TO: Heads of Federal agencies

1. What does this document do?

GRS Transmittal 23 announces changes to the General Records Schedules (GRS) made since Transmittal 22 was published in April 2010. The General Records Schedules provide mandatory disposition instructions for administrative records common to several or all Federal agencies.

The GRS, over the course of a five-year project, is being entirely rewritten. The master plan for that project was published under memo AC02.2013. The plan has since morphed in some details but its major outlines remain solid.

2. What is GRS Transmittal 23 and how do I use it?

GRS Transmittal 23, attached to this memorandum, contains:

- five new schedules, each with schedule-specific FAQs and a crosswalk from new to old schedules
- old schedules annotated to show which items are still authoritative and which are superseded by items in new schedules
- a crosswalk for old to new GRS items
- four FAQ documents (general; about the GRS Update Project; about the impact of the new GRS on agencies; and about how, when, and the process by which agencies may deviate from the GRS), and
- a checklist for implementing the new GRS, to assist agencies in completing all the actions this Transmittal requires.

3. What changes have been made to the GRS?

Transmittal 23 publishes five new schedules:

GRS 1.1 Financial Management and Reporting Records (DAA-GRS-2013-0003)
GRS 1.2 Grant and Cooperative Agreement Records (DAA-GRS-2013-0008)
GRS 3.1 General Technology Management Records (DAA-GRS-2013-0005)
GRS 3.2 IT Systems Security (DAA-GRS-2013-0006)
GRS 4.3 Input Records, Output Records, and Electronic Copies (DAA-GRS-2013-0001)

These schedules replace portions of old GRS 3, 4, 6, 7, 8, 9, 12, 16, 20, 23, and 24.

The most obvious changes are in format:

	Old GRS	New GRS
Schedule numbers	**Simple succession**: 1, 2, 3, etc.	**Decimal**: 1.1, 1.2, 1.3, etc. Schedules of related topics are linked by sharing the same number to the

		left of the decimal point but differentiated by the number to the right of the decimal point.
Item numbers	**Alpha-numeric hierarchy**, for instance 1a1, 1a2, 2a1a, 2a2b.	**Three digits**, for instance 010, 020, 030. Closely related items sharing some description in common are numbered in immediate succession, such as 030, 031, 032, etc.
Layout	**Narrative paragraphs**. Read "down" to go from records description to records disposition.	**Table**. Read "across" to go from records description to records disposition.
Subject Index	**Index** was last updated in 2008. Even then, it was not thorough, and its usefulness was linked to paper format.	**No index**. Citations to new GRS items are not included in the current index, which will be phased out over time. Search for key words in pdf file instead.

Because the entire change from old to new is taking place gradually over five years, the GRS during this interim period will necessarily include both old and new formats. New schedules (decimal numbers, table format) come first in the new transmittal, followed by the old schedules ("straight" numbers, narrative format) annotated to show which items are still current and which have been superseded by new schedules.

4. What GRS items are rescinded by Transmittal 23?

Many old GRS items are superseded by new GRS items. A few old items, however, have outlived their usefulness and cannot be crosswalked to new items. Therefore, these items are rescinded by Transmittal 23. Full explanation of why items have been rescinded is discussed in the FAQs for the new schedule to which they are most closely related.

GRS	Items	Title	FAQ in which discussed
3	3b	Obligation copy of routine procurement files	1.1
3	15a	Contract appeal case files prior to October 1979	1.1
3	16	Contractor's statement of contingent or other fees	1.1
6	2	GAO exceptions	1.1
6	6a1-6a2	Federal personnel surety bonds	1.1
6	6b	Other bonds	1.1
6	9	Telegrams supporting telegraph bills	1.1
8	7b1-7b3	Cost report data files	1.1
20	2a1-2a3	Input/source records: certain hard copy records	4.3
20	3a 3b1-3b5	Electronic records replacing temporary hard copy records	4.3
20	3.1	Electronic records replacing permanent hard copy records	4.3

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

5. How do I cite new GRS items?

When you send records to a Federal Records Center for storage, you should cite its legal authority: the "DAA" number in the "Disposition Authority" column of the table. For instance: DAA-GRS- 2013-0001-0004. For informal purposes, cite by schedule and item number. The above DAA number equates to "GRS 4.3, item 020."

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

NARA regulations (36 CFR 1226.12(a)) require agencies to disseminate GRS changes within 6 months of receipt.

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

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

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

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

The complete current GRS, in PDF format, can be downloaded from NARA's web site at http://www.archives/gov/records-mgmt/grs/index.html.

8. Whom do I contact for further information?

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

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

DAVID S. FERRIERO
Archivist of the United States

Errata

On September 12, 2014, NARA published notice of the dissemination of GRS Transmittal 23 in the Federal Register. This updated issuance dated September 25, 2014 corrects the errors listed below.

page 45	GRS 3.2 crosswalk now includes item 010 superseding GRS 20 item 11b, and item 030 superseding GRS 24 item 6b.
page 94	GRS 3 item 3c now shows it is superseded by GRS 1.1 item 011.
page 127ff	Numerous items in GRS 14 and 18, and one item each in GRSs 23 and 27 were shown in the first issuance as superseded by GRS 4.2. GRS 4.2 has not yet been issued. These items are now shown as still active.
page 210	GRS 20 item 11a1 now shows it is superseded by GRS 3.1 item 051. GRS 20 item 11a2 now shows it is superseded by GRS 3.1 item 050.
Various	Minor spelling errors have been corrected.

The General Records Schedules

Transmittal 23

September 2014

National Archives and Records Administration
www.archives.gov

Table of Contents

Page

1.0 Finance
- 1.1 Financial Management and Reporting Records 4
  - FAQs 10
  - Crosswalk, new to old schedules 14
- 1.2 Grant and Cooperative Agreement Records 15
  - FAQs 18
  - Crosswalk, new to old schedules 22
- 1.3 Budgeting Records (*not yet issued*)

2.0 Human Resources
- 2.1 Employee Acquisition Records (*not yet issued*)
- 2.2 Employee Management Records (*not yet issued*)
- 2.3 Employee Relations Records (*not yet issued*)
- 2.4 Employee Compensation and Benefits Records (*not yet issued*)
- 2.5 Employee Separation Records (*not yet issued*)
- 2.6 Employee Training Records (*not yet issued*)
- 2.7 Employee Health and Safety Records (*not yet issued*)
- 2.8 Employee Ethics Records (*not yet issued*)

3.0 Technology
- 3.1 General Technology Management Records 23
  - FAQs 31
  - Crosswalk, new to old schedules 36
- 3.2 Information Systems Security Records 37
  - FAQs 42
  - Crosswalk, new to old schedules 45

4.0 Information Management
- 4.1 Records Management Records (*not yet issued*)
- 4.2 Information Access and Protection Records (*not yet issued*)
- 4.3 Input Records, Output Records, and Electronic Copies 46
  - FAQs 51
  - Crosswalk, new to old schedules 59
- 4.4 Library and Special Collections Records (*not yet issued*)

5.0 General Operations Support
- 5.1 General Administrative Records (*not yet issued*)
- 5.2 Operational Planning Records (*not yet issued*)
- 5.3 Travel and Transportation Records (*not yet issued*)
- 5.4 Facilities, Fleet and Equipment Records (*not yet issued*)

5.5 Mail and Telecommunications Services Records (*not yet issued*)
5.6 Security Records (*not yet issued*)
5.7 Management Controls and Oversight Records (*not yet issued*)
5.8 Internal Help Desk Services Records (*not yet issued*)

6.0 Mission Support
6.1 Capstone Electronic Mail Records (*not yet issued*)
6.2 Federal Advisory Committee Records (*not yet issued*)

(Old) General Records Schedules 1-27 60

Crosswalk, old GRS to new GRS 207

Frequently Asked Questions (FAQs)
General FAQs 215
FAQs about the GRS Update Project 218
FAQs about the Impact of the New GRS on Agencies 222
FAQs about GRS Deviations 224

Checklist for Implementing the GRS 228

GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

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

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

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, which will likely reappear as new GRS 10.3.

