



National Archives and Records Administration

December 21, 1998

GRS Transmittal No. 8

TO: Heads of Federal Agencies

1. What does this document do? GRS Transmittal 8 explains the changes that have been made to the General Records Schedules (GRS) since August 1995 when we last issued the GRS. The General Records Schedules (GRS) provide mandatory disposition instructions for temporary administrative records common to several Federal agencies.

2. What is the status of GRS 20?

a. GRS 20 is the subject of a court case, *Public Citizen v. Carlin*. On October 22, 1997, the U.S. District Court for the District of Columbia issued an order declaring GRS 20 "null and void." The Government filed an appeal with the U.S. Court of Appeals for the District of Columbia, which is pending. See the GRS 20 web site at <http://www.nara.gov/records/grs20> for more information on GRS 20 and the court case.

b. In accordance with the Memorandum Opinion and Order of the United States District Court for the District of Columbia, dated September 29, 1998, we have issued the following statement:

The District Court's injunction of April 9, 1998, prohibiting the Archivist from issuing Federal Register notices, bulletins, directives or other official statements of any kind stating that General Records Schedule 20 currently authorizes the disposition of electronic records, remains in effect.

The District Court has further authorized the Archivist to state that a federal agency may continue to follow its present disposition practices for electronic records until (1) the agency has submitted and received approval from the National Archives and Records Administration (NARA) on a Request for Records Disposition Authority; (2) notification by NARA that the appeal in this case has been resolved and NARA has provided further guidance as a result of the appellate court's decision; or (3) further Order of the District Court.

c. We are developing a new GRS for information technology records. When that GRS is completed, we will issue another GRS transmittal to send it to you.

3. What changes have been made to the other GRS? The following chart shows the major changes. In addition to the changes shown in this chart, we have added a new final item to GRS 1-16, 18, and 23, to provide disposal authority for electronic mail and word processing records used solely to produce records described in those GRS, after a recordkeeping copy has been produced, and electronic copies used for dissemination, revision, or updating that

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are maintained in addition to the recordkeeping copy. The new item does not authorize disposal of any records in agency files or other recordkeeping systems. We made this change in response to a recommendation from the Electronic Records Work Group established by me to address electronic records disposition issues. (The Work Group report and my statement on the report are available on the GRS 20 web site <http://www.nara.gov/records/grs20>).

GRS Affected	What is new or changed
Introduction to the GRS	<p>a. Updated with current NARA organization titles.</p> <p>b. New paragraph explaining authority to dispose of source records after recordkeeping copy has been produced.</p> <p>Items 4a, 23a(3) and (5), 23b(2) and (4) - Changes the disposition from "destroy when no longer needed" to specific retention periods.</p> <p>Item 10 - Provides separate disposition for Immigration and Naturalization Service I-9 forms from other temporary individual employee records.</p> <p>Item 24 - Adds note to cross-reference new GRS 9, item 6 (records on non-Federally funded travel).</p>
GRS 1, Civilian Personnel Records	<p>Item 36 - Changes retention period for agency copies of drug test plans and procedures (item 36a) and adds retention period for positive drug test records (item 36e(1)).</p> <p>Item 41 - Amends Pay Comparability Records to add requests and approvals for recruitment, retention and relocation bonuses, allowances, and supervisory differentials.</p> <p>New item 42 - Covers records documenting an alternate work site program.</p>
GRS 3, Procurement Supply and Grant Records	<p>Item 3 - Changes the disposition to comply with the Federal Acquisition Streamlining Act of 1994 and the Federal Acquisition Reform Act of 1996.</p> <p>Item 16 - Changes the disposition from "destroy when no longer needed" to specific retention period.</p>
GRS 9, Travel and	<p>Items 1e and 5c - Changes the disposition from "destroy when no longer needed" to specific retention periods.</p>

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Transportation Records

New item 6 - Covers records relating to non-Federally funded travel.

New item 7 - Covers transportation subsidy records.

New item 4 - Covers telephone use records. The approved item mandates a 3-year retention, but allows agencies to execute earlier disposal if information concerning abuses is captured in other records.

GRS 12, Communications Records

Item 7 - Corrects "penalty mail" to read "metered mail," as indicia (penalty) mail is no longer permitted and most agencies are using postage meters.

GRS 14, Information Services Records

Items 1, 14, 15, 26, 34, and 35 - Deletes the authority to destroy sooner than the specified retention period if no longer needed.

GRS 16, Administrative Management Records

Items 2a, 2b, 7, 8, 10b and 14e - Changes the disposition from "destroy when no longer needed" to specific retention periods.

Item 2 - Reserved. Formerly covered duplicate aerial photographs that are nonrecord materials.

Items 3, 4, 5, and 6 - Changes the disposition from "destroy when no longer needed" to specific retention periods.

GRS 17, Cartographic, Aerial photographic, Architectural, and Engineering Records

Item 7 - Reserved. Formerly described architectural models that are nonrecord materials, and do not need to be covered by the GRS.

Items 8, 9, and 10 - Changes the disposition from "destroy when no longer needed" to specific retention periods.

GRS 18, Security and Protective Service Records

Item 24b - Deletes the authority to destroy sooner than the specified retention period if no longer needed.

GRS 19, Reserved

GRS 19 was rescinded several years ago and agencies had to separately schedule their research and development records. The former title of this GRS is no longer needed.

Items 1, 2, 5, 6, 8, 12, 18, and 26 - Deletes the authority to destroy sooner than the specified retention period if no longer needed.

GRS 21, Audiovisual Records

Items 11, 18, and 20 - Changes the disposition from "destroy

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when no longer needed" to specific retention periods.

Items 4, 10, 13, 15, 21, 25, and 27 - Reserved. These items described duplicate photographs, films, videos, and sound recordings; recreational films and videos; and library sound recordings, which are nonrecord materials and do not need to be covered by the GRS.

GRS 22, Inspector General
Records, WITHDRAWN

The entire GRS 22 and the disposal authority formerly provided under this GRS are withdrawn. NARA Bulletin 99-02, Withdrawal of General Records Schedule (GRS) 22, Inspector General Records, provides background on why we took this action and explains what you must do to obtain disposition authority for those records if you used GRS 22 as the disposition authority.

GRS 23, Records Common to Most Offices Within Agencies **Item 1** - Facsimile machine logs were added as an example of a short-term administrative record relating to communications.

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

a. Our regulations (36 CFR 1228.50(d)) require you to disseminate GRS changes within 6 months of receipt. If you wish to apply a retention period that differs from that specified in the GRS, you must submit an SF 115, Request for Records Disposition Authority, to us for approval.

b. NARA Bulletin 99-02, Withdrawal of General Records Schedule (GRS) 22, Inspector General Records, provides guidance on steps you must take for your Inspector General records. We have sent copies of this bulletin to agency heads and records officers. The bulletin is also posted on NARA's web site <http://www.nara.gov/records/>.

5. How do I get copies of the new GRS? We are sending the updated versions of the Introduction and GRS 1-18 and 21-23 in electronic form (WordPerfect 6.1, Word 6.0, and ASCII) on disk to your agency records officer. We are also posting a set on our web site (<http://www.nara.gov/records/>). We will also send your records officer a printed copy of the GRS when it is available.

6. Who do I contact for further information? Please contact Jean Keeting on 301-713-7110, ext. 230 if you have any questions.

JOHN W. CARLIN
Archivist of the United States

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National Archives and Records Administration General Records Schedules

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GENERAL RECORDS SCHEDULES

Introduction

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary administrative 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. 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

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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, and via the NARA records management web site at <http://www.nara.gov/records/index.html>.

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 two indexes, an alphabetical Subject Index and an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various Government agencies.

A new item has been added to GRS 1-16, 18, and 23 to 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 by the new item 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

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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).

