

Washington, DC 20408

GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 4

April 24, 1992

TO: Heads of Federal Agencies

1. Purpose. This transmittal conveys changes to the General Records Schedules.

2. Background. The General Records Schedules (GRS) provide mandatory disposition instructions for records common to several Federal agencies. A complete set of the schedules was issued in 1988. The pages provided with this transmittal contain additions, revisions, and corrections to several schedules and to the Subject and Forms Indexes.

3. Explanation of changes.

a. General Records Schedule 1. Item 17b was edited to include records relating to retention registers; item 25 was modified to include Equal Employment Opportunity complaints that do not result in formal complaint cases; the disposition for item 30 was modified; and a new item 37 was added to cover records relating to donation of leave.

b. General Records Schedule 2. The retention period for time and attendance records covered under item 3 was increased from 3 years to 6 years at the request of the General Accounting Office.

c. General Records Schedules 6 and 9. Item 1 of GRS 6 and items 1 and 3 of GRS 9 were modified to clarify the description and disposition of records relating to travel and transportation.

d. General Records Schedule 10. This schedule was modified to correct a formatting error.

e. General Records Schedule 16. Item 10 was modified to reflect a recent revision of NARA regulations on micrographics (36 CFR Part 1230) that eliminated a requirement that agencies inspect temporary microform records; and a new item 14 was added to cover records relating to internal controls.

f. General Records Schedule 18. Item 25 was modified to reflect the fact that classified information nondisclosure agreements may be filed in the Official Personnel File.

g. General Records Schedule 21. The citation to the Code of Federal Regulations relating to the recovery of precious metals in the introduction was corrected.

h. General Records Schedule 23. The disposition for item 8 was edited to clarify that it covers electronic records.

i. Subject and Forms Indexes. The Subject Index was reformatted and additions were made to both indexes.

4. Availability. Additional copies of this change are available from the Records Administration Information Center (NI), Washington DC 20408. Phone: 202-501-6025 or FTS 241-6025.

5. Implementation. Agencies are required under 36 CFR 1228.50(d) to disseminate GRS changes within 6 months of receipt. If an agency wishes to apply a retention period that differs from that specified in the GRS, it must submit an SF 115 for NARA approval. In addition, deviations from the GRS 2, 6, and 9 items listed above must be approved by the General Accounting Office.

6. Instructions.

	Remove pages		and insert corresponding new pages	
a.	5-8 and 11-18	of GRS 1	6-8, 11-18, and 21	of GRS 1
b.	1-6	of GRS 6	1-6	of GRS 6
c.	1-4	of GRS 9	1-4	of GRS 9
d.	1	of GRS 10	1	of GRS 10
e.	5	of GRS 16	5 and 7-10	of GRS 16
f.	7-9	of GRS 18	7-10	of GRS 18
g.	1	of GRS 21	1	of GRS 21
h.	5	of GRS 23	5	of GRS 23
i.	1-21	of Subject Index	1-22	of Subject Index
j.	9	of Forms Index	9	of Forms Index



DON W. WILSON
Archivist of the United States

Attachments

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
11.	<u>Position Identification Strips.</u> Strips such as SF 7D, used to provide summary data on each position occupied.	Destroy when superseded or obsolete.
12.	<u>Employee Awards Files.</u> <p data-bbox="388 751 1181 865">a. General awards records, EXCLUDING those relating to departmental level awards.</p> <p data-bbox="482 916 1225 1288">(1) Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.</p> <p data-bbox="482 1339 1159 1502">(2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.</p> <p data-bbox="388 1553 1159 1625">b. Length of service and sick leave awards files.</p> <p data-bbox="482 1676 1247 1790">Records including correspondence, reports, computations of service and sick leave, and list of awardees.</p> <p data-bbox="388 1842 1050 1913">c. Letters of commendation and appreciation.</p> <p data-bbox="482 1964 1247 2179">Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.</p> <p data-bbox="388 2230 1159 2301">d. Lists or indexes to agency award nominations.</p> <p data-bbox="482 2353 1181 2424">Lists of nominees and winners and indexes of nominations.</p>	<p data-bbox="1327 916 1978 988">Destroy 2 years after approval or disapproval.</p> <p data-bbox="1327 1339 1869 1373">Destroy when 2 years old.</p> <p data-bbox="1327 1676 1847 1710">Destroy when 1 year old.</p> <p data-bbox="1327 1964 1869 1999">Destroy when 2 years old.</p> <p data-bbox="1327 2353 1891 2424">Destroy when superseded or obsolete.</p>