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

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

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.** Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.	Official record held in the office of record	**Temporary**. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001
011	**Procuring goods and services** is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:	All other copies	**Temporary**. Destroy when business use ceases.	DAA-GRS-2013-0003-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• contracts • requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • data submitted to the Federal Procurement Data System (FPDS) • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations **Collecting debts** includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as: • records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including: o cash register transaction records		

Item	Records Description		Disposition Instruction	Disposition Authority
	o credit card and charge cards receipts o records documenting deposits o records documenting allocation of fees to funds/accounts o deposit lists and logs o customer orders o revolving fund records • fee and fine collection records • garnishments • Sale of excess and surplus personal property • fee or rate schedules and supporting documentation • out-leases of Federal property • debt collection files and cash receipts • writeoffs • copies of checks • payment billing coupons • letters from lenders • payment records • money orders • journal vouchers • collection schedules **Accounting** is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as: • accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes: o statements of transactions o statements of accountability o collection schedules and vouchers o disbursement schedules and vouchers			

Item	Records Description	Disposition Instruction	Disposition Authority
	• vouchers • certificates of closed accounts • certificates of periodic settlements • general funds files • general accounting ledgers • appropriation, apportionment, and allotment files • posting and control files • bills of lading • transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms **Note 1**: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA. **Note 2**: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians. **Note 3**: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.		
020	**Records supporting compilation of agency financial statements and related audit, and all records of all other reports.** Includes records such as: • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers	**Temporary**. Destroy 2 years after completion of audit or closure of financial statement /accounting treat-ment/issue, but longer retention is	DAA-GRS-2013-0003-0011

Item	Records Description	Disposition Instruction	Disposition Authority
	• interim, quarterly and other reports	authorized if required for business use.	
030	**Property, plant and equipment (PP&E) and other asset accounting**. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: • purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers **Exclusion**: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.	**Temporary**. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0004
040	**Cost accounting for stores, inventory, and materials.** Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as: • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures	**Temporary**. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0012

Item	Records Description	Disposition Instruction	Disposition Authority
	• cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts • receiving, inspection, and acceptance documentation		
050	**Construction contractors' payroll files**. Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.	**Temporary**. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0003

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

INTRODUCTION

1. What is the purpose of GRS 1.1?

The purpose of this schedule is to provide disposition authority for records created and received in the course of carrying out an agency's financial management and reporting responsibilities.

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

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

CHANGES FROM THE OLD GRS

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

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

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

4. Why are some old GRS items rescinded?

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

GRS item	Series title	Explanation
GRS 3/3b	Routine Procurement—Obligation copy	This copy of a multi-copy form was to keep an obligation on the radar screen until funds were in fact obligated. Hard copies no longer exist in the e-system work-process pipeline.
GRS 3/15a	Contract Appeals Case Files created prior to October 1979	No longer needed because all such records should have been destroyed as of 1986.
GRS 3/16	Contractor's Statement of Contingent or Other Fees	SF 119 is no longer in the GSA forms library. FAR was amended (see FAR case 93-009, published in the Federal Register November 13, 1995) to state that

		these statements are no longer required.
GRS 6/2	GAO Exceptions Files	SF 1100 no longer exists.
GRS 6/6a1 GRS 6/6a2 GRS 6/6b	Federal Personnel Surety Bond Files	According to 31 USC 9302, surety bonds posted by the government concerning Federal personnel were discontinued by Public Law 97-258 in 1982.
GRS 6/9	Telegrams filed to support telegraph bills	These no longer exist.
GRS 8/7b1 GRS 8/7b2 GRS 8/7b3	Cost Report Data Files: Detail cards Cost Report Data Files: Summary cards Cost Report Data Files: Tabulations	These three items are unchanged since GRS 8 was first published in 1952. They refer to an ancient system of electronic tabulation via key-punch cards. The records are no longer created nor have they been for possibly three decades. No records are in FRCs.

QUESTIONS RELATED TO ITEM 010

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

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

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

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

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

It depends. The GRS permits business-purpose retention beyond 6 years. If your agency updates its manual to cite new GRS 1.1, item 010, as the authority for its 7-year retention, you do not need to notify NARA. If your agency has a previously approved deviation-from-the-GRS authority (such as a big bucket schedule item that merges financial management records with other series) and wishes to continue

using that authority to mandate agency-wide 7-year retention, it must notify NARA of this fact. In part, this is because the agency will be retiring records to storage under its own authority citation rather than the GRS authority citation. Federal Records Centers receiving these records need to know what agency items are authoritative.

QUESTIONS RELATED TO ITEM 011

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

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

QUESTIONS RELATED TO ITEM 020

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

Agency financial statements have been required from all agencies since 1997 per the Government Management Reform Act (1994) section 405, now codified in 31 CFR 3515. Only a few agencies have scheduled these records, with wide disparity in retention periods. They are also sometimes scheduled as part of a larger series of reporting records that include more than financial reporting. We were unable to determine a universally applicable value to these records by the time of publication of this schedule and did not wish to hold up the schedule while waiting to resolve the one issue. We may, however, be able to revisit this at a future time.

QUESTIONS RELATED TO ITEM 030

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

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

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

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

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

GENERAL RECORDS SCHEDULE 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	**Grant and cooperative agreement program management records.** Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as: • background files o Program Announcements o Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices o Requests for Proposals • application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity) • application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity) **Note**: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.	**Temporary**. Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0008-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	Exclusion 1: Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. **Exclusion 2**: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.			
020	**Grant and cooperative agreement case files.** Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to: • applications, forms, and budget documents • evaluation reports, panelist comments, review ratings or scores • Notice of Grant Award or equivalent and grant terms and conditions • state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding) • amendment requests and actions, if any • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation • summary reports and the like **Note**: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records. **Exclusion**: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.	**Successful applications**.	**Temporary.** Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0008-0001
021		**Unsuccessful applications**.	**Temporary**. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0008-0006
022		**All other copies**.	**Temporary**.	DAA-GRS-

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	Legal citation: 31 U.S.C. 3731(b), False Claims Act	Copies used for administrative or reference purposes.	Destroy when business use ceases.	2013-0008-0002
030	**Final grant and cooperative agreement products or deliverables.** The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a: • report, study, or publication • conference paper and/or presentation • book, journal article, or monograph • training material, educational aid, or curriculum content • plan, process, or analysis • database or dataset • audio, video, or still photography • website content or other Internet component • documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype) • software or computer code **Note 1**: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes. **Note 2:** If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.		**Temporary**. Destroy when business use ceases.	DAA-GRS-2013-0008-0003

Frequently Asked Questions (FAQs) about GRS 1.2, Grant and Cooperative Agreement Records

GENERAL

1. What is the purpose of GRS 1.2?

The purpose of this schedule is to provide disposition authority for records related to the process of announcing, selecting, and monitoring grants and cooperative agreements. Records related to this function include:

- Program announcements
- Application files
- Case files
- State plans
- Final products or deliverables

This schedule does not, however, provide disposition for financial transaction records related to administering grants unless they are copies maintained in the program case files. Nor does it cover policy records related to grant and cooperative agreement programs, or government-wide systems like GRANTS.GOV and USASPENDING.GOV that are involved in the grant process.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 1.2 differ from the old GRS?