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National Archives and Records Administration General Records Schedules

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.

b. Separated employees. Transfer folder to National Personnel Records Center

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(NPRC), St. Louis, MO, 30 days after latest separation. [See note (2) after this item]. NPRC will destroy 65 years after separation from Federal service.

[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 OPF's 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.

Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action.

- b. Cards for employees separated or transferred on or after January 1, 1948.

Destroy 3 years after separation or transfer of employee.

[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.

Destroy when 3 years old.

4. Offers of Employment Files.

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

- a. Accepted offers.

Destroy when appointment is effective.

- b. Declined offers:

- (1) When name is received from certificate of eligibles.

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Return to OPM with reply and application.

(2) Temporary or excepted appointment.

File with application (see item 15 of this schedule).

(3) All others.

Destroy immediately.

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.

Destroy when 2 years old.

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

Employee record cards used for informational purposes outside personnel offices (such as SF 7B).

Destroy on separation or transfer of employee.

[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.

Destroy when superseded or obsolete.

(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.

Destroy 5 years after position is abolished or description is superseded.

(b) Review File.

Destroy when 2 years old.

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b. Position Descriptions.

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Destroy 2 years after position is abolished or description is superseded.

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded.

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

8. Interview Records.

Correspondence, reports, and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews.

Destroy 1 year after case is closed.

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

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Recordkeeping, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records.

b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency.

11. Position Identification Strips. [See note after this item.]

Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete.

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

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.

Destroy 2 years after approval or disapproval.

(2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy when 2 years old.

b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Destroy when 1 year old.

c. Letters of commendation and appreciation.

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Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.

Destroy when 2 years old.

d. Lists of or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations.

Destroy when superseded or obsolete.

[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.

Destroy when 3 years old.

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.

Destroy when 2 years old.

b. All other copies maintained in personnel offices.

Destroy when 1 year old.

15. Employment Applications.

Applications, including Optional Form (OF) 612, resumes, and any other application that an agency may develop for unique jobs with specialized requirements, 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.

16. Personnel Operations Statistical Reports.

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Statistical reports in the operating personnel office and subordinate units relating to personnel.

Destroy when 2 years old.

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.

Destroy when action is completed.

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. 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.

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.

19. Individual Non-Occupational Health Record Files.

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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.

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.

- b. If information is not summarized.

Destroy 2 years after last entry.

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.

- b. Temporary or short-term records as defined in the Federal Personnel Manual (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 a NARA records storage facility.

Destroy 60 years after retirement to the NARA records storage facility.

[NOTE: Electronic master files and data bases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS.

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Such files must be scheduled on an SF 115.]

22. Statistical Summaries. [See not 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.

[NOTE: Electronic master files and data bases 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 effected and all related documents.

Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.

- (2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

- (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.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.

- (b) All other performance plans and ratings.

Destroy when 4 years old.

- (4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

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Destroy 4 years after date of appraisal.

(5) Supporting documents.

Destroy 4 years after date of appraisal.

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

(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

(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.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

(b) All other performance ratings and plans.

Destroy when 5 years old.

(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).

Destroy 5 years after date of appraisal.

(4) Supporting documents.

Destroy 5 years after date of appraisal.

[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. Financial Disclosure Reports. [See note after item 24b.]

a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (Pub. L. 95-521).

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(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.

[NOTE: See GRS 9, item 6, for semiannual reports to the Office of Government Ethics on non-Federally funded travel.]

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.

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 Discrimination Complaint Case Files.

Destroy 1 year after resolution of case.

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

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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. [See note after this item.]

Employment statistics relating to race and sex.

Destroy when 5 years old.

[NOTE: Electronic master files and data bases 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.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

h. EEO Affirmative Action Plans (AAP).

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- (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. Personnel Counseling Records.

- 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. Standards of Conduct Files.

Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Destroy when obsolete or superseded.

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.

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Destroy 5 years after expiration of agreement.

(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. 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.

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.]

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

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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.

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.

[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 Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

31. Personal 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.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

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.

Destroy after OPM audit or 2 years after the personnel action is completed,

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whichever is sooner.

33. Examining and Certification Records.

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.

a. Delegated agreements.

Destroy 3 years after termination of agreement.

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.

Cut off annually. Destroy 1 year after cutoff.

c. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock.

Destroy when test is superseded or obsolete.

d. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cutoff.

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).

Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff.

When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM service center or 90 days after final action is taken on the certificate, whichever is

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sooner.)

g. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cutoff.

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.

i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old.

j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cutoff.

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).

(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.

Cut off annually. Destroy 1 year after cutoff.

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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.

Cut off annually. Destroy 5 years after cutoff.

n. Certification request control index.

Cut off annually. Destroy 1 year after cutoff.

o. Interagency Placement Program (IPP) application and registration sheet.

Destroy upon expiration of employee's DEP eligibility.

p. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off.

q. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report.

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.

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.

Destroy 3 years after denial.

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

(1) Appeal successful - benefits granted.

Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook.

(2) Appeal unsuccessful - benefits denied.

Destroy 3 years after denial.

[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).]

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.

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

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).]

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) after item 36e(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) after item 36e(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.

(1) Positive results.

(a) Employees.

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).]

(2) Negative results.

Destroy when 3 years old.

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[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).]

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 1 year after the end of the year in which the file is closed.

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).

Destroy after completion of second succeeding wage survey.

39. Retirement Assistance Files.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old.

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.

Destroy 5 years following the date of approval or disapproval of each case.

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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.

Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.

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.

Destroy 1 year after end of employee's participation in the program.

b. Unapproved requests.

Destroy 1 year after request is rejected

c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

Destroy when 1 year old, or when no longer needed, whichever is later.

43. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in

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addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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National Archives and Records Administration General Records Schedules

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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

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

Update elements and/or entire record as required.

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.

Transfer to National Personnel Records Center. Destroy when 56 years old.

2. Noncurrent Payroll Files.

Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.

Destroy 15 years after close of pay year in which generated.

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

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leave.

- a. If employee initials time card or equivalent.

Destroy at end of following pay period.

- b. If employee has not initialed time card or equivalent.

Destroy after GAO audit or when 3 years old, whichever is sooner.

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.

Destroy after GAO audit or when 6 years old, whichever is sooner.

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.

Destroy after GAO audit or when 6 years old, whichever is sooner.

9. Leave Record.

- a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.

File on right side of the Official Personnel Folder (OPF). See GRS 1, item 1.

- b. Creating agency copy, when maintained.

Destroy when 3 years old.

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.

Destroy 4 years after superseded or obsolete or upon separation of employee.

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b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old.

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.

Destroy when 4 years old.

14. Savings Bond Purchase Files.

a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.

Destroy when superseded or after separation of employee.

b. Bond registration files: issuing agent's copies of bond registration stubs.

Destroy 4 months after date of issuance of bond.

c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.

Destroy 4 months after date of issuance of bond.

15. Combined Federal Campaign and Other Allotment Authorizations.

a. Authorization for individual allotment to the Combined Federal Campaign.

Destroy after GAO audit or when 3 years old, whichever is sooner.

b. Other authorizations, such as union dues and savings.

Destroy after GAO audit or when 3 years old, whichever is sooner.

16. Thrift Savings Plan Election Form.

Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.

Destroy when superseded or after separation of employee.

17. Direct Deposit Sign-up Form (SF 1199A).

Destroy when superseded or after separation.

18. Levy and Garnishment Files.

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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.

Destroy 3 years after garnishment is terminated.

Items 19 through 21. Reserved.

PAYROLL ADMINISTRATION

22. Payroll System Reports.

- a. Error reports, ticklers, system operation reports.

Destroy when related actions are completed or when no longer needed, not to exceed 2 years.

- b. Reports and data used for agency workload and or personnel management purposes.

Destroy when 2 years old.

- c. Reports providing fiscal information on agency payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner.

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.