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

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
13.	<u>Incentive Awards Program Reports.</u> Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old.
14.	<u>Notifications of Personnel Actions.</u> 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. b. All other copies maintained in personnel offices.	Destroy when 2 years old. Destroy when 1 year old.
	<u>Employment Applications.</u> Applications (SF 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.
16.	<u>Personnel Operations Statistical Reports.</u> Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	<u>Correspondence and Forms Files.</u> 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.	Destroy when action is completed.

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Retention registers and related records.	
(1)	Registers and related records used to effect reduction-in-force actions.	Destroy when 2 years old.
(2)	Registers from which no reduction-in-force actions have been taken and related records.	Destroy when superseded or obsolete.
c.	All other correspondence and forms.	Destroy when 6 months old.
18.	<u>Supervisors' Personnel Files and Duplicate OPF Documentation.</u>	
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.	Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.
b.	Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.	Destroy when 6 months old.
	<u>Individual Non-Occupational Health Record Files.</u>	
	Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work related purposes, EXCLUDING records covered by item 21 of this schedule.	Destroy 6 years after date of last entry.
20.	<u>Health Unit Control Files.</u>	
	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.

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	b. If information is not summarized.	Destroy 2 years after last entry.
21.	<u>Employee Medical Folder (EMF).</u>	
	a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293.	
	(1) Transferred employees.	See FPM for instructions.
	(2) Separated employees.	Transfer to National Personnel Records Center (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.
	b. Temporary or short-term records as defined in the FPM.	Destroy 1 year after separation or transfer of employee.
	c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.	Destroy 60 years after retirement to FRC.
	[NOTE: Master files and data bases created in central data processing facilities 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.	<u>Statistical Summaries.</u>	
	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.
	[NOTE: Master files and data bases created in central data processing facilities 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.]	

Transmittal No. 2
October 30, 1989

General Records Schedule 1

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
24.	<u>Financial Disclosure Reports.</u>	
	a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).	
	(1) Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.	Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.
	(2) All other records including SF 278.	Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.
	b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.	Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.
25.	<u>Equal Employment Opportunity Records.</u>	
	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 EEOC, or by a U.S. Court.	Destroy 4 years after resolution of case.
	b. Copies of Complaint Case Files.	
	Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.	Destroy 1 year after resolution of case.

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	Preliminary and Background Files.	
	(1) Background records not filed in the Official Discrimination Complaint Case Files.	Destroy 2 years after final resolution of case.
	(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.	Destroy when 2 years old.
d.	Compliance Records.	
	(1) Compliance Review Files.	
	Reviews, background documents and correspondence relating to contractor employment practices.	Destroy when 7 years old.
	(2) EEO Compliance Reports.	Destroy when 3 years old.
e.	Employee Housing Requests.	
	Forms requesting agency assistance in housing matters, such as rental or purchase.	Destroy when 1 year old.
f.	Employment Statistics Files.	
	Employment statistics relating to race and sex.	Destroy when 5 years old.
[NOTE: Master files and data bases created in central data processing facilities 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.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

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h.	EEO Affirmative Action Plans (AAP).	
	(1) Agency copy of consolidated AAP(s).	Destroy 5 years from date of plan.
	(2) Agency feeder plan to consolidated AAP(s).	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
	(3) Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years from date of report.
	(4) Agency copy of annual report of Affirmative Action accomplishments.	Destroy 5 years from date of report.
26.	<u>Personnel Counseling Records.</u>	
	a. Counseling Files.	
	Reports of interviews, analyses and related records.	Destroy 3 years after termination of counseling.
	b. Alcohol and Drug Abuse Program.	
	Records created in planning, coordinating and directing an alcohol and drug abuse program.	Destroy when 3 years old.
27.	<u>Standards of Conduct Files.</u>	
	Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.
28.	<u>Labor Management Relations Records.</u>	
	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.	Destroy 5 years after expiration of agreement.