GRS 1.2 is different from the old GRS in that it expands the types of records related to grants and cooperative agreements. Previously, the GRS only covered grant administrative files and unsuccessful grant applications. The new GRS better defines and expands the scope of administrative files related to grant and cooperative agreement programs, and it now covers successful as well as unsuccessful grant application case files and final products and deliverables.

DEFINITION OF TERMS USED IN THIS SCHEDULE

4. What is the difference between a grant, a cooperative agreement, and a contract in the context of this schedule?

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal government to an eligible grantee. The principle purpose of a grant is to transfer a thing of value from a Federal agency to a state or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant, but differs from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient to carry out the activity contemplated by the award (31 U.S.C.

6305). Contracts are used to acquire property or services for the direct benefit or use of the Federal government.

GENERAL QUESTIONS

5. Why are financial records related to grants and cooperative agreements not included in this schedule?

Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs are covered by GRS 1.1. To include them in this schedule would be duplicative and confusing, and would render the records susceptible to inconsistent retention and disposition.

6. Why are grant and cooperative agreement program policy records not included in this schedule?

Grant and cooperative agreement program policy records can include information that documents how agencies make decisions about grants and cooperative agreements. In some cases there may be legal or business use reasons these records need to be kept for a longer period of time than less significant records. Some of these records could also be of permanent value. Due to the variable business use and value of policy records, it was impossible to determine a government-wide disposition for these records. An agency must either apply an existing approved agency schedule or submit an agency-specific schedule to NARA for these records.

7. Why are government-wide systems such as GRANTS.GOV and USASPENDING.GOV not included in this schedule?

GRANTS.GOV is owned by the Department of Health and Human Services (HHS). HHS has scheduled the web version of material posted there by other agencies as temporary, assuming agencies manage that content as records in their own records-management environments. The web version has the unique and sole business purpose of making grant information available to the public for a relatively short period of time.

USASPENDING.GOV is owned by the Office of Management and Budget (OMB). It contains copies of records posted by other agencies. These copies ingested from across all government combine to create a totality of records with a new business purpose, different from the business purpose for which they exist at the creating agency. OMB is responsible for scheduling that unique totality of records in USASPENDING.GOV.

QUESTIONS RELATED TO ITEM 010

8. Why is the retention for Grant and Cooperative Agreement Program Management records increased from 2 years to 3 years?

This item broadens the scope of program management records covered by old GRS 3, item 14: routine correspondence and subject files relating to grant administration. Item 010 includes records related to the coordination, implementation, execution, monitoring, and completion of programs, such as background files, application packages (e.g., blank forms, instructions, guidelines, templates, checklists, and evaluation criteria), and application evaluation files (e.g., panel composition, correspondence, and instructions). Because item 010 covers a wider range of records, it was necessary to increase the

retention by one year compared to the old GRS. Many of the records in item 010 previously would have been scheduled by agency-specific schedules. Item 010 therefore has the advantage of giving one retention period for all administrative and operational program records, which is simpler to apply and sufficient to meet the needs of most agencies.

QUESTIONS RELATED TO ITEM 020

9. Why are successful applications now included in the GRS?

NARA has determined, based on research and experience with reference usage of accessioned grant case files, that these records do not generally warrant permanent retention. They are often quite voluminous, contain little information of significance, and get little research use. Many agencies already schedule grant case files as temporary. For these reasons we have determined that grant and cooperative agreement case files can be scheduled across the Federal government as temporary records. If an agency believes they have grant case files that are of historical value they can submit a schedule to NARA for those records.

10. Why should successful grant and cooperative agreement applications case files be kept for 10 years?

The 10-year retention aligns with the 10-year statute of limitations in the False Claims Act (31 U.S.C. 3731(b)), which governs claims related to these records.

11. What if my agency wants a shorter retention for successful grant and cooperative agreement applications?

If your agency does not have an existing agency-specific schedule for these records, it may submit a schedule requesting to deviate from the GRS to your agency's assigned NARA appraiser. Please keep in mind, however, that the 10 year retention is based on a statute of limitations, so the GRS Team will request confirmation that your agency's legal counsel agrees to a shorter retention prior to our concurrence on your deviation request.

If your agency has an existing agency-specific schedule for these records, it may choose to continue to use the existing schedule by informing NARA of its intent to do so (per 36 CFR 1227.12(a)(3). Notifications can be sent to GRS_Team@nara.gov. However, due to the legal risk in keeping these records for a shorter period of time, we recommend you review the existing schedule for these records with your General Counsel prior to implementation.

QUESTIONS RELATED TO ITEM 022

12. Why is there an "All other copies" item for Grant and Cooperative Agreement Case Files, but none of the other items have a similar catch-all item?

Extra copies these case files may be retained in other business units for a separate business purpose. These extra copies are not non-record copies held for convenience, but record copies in their own right retained for a specific and unique business purpose outside the purview of an agency's grant and cooperative agreement program. As such, their retention and disposition can be based on business use.

Copies of records covered by other items in this schedule are more likely to be held simply for convenience, making them non-record by definition.

QUESTIONS RELATED TO ITEM 030

13. Why are final products or deliverables scheduled as temporary?

While instinct inclines us to think these records inherently have universal permanent value, we found that was not the case. In fact, few agencies have scheduled these records at all. Among agencies that have, only about half scheduled them as permanent; and half of those stipulated specific and fairly stringent criteria be met for a product or deliverable to warrant permanent retention. Where agencies have scheduled these records as permanent, research use of records accessioned into NARA's holdings has proved surprisingly low. Based on this actual rather than perceived value, we determined that a blanket designation of these records as permanent is simply not supported. However, if an agency believes it has grant or cooperative agreement products or deliverables that do warrant permanent retention by the National Archives, it can write an agency-specific schedule requesting an exception to the GRS.

New GRS 1.2				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
1.2	010	3 years	DAA-GRS-2013-0008-0007	3	14	2 years	NC1-64-77-5 item 17b
1.2	021	3 years	DAA-GRS-2013-0008-0006	3	13	3 years	NC1-GRS-81-2 item 14a

GENERAL RECORDS SCHEDULE 3.1: General Technology Management Records

This schedule covers records created and maintained by Federal agencies related to the general management of technology. It includes records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.

This schedule does not apply to system data or content. This schedule does not apply to records documenting the Office of Management and Budget and the US Federal Chief Information Officers Council government-wide information management planning and programming. There may be copies of the Exhibit 300 records within these case files. However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records. Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records**.**

Item	Records Title/Description		Disposition Instruction	Disposition Authority
010	**Information technology development project records.**	**Infrastructure project records.** Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as: • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. Includes records such as: • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation	**Temporary.** Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0006

Item	Records Title/Description		Disposition Instruction	Disposition Authority
		Exclusion: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA. **Note**: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.		
011		**System development records.** These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as: • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: o Privacy Threshold Analyses (PTAs) o Privacy Impact Assessments (PIAs) o Security Plan o Information Protection Plan • change control records • Project Schedule • Plan of Action and Milestones (POA&M) • Configuration Management Plan • Resource Management Plan • Risk Assessment/Mitigation Plan • Security Plan • Disaster Recovery Plan • Test /Acceptance Plan • Quality Control Plan • Deployment Guide • User Guide • Training Guide **Exclusion**: This item does not apply to system data or content. **Note 1**: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.	**Temporary.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
		Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.		
012		**Special purpose computer programs and applications.** Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule. **Exclusion 1**: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. **Exclusion 2**: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function. **Note:** Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.	**Temporary.** Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0008
020	**Information technology operations and maintenance records.** Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as: • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites:		**Temporary.** Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or	DAA-GRS-2013-0005-0004

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	o reviews o site visit reports o trouble reports o equipment service histories o reports of follow-up actions o related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices • requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations o measures of benchmarks o performance indicators o critical success factors o error and exception reporting o self-assessments o performance monitoring o management reports • website administration o frames o templates o style sheets o site maps o codes that determine site architecture o change requests	superseded, but longer retention is authorized if required for business use.	