Destroy after GAO audit or when 3 years old, whichever is sooner.

- b. All other copies.

Destroy 1 month after end of related pay period.

24. Payroll Correspondence.

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old.

Items 25 through 27. Reserved.

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RETIREMENT

28. Retirement Files.

Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.

Items 29 through 30. Reserved.

GENERAL

31. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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National Archives and Records Administration General Records Schedules

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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

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Real Property Files. [See note after item 1b.]

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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.

Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

- b. Abstract or certificate of title.

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

[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.

Destroy when 2 years old.

3. Routine Procurement Files. [See note after item 3d.]

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). [See note after item 3a(2)(b).]

- 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.

Destroy 6 years and 3 months after final payment.

- (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.

Destroy 3 years after final payment.

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(2) Transactions dated earlier than July 3, 1995.

(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.

Destroy 3 years after final payment.

[NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the subitems to apply to a particular series of records.]

b. Obligation copy.

Destroy when funds are obligated.

c. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Destroy upon termination or completion.

d. Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.

Destroy or delete when 5 years old.

[NOTE: Unique procurement files are not covered by this schedule. With the standardization of the Government-wide procurement process under the FAR, such files are unlikely to exist. However, if an agency believes that a procurement file that has long-term research value, the records officer should submit an SF 115.]

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.

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Destroy when 2 years old.

- b. Copies in other reporting units and related working documents.

Destroy when 1 year old.

5. Solicited and Unsolicited Bids and Proposals Files.

- a. Successful bids and proposals.

Destroy with related contract case files (see item 3 of this schedule).

- b. Solicited and unsolicited unsuccessful bids and proposals.

- (1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.

Destroy 1 year after date of award or final payment, whichever is later.

- (2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.

- (a) When filed separately from contract case files.

Destroy when related contract is completed.

- (b) When filed with contract case files.

Destroy with related contract case file (see item 3 of this schedule).

- 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.

Destroy 5 years after date of cancellation.

- (2) Unopened bids.

Return to bidder.

- d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete.

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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.

Destroy 3 years after completion or cancellation of requisition.

- b. Accounting copy of requisition.

Destroy 3 years after period covered by related account.

7. Nonpersonal Requisition File.

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).

Destroy when 1 year old.

8. Inventory Requisition File. Requisitions for supplies and equipment for current inventory.

- a. Stockroom copy.

Destroy 2 years after completion or cancellation of requisition.

- b. All other copies.

Destroy when 6 months old.

9. Inventory Files.

- a. Inventory lists.

Destroy 2 years from date of list.

- b. Inventory cards.

Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.

- c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.

Destroy 2 years after date of survey action or date of posting medium.

10. Telephone Records.

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Telephone statements and toll slips.

Destroy 3 years after period covered by related account.

11. Contractors' Payroll Files.

Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, antikickback affidavits, and other related papers.

Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.

12. Tax Exemption Files.

Tax exemption certificates and related papers.

Destroy 3 years after period covered by related account.

13. Unsuccessful Grant Application Files.

Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

Destroy 3 years after rejection or withdrawal.

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.

Destroy when 2 years old.

[NOTE: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.]

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.

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- a. Records created prior to October 1, 1979.

Destroy 6 years, 3 months after final action on decision.

- b. Records created after September 30, 1979.

Destroy 1 year after final action on decision.

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.

Destroy when superseded or obsolete.

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.

18. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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National Archives and Records Administration General Records Schedules

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and

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electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

Destroy when 2 years old.

2. Excess Personal Property Reports.

Destroy when 3 years old.

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.

Destroy 6 years after final payment.

- b. Transactions of \$25,000 or less.

Destroy 3 years after final payment.

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.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

[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

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have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]

5. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

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.

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.

- b. All other reports.

Destroy 3 years after the end of the fiscal year.

4. Budget Apportionment Files. [See note after this item.]

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Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Destroy 2 years after the close of the fiscal year.

[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 (SF) 115 to NARA.]

5. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Accountable Officers' Files. [See note after item 1b.]

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

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financial transaction as described above.

<COLSPAN="2" WIDTH="90% " ALIGN="top" 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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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

Destroy 6 years and 3 months after period covered by account.

b. Memorandum 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.

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.

GAO notices of exceptions, such as SF 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, statements of differences, and related records.

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

Destroy 2 years after date of settlement.

b. Certificates covering period settlements.

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Destroy when subsequent certificate of settlement is received.

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.

Destroy when 3 years old.

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.

Destroy when 2 years old.

- b. All other files.

Destroy when 3 years old.

6. Federal Personnel Surety Bond Files.

- 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. Gasoline Sales Tickets.

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. Telephone Toll Tickets.

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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.

9. Telegrams.

Originals and copies of telegrams filed in support of telegraph bills.

Destroy after GAO audit or when 3 years old, whichever is sooner.

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.

Destroy when 6 years, 3 months old.

- 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.

Destroy when 6 years, 3 months old.

- (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.

Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.

- (b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

Destroy 3 months after the end of the extended period.

- (3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated.

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Destroy when 6 years, 3 months old.

- c. Claims files that are affected by a court order or that are subject to litigation proceedings.

Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.

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).

Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.

- b. Denied waivers.

Destroy with related claims files in accordance with items 10b and 10c of this schedule.

12. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

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Destroy/delete when dissemination, revision, or updating is completed.

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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,

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Expenditures Accounting General Correspondence and Subject Files.

Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.

Destroy when 2 years old.

2. General Accounting Ledgers.

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

Destroy 6 years and 3 months after the close of the fiscal year involved.

3. Appropriation Allotment Files.

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Allotment records showing status of obligations and allotments under each authorized appropriation.

Destroy 6 years and 3 months after the close of the fiscal year involved.

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.

Destroy when 3 years old.

b. Copies.

Destroy when 2 years old.

5. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Plant, Cost, and Stores General Correspondence Files.

Correspondence files of units responsible for plant, cost, and stores accounting operations.

Destroy when 3 years old.

2. Stores Invoice Files.

Invoices or equivalent papers used for stores accounting purposes.

Destroy when 3 years old.

3. Stores Accounting Files.

Stores accounting returns and reports.

Destroy when 3 years old.

4. Stores Accounting Background Files.

Working files used in accumulating stores accounting data.

Destroy when 2 years old.

5. Plant Accounting Files. [See note after this item.]

Plant account cards and ledgers, other than those pertaining to structures.

Destroy 3 years after item is withdrawn from plant account.

[NOTE: Plant accounting cards and ledgers pertaining to structures are not disposable under the GRS. Agencies must submit a Standard Form (SF) 115 to NARA to schedule these records.]

6. Cost Accounting Reports.

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- a. Copies in units receiving reports.

Destroy when 3 years old.

- b. Copies in reporting units and related work papers.

Destroy when 3 years old.

7. Cost Report Data Files.

Ledgers, forms, and electronic records used to accumulate data for use in cost reports.

- a. Ledgers and forms.

Destroy when 3 years old.

- b. Automated records.

- (1) Detail cards.

Destroy when 6 months old.

- (2) Summary cards.

Destroy when 6 months old.

- (3) Tabulations.

Destroy when 1 year old.

8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

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Destroy/delete when dissemination, revision, or updating is completed.

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail

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and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

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) 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.

Destroy when 10 years old.

- 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.

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 3 years after the year in which the transaction is completed.

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.

Destroy when 6 years old.

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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.

Destroy when 6 years old.

- b. Obligation copies.

Destroy when funds are obligated.

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.

Destroy when 2 years old.

- b. Accountability records documenting the issue or receipt of accountable documents.

Destroy 1 year after all entries are cleared.

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.

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 superseded or obsolete.

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[**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.]

6. Non-Federally Funded Travel.

a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive Branch agencies to the Office of Government Ethics. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses for an employee who attends a meeting or similar function relating to official duties.

Destroy when 4 years old.

b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.