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	(2) Other offices.	Destroy when superseded or obsolete.
	b. Labor Arbitration General and Case Files.	
	Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.
29.	<u>Training Records.</u>	
	EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense.	
	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.	Destroy when 5 years old or 5 years after completion of a specific training program.
	(2) Background and working files.	Destroy when 3 years old.
	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.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

[Note: Records excluded from this item must be scheduled by submission of an SF 115 to NARA. Reference copies of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations, previously included in the GRS, are nonrecord and may be destroyed when superseded or obsolete.]

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
30.	<u>Administrative Grievance, Disciplinary and Adverse Action Files.</u>	
	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.	Destroy no sooner than 4 years but no later than 7 years after case is closed. [See note.]
	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.	Destroy no sooner than 4 years but no later than 7 years after case is closed. [See note.]

[NOTE: The Office of Personnel Management 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 Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
31.	<p><u>Personal Injury Files.</u></p> <p>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.</p>	<p>Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.</p>
32.	<p><u>Merit Promotion Case Files.</u></p> <p>Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING, any records that duplicate information in the promotion plan, in the OPF, or in any other personnel records.</p>	<p>Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.</p>
33.	<p><u>Examining and Certification Records.</u></p> <p>Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.</p> <p>a. Delegated agreements.</p> <p>b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.</p> <p>c. Test material stock control.</p> <p>Stock control records of examination test material including running inventory of test material in stock.</p>	<p>Destroy 3 years after termination of agreement.</p> <p>Break annually. Destroy 1 year after break.</p> <p>Destroy when test is superseded or obsolete.</p>

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d.	Application Record Card (OPM Form 5000A, or equivalent).	Break after examination. Destroy no later than 90 days after break.
e.	Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications and their development.	Destroy 5 years after termination of related register.
f.	Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).	Break records on individuals with terminated eligibility annually. Destroy 5 years after break. When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM area office or 90 days after final action is taken on the certificate whichever is sooner.)
g.	Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Break annually. Destroy 1 year after break.
h.	Canceled and ineligible applications, supplemental forms, and attachments.	Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.
	Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Destroy when 6 months old.

Transmittal No. 2
October 30, 1989

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
j.	Lost or Exposed Test Material Case Files.	Break files annually. Destroy 5 years after break.
	Records showing the circumstances of loss, nature of the recovery action and corrective action required.	
k.	Eligible applications.	
	(1) On active register.	Destroy upon termination of the register (except applications that may be brought forward to new register, if any)e
	(2) On inactive register.	Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.
l.	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.	Break annually. Destroy 1 year after break.
m.	Certificate Files.	
	SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.	Break annually. Destroy 5 years after break.

Transmittal No. 3
February 22, 1991

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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).]
d.	Records relating to the collection and handling of specimens.	
	(1) "Permanent" 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).]
	(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).]
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.	Destroy when 3 years old. [See note (2).]

[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 provides for the destruction of records 4 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).]

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AUTHORIZED DISPOSITION

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.

Beginning in January 1994, destroy one year after the end of the year in which the file is closed.

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General Records Schedule 6

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 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 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 Treasury Department. 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 site audit was involved. This procedure was extended and confirmed by GAO General Regulations, No. 115 issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule includes records held for on-site audit by GAO, as described in item 1a below. Under on-site 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 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 one 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 which deposit funds into the Treasury, and (3) documents which provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements

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General Records Schedule 6

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 Treasury Department are not covered by this schedule and are provided for in separate schedules.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

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Accountable Officers' Files.