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	o site posting logs o clearance records o requests for correction of incorrect links or content posted o requests for removal of duplicate information o user logs o search engine logs o audit logs • records to allocate charges and track payment for software and services **Note 1**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2**: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.		
030	**Configuration and Change Management Records.** 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 records such as: • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution (including COTS software license management files) and release or version management **Note 1**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2**: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.	**Temporary.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0005

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	Note 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.		
040	**Information technology oversight and compliance records.** Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as: • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • vulnerability assessment reports • assessment and authorization of equipment • Independent Verification and Validation (IV&V) reports • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys • benefit-cost analyses • make vs. buy analysis • reports on implementation of plans • compliance reviews	**Temporary.** Destroy 5 years after the project/activity/ transaction is completed or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0010

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	• data measuring or estimating impact and compliance **Note**: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.			
050	**Data administration records.** Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also	**Documentation necessary for preservation of permanent electronic records.** Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including: • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications **Note 1**: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. **Note 2**: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	**Permanent.** Transfer to the National Archives with the permanent electronic records to which the document-tation relates.	DAA-GRS-2013-0005-0002
051		**All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.** Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications	**Temporary.** Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or	DAA-GRS-2013-0005-0003

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.	and also the following records for all electronic records whether scheduled as temporary or permanent • software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model	the associated data is migrated to a successor system, but longer retention is authorized if required for business use	

Frequently Asked Questions (FAQs) about GRS 3.1, General Technology Management Records

INTRODUCTION

1. What is the purpose of GRS 3.1?

The purpose of this schedule is to provide disposition authority for records related to technology management, including records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 3.1 differ from the old General Records Schedules?

GRS 3.1 replaces half of the items from GRS 24, Information Technology Operations and Management Records. Other GRS items have been moved to 3.1 because they are similar in function and content, such as GRS 16, item 9, Feasibility Studies. Three items from GRS 20, Electronic Records now appear in 3.1:

- GRS 20, item 1a, Records Created to Test System Performance
- GRS 20, item 10, Special Purpose Programs
- GRS 20, items 11a1 and 11a2, Documentation

IT Customer Service Files (GRS 24, items 10a and 10b) are planned for development in a future GRS; the existing authorities are unchanged and are valid for use. The remaining items from GRS 24 are rescheduled in the new GRS 3.2, Information Systems Security Records.

DEFINITION OF TERMS USED IN THIS SCHEDULE

4. What are the definitions of subject-specific terms used in GRS 3.1?

Information technology infrastructure (item 010)

Information technology (IT) Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data communications. Components include hardware such as printers, desktop and laptop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems and shared applications (e.g., word processing). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure.

System development (item 011)

System development is the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production and includes planning, requirements analysis, design, verification and testing, procurement, and installation.

Special purpose computer programs and applications (item 012)

Special purpose computer programs and applications are software that is developed by the agency or under its direction solely to use or maintain electronic records. (Item 012 covers such software for electronic records that are authorized for disposal in a GRS item or a NARA-approved records schedule.)

Master files (item 012)

Master files are the actual content of the electronic records series or system, or in other words the recordkeeping copy of an electronic record or system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.

Configuration and change management (item 030)

Configuration and change management is a process or methodology used to develop, operate, and maintain computer software, systems, and infrastructure improvements.

Data administration (items 050 and 051)

Data administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries.

GENERAL QUESTIONS

5. Why doesn't GRS 3.1 cover system backups and other information security types of records?

GRS 3.1 addresses general records related to technology management. We devised GRS 3.2, Information Systems Security Records, to cover more specialized information security records. System backups are listed in GRS 3.2.

6. Why doesn't GRS 3.1 cover IT help desk records?

Since there are many types of help desks, GRS 24, items 10a and 10b, IT Customer Service Files, will be expanded and moved to GRS 5.8, Internal Help Desk Services Records. Since this schedule has not been developed, the current GRS 24, item 10a and 10b, disposition authorities remain valid and available for use.

7. Why doesn't GRS 3.1 apply to system data or content?

GRS 3.1 excludes system data or content because it would be impossible to apply an across-the-board retention period for these records. Instead, each dataset should be evaluated by an agency and submitted to NARA on a records schedule for approval.

8. Why does GRS 3.1 exclude records documenting the Office of Management and Budget (OMB) and the US Federal Chief Information Officers Council (CIO Council) government-wide information management planning and programming records?

These records are not included in the GRS since they are scheduled as agency records. Certain records maintained by Federal Chief Information Officers (CIO) and their program offices are covered currently under GRS 27, Records of the Chief Information Officer. CIO Committee Records and CIO Subject and Office Records will be addressed in another GRS**.**

9. Why aren't the OMB Exhibit 300 records covered explicitly by this GRS?

OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio and related clearance and review records are covered under GRS 27, item 3, IT Capital Investment Records. There may be copies of the Exhibit 300 records within case files in GRS 3.1, such as Infrastructure Project Records (item 010). However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records in GRS 27.

10. Why can't I use this schedule for contracts for IT projects?

Records needed to support contracts should be in procurement files, which are scheduled under GRS 1.1, Financial Management and Reporting Records**.**

11. I see several major series are being retained for 5 years with various implied cutoff instructions. Why can't I just keep everything in GRS 3.1 for 5 years?

The quick answer is these records are not maintained for a flat 5 years. Different series have different points in time in which the retention period starts based on the business processes related to the records. For instance, for one series the 5 year retention doesn't start until the project has terminated. For another, the retention period starts when the system itself is superseded or terminated. This can lead to considerably different amounts of time records are held by an agency. That being said, this does not preclude agencies from aggregating records into big buckets without NARA approval, provided they are not destroying records too soon. The reason is that this schedule allows agencies to retain all temporary records on the schedule for longer periods of time to meet business needs.

QUESTIONS RELATED TO ITEM 012

12. Why does Item 012 exclude software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives? Why does it also exclude commercial, off-the-shelf (COTS) programs or applications, unless modified?

Software and applications used in conjunction with permanent records are not covered by this GRS schedule because they may be needed to maintain and access the permanent records and therefore may be of permanent value. Such software and applications need to be scheduled and appraised on a

case-by-case basis. Similarly, software and applications related to unscheduled records are excluded from this schedule because the related records may be of permanent value. Commercial, off-the-shelf (COTS) programs or applications, unless modified for use, are considered non-records.

13. Why does computer software need to be kept?

Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

QUESTIONS RELATED TO ITEM 030

14. Why do system management records need to be kept? Which schedule is appropriate for these types of records?

System management records are kept not only to keep track of systems changes, but also because they have a secondary value in that they are needed to understand electronic records transferred to NARA. Should system management activities have a major impact on a system or lead to a significant change, those records should be maintained as part of Item 014 Configuration and Change Management Records.