Destroy 1 year after submission of report to the Office of Government Ethics.

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.

Destroy when 3 years old.

8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

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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 (SF) 82, which is an annual motor vehicle report required by the Federal Supply Service, 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 (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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Motor Vehicle Correspondence Files.

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. Motor Vehicle Operating and Maintenance Files.

- a. Operating records including those relating to gas and oil consumption,

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dispatching, and scheduling.

Destroy when 3 months old.

b. Maintenance records, including those relating to service and repair.

Destroy when 1 year old.

3. Motor Vehicle Cost Files.

Motor vehicle ledger and worksheets providing cost and expense data.

Destroy 3 years after discontinuance of ledger or date of worksheet.

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.

Destroy 3 years after date of report.

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.

Destroy 6 years after case is closed.

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.

Destroy 4 years after vehicle leaves agency custody.

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.

Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the

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other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

Destroy when 2 years old.

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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.

Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete. 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.

Destroy when 2 years old.

- (2) Copies in subordinate reporting units and related work papers.

Destroy when 1 year old.

3. Directory Service Files.

Correspondence, forms, and other records relating to the compilation of directory service listings.

Destroy 2 months after issuance of listing.

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.

Destroy credentials 3 months after return to issuing office.

- b. Receipts, indexes, listings, and accountable records.

Destroy after all listed credentials are accounted for.

5. Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work is performed or requisition is canceled.

6. Electronic Mail and Word Processing System Copies.

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Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Messenger Service Files.

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

Destroy when 2 months old.

2. Communication General Files.

- a. Correspondence and related records pertaining to internal administration and operation.

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Destroy when 2 years old.

- b. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

Destroy when 3 years old.

- c. Telecommunications statistical reports including cost and volume data.

Destroy when 1 year old.

- d. Telecommunications voucher files.

- (1) Reference copies of vouchers, bills, invoices, and related records.

Destroy when 1 fiscal year old.

- (2) Records relating to installation, change, removal, and servicing of equipment.

Destroy 1 year after audit or when 3 years old, whichever is sooner.

- e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Destroy 2 years after expiration or cancellation of agreement.

3. Telecommunications Operational Files. [See note after item 3b.]

- a. Message registers, logs, performance reports, daily load reports, and related and similar records.

Destroy when 6 months old.

- 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.

Destroy when 2 years old.

[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

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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.

Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.

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.

Destroy when 1 year old.

- b. Application for registration and certification of declared value mail.

Destroy when 1 year old.

- c. Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail.

Destroy when 1 year old.

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.

Destroy when 1 year old.

- 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).

Destroy when 6 months old.

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c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).

Destroy when 6 months old.

d. Statistical reports and data relating to handling of mail and volume of work performed.

Destroy when 1 year old.

e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.

Destroy when 1 year old.

f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

Destroy when 6 months old.

g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.

7. Metered Mail Files.

Official metered mail reports and all related papers.

Destroy when 6 years old.

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.

Destroy 3 years after completion of investigation.

9. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing

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systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

Destroy when 2 years old.

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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.

Destroy 1 year after completion of job.

- b. Files pertaining to planning and other technical matters.

Destroy when 3 years old.

[**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 a Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed.]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.

4. Mailing Lists.

- a. Correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

- b. Card lists.

Destroy individual cards when canceled or revised.

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.

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Destroy when 3 years old.

- b. Copies in subordinate reporting units and related work papers.

Destroy 1 year after date of report.

6. Internal Management Files.

Records relating to internal management and operation of the unit.

Destroy when 2 years old.

7. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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

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transmittals of publications, photographs, and other information literature.

Destroy when 3 months old.

2. Acknowledgment Files.

Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

Destroy 3 months after acknowledgment and referral.

3. Press Service Files.

Press service teletype news and similar materials.

Destroy when 3 months old.

4. Information Project Files.

Information service project case files maintained in formally designated information offices.

Destroy 1 year after close of file or 1 year after completion of project.

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.

Destroy when 3 months old.

6. Indexes and Check Lists.

Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.

Destroy when superseded or obsolete.

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.

Destroy 2 years after date of reply.

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(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.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

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).

Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.

b. Official file copy of records under appeal.

Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later.

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.

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- a. Registers or listing.

Destroy 6 years after date of last entry.

- b. Other files.

Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

14. FOIA Reports Files. [See note after this item.]

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.

Destroy when 2 years old.

[NOTE: The GRS does not cover departmental or agency level annual reports to the Congress. These reports should be scheduled for transfer to the National Archives of the United States by submitting an SF 115 to NARA.]

15. FOIA Administrative Files.

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

Items 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.

Destroy 2 years after date of reply.

- (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.

Destroy 2 years after date of reply.

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(b) Requests appealed.

Destroy as authorized under Item 22.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.

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.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

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.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

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.

Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

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23. Privacy Act Accounting of Disclosure Files.

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

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.

Destroy 5 years after date of last entry.

b. Other files.

Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

25. Privacy Act Reports Files. [See note after this item.]

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.

Destroy when 2 years old.

[NOTE: The GRS does not cover the biennial report to Congress from OMB.]

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.

Destroy when 2 years old.

Items 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.

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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.

Destroy 2 years after date of reply.

(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.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 5 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

b. Official file copy of requested records.

Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.

c. Sanitizing instructions.

Destroy when superseded or when requested documents are declassified or destroyed.

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).

Destroy 4 years after final determination by agency.

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- b. Official file copy of records under appeal.

Dispose of in accordance with approved agency disposition instructions for the related records, or with the related mandatory review request, whichever is later.

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.

Destroy 5 years after date.

- b. Other files.

Destroy 5 years after final action by the agency.

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.

Destroy when 2 years old.

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.

Destroy when 2 years old.

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.

Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.

- b. Files that do not include the official file copy of the released records.

Destroy 6 years after the erroneous release.

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37. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Housing General Correspondence Files.

Correspondence files pertaining to the maintenance and management of housing projects.

Destroy when 2 years old.

2. Housing Maintenance and Repair Files.

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Maintenance and repair records for individual units.

- a. Summary card or ledger record.

Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.

- b. Work orders, requisitions, and related papers involved in repair and maintenance work.

Destroy 3 fiscal years following close of fiscal year in which work is done.

3. Housing Management Files.

Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.

Destroy when 2 years old.

4. Housing Lease Files.

Copies of leases, renewals, termination notices, and related documents.

Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs or (b) litigation is concluded, whichever is later.

5. Housing Assignment and Vacancy Card Files.

- a. Individual tenant cards.

Destroy when tenant vacates unit.

- b. Individual housing unit cards.

Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.

6. Housing Inventory Files.

Furnishing inventory files, pertaining to items included in furnished units.

Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.

7. Housing Application Files (other than copies in lease files).

- a. Rejected application files.

Destroy 1 year from date of rejection.

- b. All others.

Destroy when 2 years old.

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8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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

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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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

b. Case files related to (a) above that document aspects of the development of the issuance.

Destroy when issuance is destroyed.

[**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.]

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.

Destroy 2 years after supersession.

(2) Other records.

Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States,

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whichever is applicable.

- b. Routine correspondence and memoranda.

Destroy when 2 years old.

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.

Destroy 5 years after related form is discontinued, superseded, or canceled.

- b. Background materials, requisitions, specifications, processing data, and control records.

Destroy when related form is discontinued, superseded, or canceled.

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.

Destroy when 3 years old.

- b. Records held by other offices.

Destroy when 1 year old.

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.

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.

7. Records Management Files.

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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.

Destroy when 6 years old.

8. Committee and Conference Files.

- a. Records relating to establishment, organization, membership, and policy of internal committees.

Destroy 2 years after termination of committee.

- b. Records created by committees. [See note after item 8b(2).]

- (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat. [See note after item 8b(1).]

Destroy when 3 years old.

[NOTE: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled by submission of an SF 115 to NARA.]