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| 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 <u>except</u> 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. | Destroy 6 years and 3 months after period covered by account. |
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Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also

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included are equivalent agency forms which 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

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ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

SF 1218, Statement of Accountability
 (Foreign Service Account)
 SF 1219, Statement of Accountability
 SF 1220, Statement of Transactions
 According to Appropria-
 tion, Funds and Receipt
 Accounts
 SF 1221, Statement of Transactions
 According to Appropria-
 tion, Funds, and Receipt
 Accounts (Foreign Service
 Account)
 OF 1114, Bill of Collection
 OF 1114A, Official Receipt
 OF 1114B, Collection Voucher

b. Memorandum copies of accountable
 officers' returns including state-
 ments of transactions and accounta-
 bility, 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. Destroy when
 1 year old.

[NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely 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.]

2. GAO Exceptions Files.

General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.

Destroy 1 year after exception has been reported as cleared by GAO.

3. Certificates Settlement Files.

Copies of certificates and settlement of accounts of accountable officers, state-
 ments of differences, and related records.

a. Certificates covering closed account settlements, supplemental settle-
 ments, and final balance settlements.

Destroy 2 years after date of settlement.

Transmittal No. 4
April 24, 1992

General Records Schedule 6

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Certificates covering period settlements.	Destroy when subsequent certificate of settlement is received.
4.	<u>General Fund Files.</u> 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.	Destroy when 3 years old.
5.	<u>Accounting Administrative Files.</u> Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	Destroy when 2 years old.
	a. Files used for workload and personnel management purposes.	Destroy when 3 years old.
	b. All other files.	
6.	<u>Federal Personnel Surety Bond Files.</u>	a. Official copies of bond and attached powers of attorney.
	(1) Bonds purchased before January 1, 1956.	Destroy 15 years after bond becomes inactive.
	(2) Bonds purchased after December 31, 1955.	Destroy 15 years after end of bond premium period.
	b. Other bond files including other copies of bonds and related documents.	Destroy when bond becomes inactive or after the end of the bond premium period.
7.	<u>Gasoline Sales Tickets.</u> Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.	Destroy after GAO audit or when 3 years old, whichever is sooner.
8.	<u>Telephone Toll Tickets.</u> Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
9.	<p><u>Telegrams.</u></p> <p>Originals and copies of telegrams filed in support of telegraph bills.</p>	<p>Destroy after GAO audit or when 3 years old, whichever is sooner.</p>
10.	<p><u>Administrative Claims Files.</u></p> <p>a. Claims against the United States. Records relating to claims against the United States for moneys which 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.</p>	<p>Destroy when 6 years, 3 months old.</p>
	<p>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).</p> <p>Records relating to claims for money or property which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c below.</p>	
	<p>(1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.</p>	<p>Destroy when 6 years, 3 months old.</p>
	<p>(2) Claims for which collection action has been terminated under 4 CFR Part 104.</p>	
	<p>(a) Claims for which the Government's right to collect was not extended.</p>	<p>Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.</p>
	<p>(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.</p>	<p>Destroy 3 months after the end of the extended period.</p>

Transmittal No. 4
April 24, 1992

General Records Schedule 9

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 those 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 which 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

Transmittal No. 4
April 24, 1992

General Records Schedule 9

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
1.	<u>Commercial Freight and Passenger Transportation Files.</u>	
	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.	Destroy 6 years after the period of the account.
	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) voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) voucher has become involved in litigation, or 6) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period, such as detection of overcharge.	Destroy when 10 years old.
	c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.	Destroy 6 years after the period of the account.
	d. Obligation copy of commercial passenger transportation vouchers.	Destroy when funds are obligated.
	e. Unused ticket redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use.

Transmittal No. 4
April 24, 1992

General Records Schedule 9

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<p><u>Lost or Damaged Shipments Files.</u></p> <p>Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.</p>	Destroy when 6 years old.
3.	<p><u>Noncommercial, Reimbursable Travel Files.</u></p> <p>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.</p>	
	a. Travel administrative office files.	Destroy when 6 years old.
	b. Obligation copies.	Destroy when funds are obligated.
4.	<p><u>General Travel and Transportation Files.</u></p>	
	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.	Destroy when 2 years old.
	b. Accountability records documenting the issue or receipt of accountable documents.	Destroy 1 year after all entries are cleared.