QUESTIONS RELATED TO ITEM 040

15. Why aren't security plans or Privacy Act System of Records Notices (SORNs) covered by Item 040?

While there may be copies of both documents interfiled within this series, oversight and compliance are not the primary functions associated with either document. Rather, security plans are scheduled under the GRS 3.2, Information Systems Security Records, and SORNs will be covered in another GRS.

QUESTIONS RELATED TO ITEM 050

16. Why do I not cite a separate GRS disposition authority for documentation when it is transferred to NARA with associated permanent electronic records?

Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. So, you will not be citing the GRS authority when you actually transfer the records but the disposition authority for the electronic records themselves.

This practice is to simplify transfer. NARA practice has been to accession system documentation along with the related records. Prior to the establishment of NARA's Electronic Records Archives (ERA), the GRS authority for system documentation was included along with the agency-specific authority for the master files on the paper SF-258. ERA, however, requires a separate Transfer Request for each disposition authority. To eliminate the need to create a separate transfer request for system documentation, practice has been to simply include the system documentation along with the related records in the same Transfer Request. Additionally, records covered by GRS authorities cannot currently be transferred using ERA and a paper SF-258 must be used.

17. Why should I use item 050 for certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) rather than items 011 System Development and 030 Configuration and Change Management Records?

When electronic records are scheduled as permanent in the GRS or in a NARA-approved agency schedule, the documentation that is needed to read and/or understand the records must be transferred to the National Archives to allow for continued access. Without these records NARA cannot provide access to the information; therefore the specific record types listed in item 030 have additional value beyond their use in system development and configuration management.

New GRS 3.1				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
3.1	010	5 years	DAA-GRS-2013-0005-0006	20	1a	When no longer needed	N1-GRS-95-2, item 1a
				24	11a	1 year	N1-GRS-03-1 item 11a
				24	11b	5 years	N1-GRS-03-1 item 11b
				24	11c	3 years	N1-GRS-03-1 item 11c
3.1	011	5 years	DAA-GRS-2013-0005-0007	16	9	5 years	N1-GRS-81-7 item 1
				20	1a	When no longer needed	N1-GRS-95-2, item 1a
3.1	012	When related master file is deleted	DAA-GRS-2013-0005-0008	20	10	When related master file is deleted	N1-GRS-87-5, item 10
3.1	020	3 years	DAA-GRS-2013-0005-0004	20	1a	When no longer needed	N1-GRS-95-2 item 1a
				24	2	3 years	N1-GRS-03-1 item 2
				24	3a	1 year	N1-GRS-03-1 item 3a
				24	3b2	3 years or 1 year	N1-GRS-03-1 item 3b2
				24	8a	1 year	N1-GRS-03-1 item 8a
				24	8b	1 year	N1-GRS-03-1 item 8b
				24	8c	3 years	N1-GRS-03-1 item 8c
				24	9a	3 years	N1-GRS-03-1 item 9a
				24	9b	3 years	N1-GRS-03-1 item 9b
				24	9c	3 years	N1-GRS-03-1 item 9c
3.1	030	5 years	DAA-GRS-2013-0005-0005	24	3b1	1 year	N1-GRS-03-1 item 3b1
3.1	040	5 years	DAA-GRS-2013-0005-0010	24	1a	5 years or 1 year	N1-GRS-03-1 item 1a
				24	1b	3 years or 1 year	N1-GRS-03-1 item 1b
3.1	050	Permanent	DAA-GRS-2013-0005-0002	20	11a2	Permanent	N1-GRS-07-4 item 11a2
3.1	051	5 years	DAA-GRS-2013-0005-0003	20	11a1	When related master file is deleted	N1-GRS-07-4 item 11a1

GENERAL RECORDS SCHEDULE 3.2: Information Systems Security Records

This schedule covers records created and maintained by Federal agencies related to protecting the security of information technology systems and data, and responding to computer security incidents. This schedule does not apply to system data or content.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	**Systems and data security records.** These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as: • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data	**Temporary.** Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.	DAA-GRS-2013-0006-0001
020	**Computer security incident handling, reporting and follow-up records.** A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as: • reporting forms • reporting tools • narrative reports	**Temporary.** Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0002

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	• background documentation **Note:** Any significant incidents (e.g., a major system failure or compromise of critical government data) must 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.			
030	**System access records.** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use **Exclusion 1.** Excludes records relating to electronic signatures. **Exclusion 2.** Does not include monitoring for agency mission activities such as law enforcement.	**Systems not requiring special accountability for access.** These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	**Temporary.** Destroy when business use ceases.	DAA-GRS-2013-0006-0003
031		**Systems requiring special accountability for access.** These are user identification records associated with systems which are highly sensitive and potentially vulnerable.	**Temporary.** Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0004
040	**System backups and tape library records.** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	**Incremental backup files.**	**Temporary.** Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0005
041		**Full backup files.**	**Temporary.** Destroy	DAA-GRS-

Item	Records Title/Description			Disposition Instruction	Disposition Authority
				when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.	2013-0006-0006
050	**Backups of master files and databases.** 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.	**File identical to permanent records scheduled for transfer to the National Archives.**		**Temporary.** Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0007
051		**File identical to temporary records authorized for destruction by a NARA-approved records schedule.**		**Temporary.** Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0008
060	**PKI administrative records.** Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records.		**FBCA CAs.**	**Temporary.** Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum	N1-GRS-07-3, item 13a1

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software. **Note:** Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.		level of operation of the CA, or when no longer needed for business, whichever is later.	
061		**Other (non-FBCA *et. al.*) CAs.**	**Temporary.** Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3 , item 13a2

Item	Records Title/Description	Disposition Instruction	Disposition Authority
062	**PKI transaction-specific records.** Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records. **Note:** Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.	**Temporary.** Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period.	N1-GRS-07-3, item 13b

Frequently Asked Questions (FAQs) about GRS 3.2, Information Systems Security Records

INTRODUCTION

1. What is the purpose of GRS 3.2?

The purpose of this schedule is to provide disposition authority for records related to system and data security and access, reports on computer security incidents, and backup tapes and files.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 3.2 differ from the old General Records Schedules?

GRS 3.2 is comprised of updated items from GRS 24, Information Technology Operations and Management Records, that are related to information systems security. Public Key Infrastructure (PKI) Records schedules (GRS 24, items 13a1, 13a2, and 13b) are not rescheduled, but they are now part of this schedule (items 060, 061, and 062) under their existing authorities. GRS 3.2 also includes a few items relevant to this schedule that were in GRS 20, Electronic Records.

DEFINITION OF TERMS USED IN THIS SCHEDULE

4. What are the definitions of terms used in GRS 3.2?

Information system

An information system means the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. (36 CFR 1220.18)

Information systems security records

GRS 3.2 defines these as records created and maintained by Federal agencies related to protecting the security of information technology systems and data and responding to computer security incidents.

Information technology infrastructure (item 010)

Information technology (IT) infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data communications. Components include hardware such as printers, desktop and laptop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems and shared applications (e.g., word processing). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure.

Computer incident (item 020)

A computer incident within the Federal Government as defined by NIST Special Publication 800-61, *Computer Security Incident Handling Guide, Revision 2* (August 2012), is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices.

Significant computer incident (item 020)

A significant computer incident that would require scheduling of records outside of this GRS would be defined as one that caused widespread system outage or denial of service, or gained notice by local news media, law enforcement, or the agency's Inspector General's office.

System access records (items 030 and 031)

GRS 3.2 defines these as records created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users.

System backups (items 040 and 041)

Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Master files (items 050 and 051)

Master files are the actual content of the electronic records series or system, or in other words the recordkeeping copy of an electronic record or system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.