- (2) All other committee records.

Destroy when 3 years old.

[NOTE: Records created to comply with the provisions of the Government in the Sunshine Act, including transcriptions and minutes of closed meetings, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the act, are permanent records and must be scheduled by submission of an SF 115 to NARA.]

- c. Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information. [See note after this item.]

Destroy 5 years after termination of committee.

[NOTE: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.]

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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.

Destroy 5 years after completion or cancellation of study.

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. [See notes after item 10a.]

Destroy 1 year after the records are transferred to the National Archives of the United States.

[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 of the United States. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]

- b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.

Destroy when 2 years old or when superseded, whichever is later.

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.

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.

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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.

b. Files documenting the processing of semiannual regulatory agenda.

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.]

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.

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.

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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.

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.

[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.]

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.

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.

(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

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internal reviews.]

15. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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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.

Destroy when no longer needed for revision.

2. Reserved.

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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.

Destroy when superseded or after the structure or object has been retired from service.

4. Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.

Destroy when superseded or after the structure or object has been retired from service.

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.

Destroy when the final working/as-built drawings have been produced.

6. Space Assignment Plans.

Outline floor plans indicating occupancy of a building.

Destroy when superseded or after the structure or object has been retired from service.

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.

Destroy when superseded or after the structure or object has been retired from service.

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.

Destroy when superseded or after the structure or object has been retired from service.

10. Paint Plans and Samples. [See note after this item.]

Plans and paint samples for painting all areas of buildings lacking historical,

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architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after the structure or object has been retired from service.

[**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.]

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National Archives and Records Administration General Records Schedules

Transmittal No. 8
December 1998

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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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

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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.

Destroy when 2 years old.

[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.

Destroy when 2 years old.

3. Destruction Certificates Files.

Certificates relating to the destruction of classified documents.

Destroy when 2 years old.

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.

Destroy when 2 years old.

5. Top Secret Accounting and Control Files. [See note after item 5b.]

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

- b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

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Destroy when related document is downgraded, transferred, or destroyed.

[NOTE: Master files and data bases created to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on a Standard Form (SF) 115.]

6. Access Request Files.

Requests and authorizations for individuals to have access to classified files.

Destroy 2 years after authorization expires.

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.

Destroy when superseded by a new form or list or upon turn-in of containers.

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.

Destroy 3 months following the last entry on the form (see note)

[NOTE: Forms involved in investigations will be retained until completion of the investigation.]

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.

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective

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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.

Destroy when 3 years old or upon discontinuance of facility, whichever is sooner.

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.

Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.

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.

Destroy when 2 years old.

12. Property Pass Files.

Property pass files, authorizing removal of property or materials.

Destroy 3 months after expiration or revocation.

13. Guard Assignment Files.

Files relating to guard assignments and strength.

a. Ledger records.

Destroy 3 years after final entry.

b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.

Destroy when 2 years old.

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14. Police Functions Files.

Files relating to exercise of police functions.

- a. Ledger records of arrest, cars ticketed, and outside police contacts.

Destroy 3 years after final entry.

- b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.

Destroy when 2 years old.

- c. Reports on contact of outside police with building occupants.

Destroy when 1 year old.

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.

- a. Ledger files.

Destroy 3 years after final entry.

- b. Reports, loss statements, receipts, and other documents relating to lost and found articles.

Destroy when 1 year old.

16. Key Accountability Files.

Files relating to accountability for keys issued.

- a. For areas under maximum security.

Destroy 3 years after turn-in of key.

- b. For other areas.

Destroy 6 months after turn-in of key.

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.

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Destroy 5 years after final entry or 5 years after date of document, as appropriate.

b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

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).

Destroy when 1 year old.

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.

Destroy when 1 month old.

19. Guard Service Control Files.

a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete.

b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old.

d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule.

a. Central guard office master logs.

Destroy 2 years after final entry.

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- b. Individual guard post logs of occurrences entered in master logs.

Destroy 1 year after final entry.

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.

Destroy when 2 years old.

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.

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.

- 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. Personnel Security Clearance Status Files.

Lists or rosters showing the current security clearance status of individuals.

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Destroy when superseded or obsolete.

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.

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.

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. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms 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 70 years old.

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

Apply the disposition for the official personnel folder.

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

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program, not covered elsewhere in this schedule.

Destroy when 2 years old.

[**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.

Destroy 3 years after issuance of a new plan or directive.

[**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.]

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.

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.

Destroy 5 years after termination from NDER program.

- b. Case files on individuals whose applications were rejected or withdrawn.

Destroy when 5 years old.

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30. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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National Archives and Records Administration General Records Schedules

NOTE: The [GRS 20 Page](#) has information about the Electronic Records Work Group, and the [Records Management Page](#) has additional information about Federal electronic records management initiatives.

Transmittal No. 7
August 1995

General Records Schedule 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records. This schedule applies to disposable 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 disposable 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. Electronic records not covered by GRS 20 may not be destroyed unless authorized by a Standard Form 115 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 2a and 1a (in part) of this schedule apply to hard-copy or microform 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 disposable electronic records whatever the medium in which such documentation and programs exist. This schedule has been revised to include electronically-generated records previously covered in General Records Schedule 23, Records Common to Most Offices. The original numbering of the items in GRS 20 has been preserved. The items moved from GRS 23 have been added at the end, except the item covering administrative data

bases that has been incorporated into item 3.

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Electronic versions of 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. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
- 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. Delete after information has been transferred to the master file and verified.
- 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.

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

2. Input/Source Records.

- a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule. Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.
- 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.

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.

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- 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.

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file

or

database, whichever is later.

- 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.

Delete after the necessary data have been incorporated into

a

master file.

3. Electronic Versions of Records Scheduled for Disposal. a. Electronic versions of records that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5. Delete

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after the expiration of the retention period authorized by the or when no longer needed, whichever is later.

- b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard records authorized by NARA for destruction in an agency-specific records schedule.

copy

specific

- (1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

that

- (2) When the electronic record replaces hard copy records support administrative housekeeping functions.

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

- (3) Hard copy printouts created for short-term administrative purposes.

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Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

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.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]

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:

- a) produced as disclosure-free files to allow public access to the data; or
- b) 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.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

6. Print File.

Electronic file extracted from a master file or data base without

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changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

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.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

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.

Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

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.

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

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

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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.

Delete when related master file or database has been deleted.

11. Documentation.

- a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the or a NARA-approved disposition schedule.

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Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

- b. Copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.

Destroy or delete when superseded or obsolete.

[NOTES: (1) Documentation that relates to permanent or unscheduled master files and data bases is not authorized for destruction by the GRS. (2) See item 1a of this schedule for documentation relating to system testing.]

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, or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other purposes.

operational

- b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the agency determines that they are no longer

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needed for administrative, legal, audit, or other operational purposes.

- 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.

Delete from the receiving system or device when no longer needed for processing.

[NOTE: See item 5 of this schedule for other extracted data.]

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.

Delete from the word processing system when no longer needed for updating or revision.

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.

Delete from the e-mail system after copying to a recordkeeping system.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

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.

Delete when no longer needed to update or produce hard copy.

- b. When maintained only in electronic form.

Delete after the expiration of the retention period

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SF authorized for the hard copy by the GRS or a NARA-approved
115. If the electronic version replaces hard copy records
with differing retention periods and agency software does
not readily permit selective deletion, delete after the longest
retention period has expired.

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Last updated: January 4, 1999

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National Archives and Records Administration General Records Schedules

Transmittal No. 8
December 1998

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

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1. Photographs of Routine Award Ceremonies, Social Events, and Activities Not Related to the Mission of the Agency.

Destroy when 1 year old.

2. Personnel Identification or Passport Photographs.

Destroy when 5 years old or when superseded or obsolete, whichever is later.

3. Internal Personnel and Administrative Training Filmstrips and Slides of Programs that Do Not Reflect the Mission of the Agency.