Transmittal No. 3
February 22, 1991

General Records Schedule 9

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Records Relating to Official Passports.</u>	
	a. Application files.	
	Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.	Destroy when 3 years old or upon separation of the bearer, whichever is sooner.
	b. Annual reports concerning official passports.	
	Reports to the Department of State concerning the number of official passports issued and related matters.	Destroy when 1 year old.
	c. Passport registers.	
	Registers and lists of agency personnel who have official passports.	Destroy when no longer needed.

[NOTESe (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.]

Transmittal No. 4
April 24, 1992

General Records Schedule 10

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

41 CFR 101-38 prescribes policies and procedures. Standard Form 82, which is an annual motor vehicle report required by the Office of Federal Supply Services, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This 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 Office of Federal Supply and Services (Standard Form 82, Annual Motor Vehicle Report); (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 check-off sheets, cost ledgers, and claims correspondence and forms.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Motor Vehicle Correspondence Files.</u>	
	Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Destroy when 2 years old.
2.	<u>Motor Vehicle Operating and Maintenance Files.</u>	
	a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.	Destroy when 3 months old.
	b. Maintenance records, including those relating to service and repair.	Destroy when 1 year old.

Transmittal No. 4
April 24, 1992

General Records Schedule 10

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>Motor Vehicle Cost Files.</u></p> <p>Motor vehicle ledger and work sheets providing cost and expense data.</p>	<p>Destroy 3 years after discontinuance of ledger or date of work sheet.</p>
4.	<p><u>Motor Vehicle Report Files.</u></p> <p>Reports on motor vehicles (other than accident, operating, and maintenance reports) including SF 82, Agency Report of Motor Vehicle Data, and SF 82-D, Agency Report of Sedan Data.</p>	<p>Destroy 3 years after date of report.</p>
5.	<p><u>Motor Vehicle Accident Files.</u></p> <p>Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Operator's Report of Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness.</p>	<p>Destroy 6 years after case is closed.</p>
.	<p><u>Motor Vehicle Release Files.</u></p> <p>Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97A, Agency Record Copy of U.S. Government Certificate of Release of Motor Vehicle.</p>	<p>Destroy 4 years after vehicle leaves agency custody.</p>
	<p><u>Motor Vehicle Operator Files.</u></p> <p>Records relating to individual employee operations of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.</p>	<p>Destroy 3 years after separation of employees or 3 years after rescission of authorization to operate Government-owned vehicles whichever is sooner.</p>

Transmittal No. 4
April 24~~e~~ 1992

General Records Schedule 16

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9.	<p><u>Feasibility Studies.</u></p> <p>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.</p>	<p>Destroy 5 years after completion or cancellation of study.</p>
10.	<p><u>Microform Inspection Records.</u></p> <p>a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230.</p>	<p>Destroy 1 year after the records are transferred to the legal custody of the National Archives.</p>
<p>[NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]</p>		
	<p>b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.</p>	<p>Destroy when no longer needed.</p>
11.	<p><u>IRM Triennial Review Files.</u></p> <p>Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.</p>	<p>Destroy when 7 years old.</p>

Transmittal No. 2
October 30, 1989

General Records Schedule 16

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
12.	<p><u>Information Collection Budget Files.</u></p> <p>Reports required by the Office of Management and Budget 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.</p>	Destroy when 7 years old.
13.	<p><u>Documents Published in the Federal Register.</u></p> <p>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); hearing 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.</p>	Destroy when 1 year old.
	<p>b. Files documenting the processing of semiannual regulatory agenda.</p>	Destroy when 2 years old.

[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.]

Transmittal No. 4
April 24, 1992

General Records Schedule 16

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Internal Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Internal Control Systems, and P.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.

- b. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded.

- 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.

Transmittal No. 4
April 24, 1992

General Records Schedule 16

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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 and Congress.	Cut off closed files annually. Destroy after next reporting cycle.
[NOTE: This item does not cover the consolidated final reports submitted directly to the President and Congress. The final reports must be scheduled by submitting an SF 115 to the National Archives.]		
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 when no longer needed.
f.	Review files. 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.	Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.
	(1) Office with responsibility for coordinating Internal Control functions.	