Electronic signature (items 060, 061, and 062)

An electronic signature is a technologically neutral term indicating various methods of signing an electronic message that (a) identify and authenticate a particular person as source of the electronic message and (b) indicate such person's approval of the information contained in the electronic message (definition from Government Paperwork Elimination Act, Public Law 105-277). Examples of electronic signature technologies include PINs, user identifications and passwords, digital signatures, digitized signatures, and hardware and biometric tokens. (See Appendix A, *Records Management Guidance for Agencies Implementing Electronic Signature Technologies*, NARA, October 18, 2000)

QUESTION RELATED TO ITEMS 030 AND 031

5. Why don't Items 030 and 031 (system access records) include monitoring that is part of an agency's mission activities?

Records associated with mission activities, such as law enforcement, wilderness preservation, and aeronautics engineering, are scheduled separately because the value of the records varies and they

must be scheduled on agency-specific schedules. Items 030 and 031 cover internal administration of user access to systems and only records created as part of the user identification and authorization process.

New GRS 3.2				Old GRS			
GRS No.	**Item No.**	**Retention**	**ERA Number/ Disposition Authority**	**GRS No.**	**Item No.**	**Retention**	**Disposition Authority**
3.2	010	1 year	DAA-GRS-2013-0006-0001	20	11b	Superseded or obsolete	N1-GRS-95-02 item 11b
				24	5a	1 year	N1-GRS-03-1 item 5a
				24	5b	1 year	N1-GRS-03-1 item 5b
3.2	020	3 years	DAA-GRS-2013-0006-0002	24	7	3 years	N1-GRS-03-1 item 7
3.2	030	When business use ceases	DAA-GRS-2013-0006-0003	20	1c	No longer needed	N1-GRS-95-2 item 1c
				24	6b	Use GRS 20, item 1c. [No longer needed.]	N1-GRS-03-1 item 6b
3.2	031	6 years	DAA-GRS-2013-0006-0004	24	6a	6 years	N1-GRS-03-1 item 6a
3.2	040	When superseded	DAA-GRS-2013-0006-0005	24	4a1	Superseded or obsolete	N1-GRS-03-1 item 4a1
3.2	041	When second subsequent backup verified	DAA-GRS-2013-0006-0006	24	4a2	After second subsequent backup	N1-GRS-03-1 item 4a2
3.2	050	After capture or transfer request signed	DAA-GRS-2013-0006-0007	20	8a	When backed up or transferred to NARA	N1-GRS-95-2 item 8a
3.2	051	After identical records deleted or replaced	DAA-GRS-2013-0006-0008	20	8b	Superseded or obsolete	N1-GRS-95-2 item 8b
3.2	060	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	N1-GRS-07-3 item 13a1	24	13a1	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	N1-GRS-07-3 item 13a1
3.2	061	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13a2	24	13a2	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13a2
3.2	062	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13b	24	13b	7 years, 6 months to 20 years, 6 months	N1-GRS-07-3 item 13b

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

This schedule provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. In other words it covers records that contain information duplicated in the recordkeeping copies of electronic records (also known as the master records or master files). This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content. Electronic records not included in GRS 4.3 may not be destroyed unless authorized by a NARA approved schedule.

Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled that have been converted to an electronic format. Electronic versions of special media records such as these often do not adequately replace the original and therefore the original records may not be destroyed as "input records."

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Hardcopy or analog input/source records.** The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be included are: • hard copy forms used for data input • hard copy documents that are scanned into an electronic recordkeeping system • hard copy or analog still pictures, sound recordings, motion	**Hardcopy or analog input/source records previously scheduled as temporary.** Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system. Not media neutral. Applies to hardcopy or analog records only.	**Temporary.** Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0001
011		**Hardcopy or analog input/source records previously scheduled as permanent.** Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards. **Exclusion 1:** The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule.	**Temporary.** Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion, but longer retention	DAA-GRS-2013-0001-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	picture film, or video recordings that were previously scheduled as temporary	**Exclusion 2:** Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2)) **Exclusion 3:** Hardcopy records when the electronic versions do not meet NARA's electronic records standards. **Exclusion 4:** Hardcopy records that are not incorporated in their entirety into an electronic system. **Exclusion 5:** Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. **Legal citations:** 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1) Not media neutral. Applies to hardcopy or analog records only.	is authorized if required for business use.	
012		**Hardcopy or analog input/source records not previously scheduled.** Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system. **Exclusion 1**: Hardcopy records when the electronic versions do not meet NARA's electronic records standards. **Exclusion 2**: Hardcopy records that are not incorporated in their entirety into an electronic system. **Exclusion 3**: Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be	**Temporary.** Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0003

Item	Records Description		Disposition Instruction	Disposition Authority
		scheduled by an agency-specific schedule. Not media neutral. Applies to hardcopy or analog records only.		
020	**Electronic input/source records.** Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including: • electronic files that duplicate information from a source electronic system for input into another electronic system • electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions) • computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database • metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations **Exclusion 1**: Original electronic records maintained in the source system. **Exclusion 2**: Electronic input records required for audit and legal purposes. **Exclusion 3**: Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency. Not media neutral. Applies to electronic records only.		**Temporary.** Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0004
030	**Output records.** Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By	**Ad hoc reports.** Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems. **Exclusion 1**: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management	**Temporary.** Destroy when business use ceases.	DAA-GRS-2013-0001-0005

Item	Records Description		Disposition Instruction	Disposition Authority
	contrast, reports created using system information but not created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system. **Exclusion 1**: Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled. **Exclusion 2**: Any hard copy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.	officials). **Exclusion 2**: Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)		
031		**Data file outputs.** Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including: • data files consisting of summarized or aggregated information (See exclusions) • electronic files consisting of extracted information (See exclusions) • print file (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports) • technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions) **Exclusion 1**: Data files that are created as disclosure-free files to allow public access to the data. **Exclusion 2**: Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed. **Exclusion 3**: Data extracts produced by an extraction process which changes the informational content of the source master file or database. **Exclusion 4**: Technical reformat files created for transfer to NARA.	**Temporary.** Destroy when business use ceases.	DAA-GRS-2013-0001-0006

Item	Records Description		Disposition Instruction	Disposition Authority
		Exclusion 5: Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 15a (DAA-GRS-2013-0007-0012). Not media neutral. Applies to electronic records only.		
040	**Non-recordkeeping copies of electronic records.** Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes: • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to an recordkeeping system or otherwise preserved • electronic spreadsheets • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves **Note 1:** Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records. **Note 2:** For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list. Not media neutral. Applies to electronic records only.		**Temporary.** Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.	DAA-GRS-2013-0001-0007

Frequently Asked Questions (FAQs) about GRS 4.3, Input Records, Output Records and Electronic Copies

INTRODUCTION

1. What is the purpose of GRS 4.3?

This schedule provides agencies with disposition authority for records related to electronic systems or collections of electronic records, including:

- records used to create or update the master or recordkeeping copy
- certain records extracted from electronic systems, including queries on system content
- electronic and hard copy (i.e. non-electronic) reports
- non-recordkeeping copies of electronic records

In other words, it covers records that contain information duplicated in the recordkeeping copies of electronic records. This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 4.3 differ from the old General Records Schedules?

GRS 4.3 replaces most of GRS 20. A few items from GRS 20 are rescheduled in new GRSs, including GRS 3.1, General Technology Management Records, or will be included in other future schedules. Some items in GRS 20 have been rescinded. For information on the final outcome of specific items in GRS 20, see the GRS 20 crosswalk.