Destroy 1 year after completion of training program.

4. Reserved.

GRAPHIC ARTS

5. Viewgraphs.

Destroy 1 year after use.

6. Routine Artwork for Handbills, Flyers, Posters, Letterhead, and Other Graphics.

Destroy when no longer needed for publication or reprinting.

7. Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.

Destroy when no longer needed for publication or reprinting.

8. Line Copies of Graphs and Charts.

Destroy when no longer needed for publication or reprinting.

MOTION PICTURES

9. Films Acquired from Outside Sources for Personnel and Management Training.

Destroy 1 year after completion of training program.

10. Reserved.

11. Routine Surveillance Footage.

Destroy when 6 months old.

12. Routine Scientific, Medical, or Engineering Footage.

Destroy when 2 years old.

13. Reserved.

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VIDEO RECORDINGS

14. Programs Acquired from Outside Sources for Personnel and Management Training.

Destroy 1 year after completion of training program.

15. Reserved.

16. Rehearsal or Practice Tapes.

Destroy immediately.

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.)

Destroy 1 year after completion of training program.

18. Routine Surveillance Recordings.

Destroy when 6 months old.

19. Routine Scientific, Medical, or Engineering Recordings.

Destroy when 2 years old.

20. Recordings that Document Routine Meetings and Award Presentations.

Destroy when 2 years old.

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.]

Destroy immediately after use.

[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.

Destroy immediately after use.

24. Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production.

Destroy immediately after use.

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25. Reserved.

26. Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis.

Destroy when 6 months old.

27. Reserved.

RELATED DOCUMENTATION

28. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records.

Dispose of according to the instructions covering the related audiovisual records.

29. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records.

Dispose of according to the instructions covering the related audiovisual records.

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National Archives and Records Administration General Records Schedules

Transmittal No. 8
December 1998

GENERAL RECORDS SCHEDULE 22

Inspector General Records

Prior to issuance of the 1998 edition, the General Records Schedules included in GRS 22 coverage of investigative and audit case files maintained in the Offices of Inspector General (OIG) of civilian agencies other than the Central Intelligence Agency. The National Archives and Records Administration (NARA) first issued a General Records Schedule for OIG records in 1986. Over a period of ten years, NARA (on a case by case basis) granted a number of agencies authority to deviate from the provisions of GRS 22, which in many instances involved scheduling some or all of the records in a series as permanent.

A study of the disposition of OIG records in Federal agencies conducted by NARA demonstrated that GRS 22 does not provide effective disposition authority for most agencies' OIG audit and investigation case files. The many exceptions, exclusions, and deviations approved for agency use demonstrate that for practical purposes the GRS standards no longer had Government-wide application. Also, in some agencies the OIG has assumed additional specialized responsibilities (e.g., the conduct of external audits) which were not reflected in GRS 22. As a result of the study, NARA determined that the disposition of OIG records should not be governed by a General Records Schedule. This approach will ensure that all agency OIG records are properly appraised by NARA.

GRS 22 is therefore WITHDRAWN.

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National Archives and Records Administration General Records Schedules

Transmittal No. 8
December 1998

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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

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.

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Destroy when 2 years old.

[**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).]

Items 2 through 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.]

Destroy or delete when 2 years old.

[**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.]

- b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Destroy or delete when no longer needed for convenience of reference.

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.

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- a. A note or other reminder to take action.

Destroy after action is taken.

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.

7. Transitory Files.

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

- 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.
- 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.
- 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.

Destroy when 3 months old.

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.

Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

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.

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Destroy or delete with the related records.

10. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

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Billing Code: 7515-01U

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

New General Records Schedule, Information Technology Operations and Management
Records; Request for Comments

AGENCY: National Archives and Records Administration.

ACTION: Notice of proposed records schedule; request for comments.

SUMMARY: As required by statute (44 U.S.C. 3303a(d)), the National Archives and Records Administration (NARA) issues General Records Schedules (GRS) to provide disposal authority for temporary administrative records common to several or all agencies of the Federal Government. The GRS include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions. NARA has developed a new General Records Schedule, *Information Technology Operations and Management Records*, to provide disposal authority for certain administrative records generated in or acquired by agency components responsible for developing and operating network infrastructure and systems.

NARA invites public comments on this proposed new general records schedule, as required by 44 U.S.C. 3303a(a). Because of the widespread interest in the management of electronic records, NARA is publishing the full text of the schedule with additional information on each item.

DATES: Comments must be received in writing on or before **[insert date 60 days after date of publication]**.

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ADDRESSES: Comments should be sent to Modern Records Programs (NWM), National Archives at College Park, 8601 Adelphi Road, College Park, MD 20740-6001, faxed to 301-837-3697 or 301-837-3698, or sent to the following Internet address: records.mgt@nara.gov.

FOR FURTHER INFORMATION CONTACT: Michael L. Miller, Director, Modern Records Programs, 301-837-1980.

SUPPLEMENTARY INFORMATION:

In 1978, use of the GRS was made legally mandatory. A Federal agency must destroy records in accordance with the GRS to the greatest extent possible. 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 desired deviation.

Relationship of this draft GRS to GRS 20, Electronic Records

This schedule does not duplicate or replace GRS 20, Electronic Records. The proposed new schedule addresses the administrative records generated by units responsible for technical management of IT resources. The functions covered by the proposed GRS 24 are comparable to the administrative functions relating to budgeting, contracting, human resources, and property management that are covered by other GRS. The proposed GRS 24 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.

GRS 20 remains in effect to cover the records described in that schedule. GRS 20 records include certain files associated with temporary data base management systems such as print files, extract files, source records, and certain disposable electronic records produced by end users in office automation applications. NARA will conduct a separate review concerning the

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continuation of GRS 20 disposition authorities as part of its comprehensive review of the policies and procedures for scheduling and appraisal of records in all formats.

Background – Development of this draft GRS

In late 1997, the Archivist established an interagency Electronic Records Work Group to review General Records Schedule 20 and recommend revisions to that schedule or other practical solutions for the scheduling of electronic records. In 1998, the work group submitted its final report to the Archivist (<http://www.nara.gov/records/grs20/reprt914.html>) recommending, among other things, that NARA issue a new general records schedule for information technology operations and management records to supplement, not replace, GRS 20.

Building on the efforts of the Work Group, NARA drafted a new GRS for common administrative records relating to operation and management of information technology and related services. Federal agencies reviewed the draft in the summer of 1999. The draft, revised in response to agency comments, was discussed at a January 2000 focus group meeting with agency records management and information technology management officials. NARA made appropriate changes in response to comments made at the meeting and in June 2000 again requested comments from Federal agencies.

Overall, agencies found that the schedule draft they reviewed in 2000 generally fits their records and could be implemented without undue difficulty. In response to specific comments about terminology, apparent redundancies, and retention periods for some items, NARA consolidated some items and provided other clarifications to address the concerns. NARA believes the schedule is now at the appropriate level of detail. Given the agencies' interest in having more flexibility in applying disposition standards for temporary records,

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NARA eliminated the cutoff instructions and reworded some of the disposition instructions to allow agencies disposition options based on their internal procedures and operations. NARA clarified that the schedule covers only the temporary administrative records described in the various items. It does not cover all records maintained by Information Technology (IT) management organizations. Agency responsibilities to schedule records documenting unique agency programs should now be more apparent.

On the advice of the Office of Management and Budget, in October 2001 NARA requested one last Federal agency review of this notice containing the proposed schedule and explanatory information for each item. This information includes the records appraisal analysis normally provided in a separate appraisal memorandum. Based on comments received in October, NARA made some changes for clarification and elimination of redundancies. Federal agencies should note that the disposition instructions for items 1a and b, 2, 9b, 12b, and 13b, and the description for items 1b, 3b, 4a and b, 6a and b, 9a and b, 12a, and 13 were modified in response to the comments on the October 2001 draft. In addition, former item 8b was incorporated into former item 9, and former items 8a and 11 were deleted. The remaining schedule items were renumbered accordingly.