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April 24, 1992

General Records Schedule 16

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(2) Copies maintained by other
 offices as internal reviews.

Cut off when no further
corrective action is
necessary. Destroy 1 year
after cutoff.

[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.]

Transmittal No. 3
February 22, 1991

General Records Schedule 18

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
22.	<u>Personnel Security Clearance Files.</u> 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.	Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.
	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.	
	b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.	Destroy in accordance with the investigating agency instructions.
	c. Index to the Personnel Security Case Files.	Destroy with related case file.
23.	<u>Personnel Security Clearance Status Files.</u> Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete.
24.	<u>Security Violations Files.</u> Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.	

Transmittal No. 4
April 24, 1992

General Records Schedule 18

ITEM

NOe

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.

Destroy 5 years after close of case.

b. All other files, exclusive of documents placed in official personnel folders.

Destroy 2 years after completion of final action or when no longer needed, whichever is sooner.

25. Classified Information Nondisclosure Agreements.

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

a. If maintained separately from the individual's official personnel folder.

Destroy when 50 years old.

b. If maintained in the individual's official personnel folder.

Apply the disposition for the official personnel folder, or destroy when 50 years old, whichever is later.

Transmittal No. 4
April 24, 1992

General Records Schedule 18

ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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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.

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.	Destroy when 2 years old.
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[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for emergency programs.]

27. Emergency Planning Case Files.

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.	Destroy 3 years after issuance of a new plan or directive.
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[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 by submission of an SF 115. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives by submission of an SF 115.]

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.	Destroy when 3 years old.
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Transmittal No. 4
 April 24, 1992

General Records Schedule 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
29.	<p><u>National Defense Executive Reserve (NDER) Case Files.</u></p> <p>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.</p> <p>a. Case files on reservists.</p> <p>b. Case files on individuals whose applications were rejected or withdrawn.</p>	<p>Destroy 5 years after termination from NDER program.</p> <p>Destroy when 5 years old.</p>

Transmittal No. 4
April 24, 1992

General Records Schedule 21

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 an SF 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NIR).

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 1230.40(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." Copies are available from the NARA Office of Records Administration.

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 101-45.40, "Recovery of Precious Metals and Strategic and Critical Materials."

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.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>Still Photography</u>		
1.	Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.	Destroy when one year old or when no longer needed.
2.	Personnel identification or passport photographs.	Destroy when five years old or when no longer needed.

Transmittal No. 3
February 22, 1991

General Records Schedule 21

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the agency.	Destroy one year after completion of training program.
4.	Duplicate items in excess of record elements required for preservation, duplication, and reference service by 36 CFR 1228.184.	Destroy when no longer needed.
<u>Graphic Arts</u>		
5.	Viewgraphs.	Destroy one year after use or when no longer needed.
6.	Routine artwork for handbills, flyers, posters, letterhead, and other graphics.	Destroy one year after final publication or when no longer needed.
7.	Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.	Destroy when no longer needed for publication or reprinting.
8.	Line copies of graphs and charts.	Destroy one year after final production or when no longer needed.
<u>Motion Pictures</u>		
9.	Films acquired from outside sources for personnel and management training.	Destroy one year after completion of training program.
10.	Films acquired from outside sources for personnel entertainment and recreation.	Destroy when no longer needed.
11.	Routine surveillance footage.	Destroy when no longer needed.
12.	Routine scientific, medical or engineering footage.	Destroy when two years old or when no longer needed.
13.	Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.	Destroy when no longer needed.

Transmittal No. 2
October 30, 1989

General Records Schedule 23

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8.	<u>Tracking and Control Records.</u> Logs, registers, and other records in hard copy or electronic form 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.	Destroy or delete when no longer needed.
9.	<u>Finding Aids (or indexes).</u> Indexes, lists, registers, and other finding aids in hard copy or electronic form 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.	Destroy or delete with the related records or sooner if no longer needed.

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Transmittal No. 4
April 24, 1992

General Records Schedules Subject Index

GENERAL RECORDS SCHEDULES

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April 24, 1992

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