The schedule continues to cover input/source records, output records, and copies of word processing files, electronic mail, and spreadsheets. Items have been reorganized and redefined, but there have been no significant changes to the retention of records. Changes include:

- GRS 20, item 2a4 is broken out into three items for hard copy or analog input/source records depending on whether and how the original records were scheduled. This item was broken out to provide clarity to agencies about how to dispose of these records.
- Multiple GRS 20 items covering electronic input records have been aggregated into a single item.
- Items for hard copy and electronic *ad hoc* reports have been merged into a single, media-neutral item.
- Multiple GRS 20 items covering electronic output files have been aggregated into a single item.
- Items in GRS for copies of word processing files, electronic mail, and spreadsheets have been aggregated and the new item written to expand coverage to other copies of electronic files.

4. Why were GRS 20, items 2a1-3, rescinded?

These three items were rescinded because they are not actual disposition authorities. They are exceptions to the general rule that hard copy inputs can be destroyed after verification of conversion (for temporary records) or upon notification to NARA and verification (for permanent records); or, in other words, item 2a4. This rule has not changed. These three items now appear as exclusions to item 011. GRS 20, item 2a3, is also generally covered by GRS 4.3, items 010-012 in that they explicitly state that the items apply only to records converted in their entirety to electronic format.

5. Why were GRS 20, items 3 and 3.1, rescinded?

These items were rescinded from the GRS because they are not disposition authorities. They are instructions either to apply an existing schedule or to submit a new SF-115. For example, the instruction for item 3 says, "Delete after the expiration of the retention period authorized for the hard copy records." This equates to "apply the existing approved schedule." Additionally, due to changes with scheduling records in ERA, disposition instructions must start with either "Temporary" or "Permanent," which these old disposition instructions cannot do. The regulations still provide guidance on when agencies can apply existing schedules and when they must reschedule records; the rules defined in 36 CFR1225.24 apply even though items 3 and 3.1 are rescinded.

6. Can I still apply existing schedules for paper records to electronic versions?

Yes, in certain circumstances. 36 CFR 1225.24 and NARA's publication Frequently Asked Questions (FAQs) About Media Neutral Schedule Items provide instructions on when existing schedules for hard copy or analog records may be applied to electronic versions.

DEFINITION OF TERMS USED IN THIS SCHEDULE

7. What are the definitions of terms used in GRS 4.3?

Master files

Master files are the actual content of the electronic records series or system, or in other words, the recordkeeping copy of an electronic record or system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.

Input/source records

Input records are the source of the information in an electronic system. They are used to create, update, or modify master files retained to meet recordkeeping requirements and covered by a NARA-approved schedule. Input records may be electronic files or non-electronic documents. They may include records such as upload files staged for ingest into a system or hard copy forms scanned or otherwise entered into the system.
Not all input processes create separate records. Those that do not include:

- Structured data entered from online forms, structured data manually input directly into the system by user (no hard copy form), and unstructured (textual) data that is born digital (i.e., not scanned from paper).

- Data moved automatically from another system with no associated data file. Thus, the data is copied from one system to the other without creating an intermediary data file. This does not cover data migrated from a legacy system to a new system.

Verification of successful conversion

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

Output records

Output records are derived *directly* from the system master file. For example, a report that agency staff print from the system by clicking on a field or radio button in the system. By contrast, reports using system information but not created directly from the system itself are not system output records. For example, an annual report that agency staff prepare after reviewing information in the system.

Non-recordkeeping copies

Non-recordkeeping copies are any copies other than the "official record" kept by the agency for formal recordkeeping purposes. Do not confuse the term with "non-record." Non-recordkeeping copies are records if they are used to make decisions or take actions. For example, e-mail you create and receive in the course of Federal business is a Federal record; if it is copied into an official recordkeeping system for long-term preservation, it is the official record copy. However, the copy that remains on your computer is still a Federal record used to conduct business even though it is not the official record copy; it is therefore a non-recordkeeping copy. Non-recordkeeping copies that are Federal records generally do not need to be kept for documentation purposes for the same length of time as the official record copy.

8. Item 040 states that it includes "copies of the above electronic records maintained in websites or web servers, but excluding web pages themselves." What are "web pages" in this context?

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

SCHEDULE IMPLEMENTATION

9. Why doesn't GRS 4.3 cover electronic records/system master files?

GRS 4.3 does not cover electronic records/system master files because the content of such records is too variable. The GRS schedules records based on their content, not the type of records. Input and output records may seem like they are being scheduled by record type, but really they are scheduled based on their content: their content is duplicative information contained in other records. GRS 4.3 schedules records containing information duplicated in other electronic records or recordkeeping

systems. Some electronic records/system master files may be covered by other GRS schedules depending on their content.

10. Why does the GRS state that input records must be copied "in their entirety"?

If the input record is not copied in its entirety, the master file is not a duplicate of what is contained in the input record. The input record could then contain unique information that might change the value of the record. For example, a hard copy source record could contain an annotation that is not clearly picked up when the record is scanned. Therefore the scan does not copy the input record in its entirety, the source record contains additional information not in the scanned version, and the annotation on the source record has unique value requiring the record to be kept.

This requirement applies to more than scanned documents. For example, data may be entered from a form. If not all of the form's data is entered into the system, then the source record has not been copied in its entirety. However, when a form is used to update a record already in the system, and information on the form exactly duplicates information already in the system, it is not necessary to re-enter the identical data from the form again; just enter the new or changed data. This still results in the information on the input form and in the system being identical, and the form being copied in its entirety. As long as there is a one-to-one relationship between the source record and the electronic version, and they match, then the source record is being copied in its entirety.

The requirement that input records be ingested in their entirety is not new. GRS 20, item 2a3, specified that hard copy input/source records that contained information that was not, or could not be, captured in the electronic version of the records (e.g., certain handwritten annotations) had to be disposed of according to the schedule for the hard copy record.

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

Primarily, this is an agency decision. Agencies should assess their business need for the source records and may establish a longer retention in their agency-specific disposition manuals without additional NARA approval if there is an agency business need to keep the records longer. In addition, in some cases source records may be or become part of another record series scheduled on an agency-specific schedule. In these cases, the agency-specific schedule should be applied rather than the GRS. For example, if the source record is part of another record, such as a case file, but the electronic version of the record is not a copy of the entire case file or has a separate purpose from the case file, then an agency-specific disposition authority for the case file may apply to the source record, rather than the GRS.

12. How and when is GRS 4.3 applied to input records?

If the input records are in hard copy format:

Input record description	Source scheduled?	Limitations imposed by the GRS	Instruction	Schedule citation
Hard copy records entered or scanned into the system where the electronic version captures *all* information on the hard copy, such as: • Data entered into system from a paper form • Scanned images/PDFs of hard copy records	Yes; scheduled as permanent	Schedule states that records must be transferred in hard copy.	These records are not covered by this GRS. Hard copy records should be maintained and the existing disposition authority for the hard copy records applied.	N/A
		Electronic version does not meet NARA transfer standards.	These records are not covered by this GRS. Hard copy records should be maintained and the existing disposition authority for the hard copy records applied.	N/A
		Schedule does not require hard copy transfer or is silent on format of records to be transferred to NARA and electronic format meets transfer standards.	Destroy hard copy records 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion, but longer retention is authorized if required for business use.	GRS 4.3, item 1a2 (DAA-GRS-2013-0001-0002)
	Yes; scheduled as temporary		Destroy hard copy records immediately after verification of successful conversion, but longer retention is authorized if required for business use.	GRS 4.3, item 1a1 (DAA-GRS-2013-0001-0001)
	No		Destroy hard copy records immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use.	GRS 4.3, item 1a3 (DAA-GRS-2013-0001-0003)
Hard copy records converted to electronic format but containing information not captured in electronic version, such as:	Yes		These records are not covered by this GRS. Hard copy records should be maintained and the existing disposition authority for the hard copy records applied.	N/A