Throughout the process of developing and refining this new GRS, NARA representatives consulted with agency records officers and IT officials to resolve questions and clarify coverage of items. NARA analysts also reviewed records both within NARA and in a number of other agencies to ascertain the content of files. The information gathered during these consultations and examination of records is reflected in the appraisal analysis following each item.

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Given the multiple reviews by Federal agencies, NARA believes that this schedule will be useful and relevant to agencies. NARA now invites public comment on this proposed new General Records Schedule for Information Technology Operations and Management Records. Following is the complete text of the proposed GRS. The explanatory information and appraisal analysis is provided in brackets at the end of each item.

GENERAL RECORDS SCHEDULE 24 --

INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS

INTRODUCTION

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

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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.

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.

Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

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

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- data measuring or estimating impact and compliance

Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

[NOTE: See item 3b for performance files relating to systems.]

[Appraisal analysis: Item 1a covers such records as statistical performance data concerning system (and network) operations, including process steps or paths, time required for completion, and event or error indicators. These records include system availability reports that draw upon sample performance indicators to measure overall system performance. The retention period for this item relates to the “5 year plans” typically associated with IT systems.

Item 1b covers such materials as target IT architecture reports, systems development lifecycle handbooks, computer network assessments and follow-up documentation, authority to operate records, and certification and accreditation of equipment. These records are critical to the proper functioning of systems. Network assessments, for example, are conducted at regular intervals, and in cases where performance is found to be in need of improvement, the agency institutes a process to change or upgrade network equipment, configuration, or other components. Records under this item typically take the form of structured reports. Examples include contractor evaluation reports and other quality assurance records, market analyses and performance surveys, and benefit-cost analyses. Agencies may also maintain other compliance reviews including related analyses such as histograms illustrating trends across time for various groups, activities, and systems, and follow-up correspondence and corrective action reports.

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The proposed dispositions for these will ensure the availability of records for a period of time that is sufficient to allow adequate systems management and will also ensure the preservation of records identifying problems until the problems have been resolved.]

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.

Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.

[Appraisal analysis: These records document the control and operation of buildings and rooms where IT equipment, systems, and storage media are located. Files include listings of facilities, trouble reports, reports on site visits and inspections, and service histories for equipment. Also included are copies of agency directives and lines of authority relating to such matters as facility operations, physical security of facilities, environmental security, including documents on fire prevention and control, electric power supply protection, magnetism protection, and “good housekeeping” procedures for protection against dust, dirt, and fire hazards.

These records need only to be kept for a relatively short period of time to satisfy administrative and operational needs. The proposed three-year retention period is

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adequate to ensure that IT operations are carried out in an environment that meets all applicable standards.

Records documenting control and operation of facilities that are maintained by units responsible for facilities management and physical security are retained for varying periods of time in accordance with other GRS items (e.g., GRS 18, items 9 and 10) and individual agency schedules.]

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.

Destroy/delete 1 year after completion of the next inventory.

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:

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- (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.

Destroy/delete 1 year after termination of system.

- (2) Records of 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.

Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

[Appraisal analysis: This item covers routine administrative records relating to existing IT systems, such as inventories of assets, including equipment control systems, databases of barcodes affixed to physical assets, work orders and service histories on maintenance of network infrastructure, and reports and other files relating to system implementation and modification. Detailed information is found in bar code reports, asset management guides, requests for services, requisitions for equipment, leases, change orders, purchase orders, property transfer control systems, flow reconfiguration requests, standardization requests and justifications. Other records include listings of devices such as routers, hubs, switches, and servers, described by make and model, location, and pertinent capacity and configuration information.

These records differ from those covered by item 11. The records under item 3 relate

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to the ongoing maintenance and management of existing IT assets. The records under item 11 relate to the acquisition and implementation of new systems.

The proposed retention period in item 3a is appropriate since only current inventories are needed. Note that documents (or sections of documents) that are unchanged from prior inventories but that remain valid are kept in conjunction with current inventories. The proposed disposition instructions for item 3b(1) reflects the business need to retain for the life of a system detailed reports and data concerning the implementation, modification, and upgrading of systems infrastructure. For item 3b(2), the proposed disposition enables disposal of system maintenance records when three years old or one year after termination of the system, whichever is sooner. This will enable the agencies to ensure that proper maintenance procedures have been followed and to allow for any follow-up activities. If any maintenance activities have a major impact on a system, or lead to a significant change, those activities should be documented in item 3b(1).]

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) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

(2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

[NOTE: See GRS 20, item 8, for backups of master files and databases.]

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- 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.

Destroy/delete when superseded or obsolete.

[**Appraisal analysis:** This item pertains to records accumulated to ensure the ability to resume operations in the event of a system failure. Item 4a covers incremental and full system backup tapes maintained for potential system restoration. It is distinguished from GRS 20, item 8, Backups of Files, which covers security copies of the substantive contents of master files and databases. The GRS 24 item applies to an IT shop's backups of system software (which, due to system configuration, may also include substantive data separately covered under GRS 20, item 8). Item 4b applies to Tape Library records including automated files and manual records controlling location maintenance, and disposition in a tape library of the records covered by item 4a, including lists of holdings and control logs. These records include "vault lists," and other reports listing all back-up medium, documents certifying the completion of backup processes, and other run tasks and differential backup activities. Tape libraries also maintain the addresses of offsite storage facilities, and "bin" location within storage facilities.

Agencies may produce backups for purposes other than system restoration. Master file and database backups, which are produced to ensure against the loss of documents and other data, remain covered by GRS 20, item 8, Backups of Files. Item 4a of this schedule pertains to backups implemented by systems administrators to ensure the ability to restore the entire system in the event of a major network failure.

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The proposed GRS provides that incremental back-up tapes be destroyed when superseded or when no longer needed for system restoration. This disposition instruction allows agencies to keep only the current incremental backup or to retain it as long as the agency considers it may be needed for system restoration. Agencies will keep at least one additional backup of the full system, for security purposes. As for the incremental backups, agencies decide if the basic retention period is sufficient and may keep full backups for as long as they may be needed for system restoration. The disposition instruction for records used to control the location, maintenance, and disposition of magnetic media in a tape library provides for destruction when they are superseded, obsolete, or no longer needed. This authorization is appropriate because agencies need only the current, accurate information on the location and status of backup tapes.]

5. Files Related to Maintaining the Security of Systems and Data.

a. System Security Plans and Disaster Recovery Plans.

Destroy/delete 1 year after system is superseded.

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.

Destroy/delete 1 year after system is superseded.

[Appraisal analysis: Item 5a provides disposal authority for records that outline official procedures for securing and maintaining IT infrastructure, typically system security plans, disaster recovery plans, and continuity of operations plans. The files include such records as published computer technical manuals and guides, examples and references used to produce guidelines covering security issues related to specific systems

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and equipment, records on disaster exercises and resulting evaluations, network vulnerability assessments, risk surveys, and other studies, such as formal security vulnerability assessments conducted by IG offices. These records relate to the specific systems for which they were written. System replacements will have new security and risk management requirements that may be totally different because of the architecture of the replacement system. The disposition instruction for item 5a provides for maintenance of the records to ensure a continuity of security controls throughout the life of the system.

Item 5b covers analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Examples of specific documents are automated information systems security directives and computer virus handbooks.

Records covered by GRS 18, item 27 may appear similar, but GRS 18 relates to plans developed to protect life and property and GRS 24 covers records relating specifically to the security of IT systems. The retention period for these records reflects the need to retain records while a system is current and provides for review of documentation for superseded systems in connection with ensuring adequate protection for new systems.]

6. User Identification, Profiles, Authorizations, and Password Files.

EXCLUDES 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. Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.
- b. Routine systems, i.e., those not covered by item 6a.

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See GRS 20, item 1c.

[**Appraisal analysis:** Item 6a provides disposition instructions for user identification records, including user profiles and passwords associated with systems requiring special accountability, such as systems containing information that is security classified. The item authorizes the destruction of records concerning user identification six years after a user account is terminated or password is altered, or when it is no longer needed for security purposes, whichever is later. This will permit agencies to retain user identification records associated with highly sensitive or potentially vulnerable systems in order to provide historical data that may be needed in support of investigations or litigation arising from inappropriate access.

Records covered under item 6b include records such as user passwords and profiles for those systems not requiring special accountability. The records in these systems are typically system generated according to preset requirements. A system may, for example, prompt users for new passwords every 90 days for all users. These records are covered by GRS 20, Item 1c.]

7. Computer Security Incident Handling, Reporting and Follow-up Records.

Destroy/delete 3 years after all necessary follow-up actions have been completed.

[**Appraisal analysis:** This item covers records relating to attempted or actual system security breaches, including break-ins (“hacks”), virus threats, improper staff usage, failure of security provisions or procedures, and potentially compromised information assets.

These records typically consist of narrative reports and background documentation relating to individual events or issues. These records include references to unauthorized

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intrusions, web site defacement, misuse of system resources, and other incidents noted by the Federal Computer Incident Response Center (FedCIRC, <http://www.fedcirc.gov>).

Retaining records for 3 years after all follow-up actions, including judicial procedures, have been completed ensures the availability of active case records and provides an adequate amount of time after a case is closed for any necessary follow-up action. Any significant incidents (e.g., a major system failure or compromise of critical government data) would be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.]

8. IT Operations Records.

- a. Workload schedules, run reports, and schedules of maintenance and support activities.

Destroy/delete when 1 year old.

- b. Problem reports, proposals for changes and related decision documents relating to the software infrastructure of the network or system.

Destroy/delete 1 year after problem is resolved.

- 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.

Destroy/delete when 3 years old.

[**Appraisal analysis:** Item 8a includes workload schedules, run reports, including cycle time reports, schedules of maintenance, and related records. It is generally agreed within the Federal IT community that the value of these voluminous records expires after one year.

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Item 8b covers problem reports, proposals for changes and related decision documents relating to the software infrastructure of a network or system. The retention period proposed for these records will satisfy the administrative and operational needs of IT offices by ensuring the retention of records relating to issues until they have been resolved.

Item 8c covers reports on operations, including measures of benchmarks, performance monitoring, and management reports. Agencies indicated that the proposed retention period would meet their administrative and operational requirements for these routine files.]

9. Financing of IT Resources and Services.

[NOTE: Copies of records needed to support contracts should be filed in procurement files, which are scheduled under GRS 3.]

- 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.

Destroy/delete 3 years after agreement is superseded or terminated.

- 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.

Destroy/delete 3 years after control measures or procedures are superseded or terminated.

- 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

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EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.

Destroy/delete records with no outstanding payment issues when 3 years old.

[**Appraisal analysis:** These records include agreements formalizing performance criteria for quantity and quality of service, files related to managing third-party services, and records generated in IT management and service operations, financial records including service level agreements defining service and support levels in quantified terms workload, hardware, software, as well as ad hoc reports documenting the continued validity of financial agreements. Records also include documentation related to contractor award fee for superior service.

These records relate to financial management, not IT equipment and services per se, and should be kept for three years after agreements, procedures, and payment issues are superseded, terminated, or resolved, as applicable. This retention period reflects normal audit cycles. These files are kept by IT offices to support their role in the acquisition of and payment for computer software and services. Records pertaining to these subjects that are needed to protect legal rights, address fiscal concerns, and/or provide Government accountability are maintained in procurement and finance offices in accordance with other GRS items or agency schedules.]

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.

Destroy/delete 1 year after record is superseded or obsolete.

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- 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.

Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

[Appraisal analysis: The records covered by Item 10 relate to providing customer service and individual support to customers. Included are such records as pamphlets and Frequently Asked Questions, help desk logs and incident reports, “help desk tickets,” user guides, trouble reports, customer queries, feedback records, and trend analyses. These document end-user inquiries and requests for assistance.

These voluminous records are critical to the effective operation of IT systems. However, they have administrative value for only a brief period of time. This item will authorize destruction of customer service records such as pamphlets and lists of “frequently asked questions” (FAQs) one year after the record is superseded or obsolete and that help desk logs and other files related to customer query, feedback, and analysis be destroyed when one year old. The recommended disposition instructions will satisfy the administrative and operational needs of IT offices, including the need to dispose of these files in a timely fashion.]

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:

- Requirements for and implementation of functions such as
 - Maintaining network servers, desktop computers, and other hardware

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- Installing and upgrading network operating systems and shared applications
- Providing data telecommunications
- Infrastructure development and maintenance such as
 - Acceptance/accreditation of infrastructure components
 - Analysis of component options, feasibility, costs and benefits
 - Work associated with implementation, modification, and troubleshooting
- Models, diagrams, schematics, and technical documentation
- Quality assurance reviews and test plans, data, and results.
 - a. Records for projects that are not implemented.

Destroy/delete 1 year after final decision is made.
 - b. Records for projects that are implemented.

Destroy/delete 5 years after project is terminated.
 - c. Installation and testing records.

Destroy/delete 3 years after final decision on acceptance is made.

[NOTE: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this

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item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

[**Appraisal analysis:** These records pertain to individual new enterprise projects designed to provide and support agency IT infrastructure. IT infrastructure includes the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Included are hardware, software, and the services necessary to design, implement, and maintain such components. This item covers records concerning the infrastructure of IT operations. These records do not document programs fundamental to an agency's mission nor the IT systems utilized by agencies in carrying out their distinctive functions. Rather, these records are clearly administrative in nature and are of the same character throughout the Government. Records include developmental records such as quality assurance plans, requirement specifications, technology refresh plans, operational support and test plans, final operational support plan, and post installation reviews and briefings. These records differ from those found in Item 3 above. Item 3 is concerned with the ongoing maintenance and management of existing IT assets. Item 11 is concerned with the acquisition and implementation of new operating systems.

The disposition instruction for item 11a provides that records for projects that are not implemented be destroyed/deleted one year after a final decision has been made. This retention period is appropriate. If a proposed project is rejected, there is no need to retain the related records for an extended period of time. In accordance with Item 11b, records for projects that are implemented are to be destroyed five years after the project terminates. This proposed retention period will ensure that records germane to a requirement are available while the requirement is still current and for a period of time thereafter for use in developing

new projects. In item 11c, installation and testing records are proposed for destruction or deletion 3 years after the final decision on acceptance is made. This retention period will ensure the availability of records should problems develop and is also consistent with audit cycles.]

12. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made.

Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

[Appraisal analysis: This item will provide disposal authority for electronic mail (email) and word processing records used solely to produce records described in GRS 24, after a recordkeeping copy has been produced, and electronic copies of records described in GRS 24 used solely for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. In 1998 NARA added an item with the same wording as this item 12 to

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GRS 1-16, 18, and 23. Item 12 is in keeping with the authority that exists throughout the GRS to dispose of email and word processing copies of records within the scope of each GRS.

Agencies should use agency specific schedules developed following the guidance in NARA Bulletin 2001-03 or GRS 20 Items 13 and 14 to dispose of email and word processing copies of other information technology records (i.e., records not covered by this GRS) that are not required for recordkeeping purposes. Please note that neither this item in GRS 24, the identical items in other GRS, nor GRS 20, items 13 and 14, apply to the copies of email and word processing records that are designated for recordkeeping purposes.]

Dated:

Michael J. Kurtz,

Assistant Archivist for Records Services – Washington DC.