• Records with handwritten annotations • Records with layered attached notes • Color-dependent documents captured electronically only in black-and-white	No		These records are not covered by this GRS. Input record must be scheduled because it is unique.	N/A
Hard copy records where the electronic version does not replace the source record, such as: • A case tracking system in which users input information from source documents, but the documents themselves remain a distinct entity outside the system	Yes		These records are not covered by this GRS. Hard copy records should be maintained and the existing disposition authority for the hard copy records applied.	N/A
	No		These records are not covered by this GRS. Input record must be scheduled because it is unique.	N/A

If the input records are electronic:

Description of input records	**Limitations imposed by the GRS**	**Instruction**	**Schedule citation**
Electronic records used to create or update a master file, such as: • Work files • Valid transaction files • Intermediate input/output records		Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)
Electronic records entered into system during an update process, such as: • Copies of data files or records from another system maintained by the agency	Required for legal or audit purposes.	These records are not covered by this GRS. The input records must be scheduled.	N/A
	Not required for legal or audit purposes.	Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)
Electronic records received from another agency and used as input/source records, such as: • Copies of data files or records from a system in another	Produced under an interagency agreement.	These records are not covered by this GRS. The input records must be scheduled.	N/A
	Created for specific information needs of receiving agency.		

agency	Neither produced under an interagency agreement nor created for specific information needs of receiving agency.	Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)
Uncalibrated and unvalidated data collected in observation or measurement activities or research and development programs, such as: • Scientific observational data from satellites • Research experimental test data		Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.	GRS 4.3, item 1b (DAA-GRS-2013-0001-0004)
Electronic records scheduled elsewhere and the system does not replace the source record, such as: • A case tracking system in which users input information from electronic case files, but the case files are not treated as "input records" as described in the GRS		These records are not scheduled in this GRS. Apply source system's existing authority or schedule source system if unscheduled.	N/A
Electronic files created from one system specifically to be used as input to another system		***Either*** destroy immediately after data has been entered or otherwise incorporated into the receiving system master file or database and verified, but longer retention is authorized if required for business use ***or*** schedule separately, even if the system from which the input records were copied is scheduled.	***Either*** GRS 4.3, item 1b (DAA-GRS-2013-0001-0004) ***or*** agency schedule

13. Why are data file outputs from records scheduled as permanent, but that no longer exist or can no longer be accessed, excluded? How can a permanent record no longer exist or no longer be accessed?

Records may have been scheduled as permanent but the record itself may no longer exist or be accessible because it was lost, corrupted, or in some other way can no longer be opened or read. In that case, a data file output may be the only accessible version of the record and NARA might want to take the output record. This note should not be interpreted to mean that outputs must be kept just in case the permanent record becomes inaccessible; it means only that if you have the output records and the master file is inaccessible, then you should contact NARA to see if the output records should be transferred instead.

14. Why does GRS 4.3 schedule non-recordkeeping copies?

Not all copies are non-record. Copies may still be records if they are used to make decisions or take actions, so they require an approved schedule for disposition. Non-recordkeeping means only that the record is not maintained for recordkeeping purposes. It is still a record if it is used to make decisions or take actions.

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

THE OLD GRS: TABLE OF CONTENTS

Introduction to the General Records Schedules

Schedule 1	Civilian Personnel Records
Schedule 2	Payrolling and Pay Administration Records
Schedule 3	Procurement, Supply, and Grant Records
Schedule 4	Property Disposal Records
Schedule 5	Budget Preparation, Presentation, and Apportionment Records
Schedule 6	Accountable Officers' Accounts Records
Schedule 7	Expenditure Accounting Records
Schedule 8	Stores, Plant, and Cost Accounting Records
Schedule 9	Travel and Transportation Records
Schedule 10	Motor Vehicle Maintenance and Operations Records
Schedule 11	Space and Maintenance Records
Schedule 12	Communications Records
Schedule 13	Printing, Binding, Duplication, and Distribution Records
Schedule 14	Information Services Records
Schedule 15	Housing Records
Schedule 16	Administrative Management Records
Schedule 17	Cartographic, Aerial Photographic, Architectural, and Engineering Records
Schedule 18	Security and Protective Services Records
Schedule 19	RESERVED
Schedule 20	Electronic Records
Schedule 21	Audiovisual Records
Schedule 22	Inspector General Records (WITHDRAWN)
Schedule 23	Records Common to Most Offices Within Agencies
Schedule 24	Information Technology Operations and Management Records
Schedule 25	Ethics Program Records
Schedule 26	Temporary Commissions, Boards, Councils and Committees
Schedule 27	Records of the Chief Information Officer
Indexes	Standard Forms
	Optional Forms

INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

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

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

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

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

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

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

verification of the film unless legal considerations require longer retention of the paper (36 CFR 1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit a Standard Form (SF) 115 providing justification for the deviation.

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

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

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

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

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

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

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

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

   a. Transferred employees.

      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 (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. (N1-GRS-87-12 item 1b2)

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

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

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

   a. Cards for employees separated or transferred on or before December 31, 1947.

Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action. (N1-GRS-78-2 item 1)

b. Cards for employees separated or transferred on or after January 1, 1948. Destroy 3 years after separation or transfer of employee. (NC1-64-77-10 item 2b)

[**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. (N1-GRS-81-10 item 1)

4. Offers of Employment Files.

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

a. Accepted offers.

Destroy when appointment is effective. (NC1-64-77-10 item 4a)

b. Declined offers:

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

Return to OPM with reply and application. (NC1-64-77-10 item 4b1)

(2) Temporary or excepted appointment.

File with application (see GRS 1, items 33k, 33l, 33m, or 33n, as appropriate). (NC1-64-77-10 item 4b2)

(3) All others.

Destroy immediately. (NC1-64-77-10 item 4b3)

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. (NC1-64-77-10 item 5)

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. (NC1-64-77-10 item 6)

[**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. (N1-GRS-81-11 item 1)

(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. (NC1-64-77-10 item 7a2a)

(b) Review File.

Destroy when 2 years old. (NC1-64-77-10 item 7a2b)

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. (N1-GRS-88-4 item 1)

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. (NC1-64-77-10 item 7c1a)

(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. (NC1-64-77-10 item 7c1b)

d. Appeals Files.

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

Destroy 3 years after case is closed. (N1-GRS-90-1 item 7d1)

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded. (N1-GRS-90-1 item 7d2)

8. Interview Records.

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

Destroy 6 months after transfer or separation of employee. (NC1-64-77-10 item 8)

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. (NC1-64-77-10 item 9)

10. Temporary Individual Employee Records.

a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

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. (N1-GRS-97-4 item 10a)

b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency. (N1-GRS-97-4 item 10b)

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. (NC1-64-77-10 item 11)

[**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. (NC1-64-77-10 item 12a1)

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

Destroy when 2 years old. (NC1-64-77-10 item 12a2)

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. (NC1-64-77-10 item 12b)

c. Letters of commendation and appreciation.

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

Destroy when 2 years old. (NC1-64-77-10 item 12c)

d. Lists of or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations.

Destroy when superseded or obsolete. (NC1-64-77-10 item 12d)

[**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. (NC1-64-77-10 item 13)

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. (NC1-64-77-10 item 14a)

b. All other copies maintained in personnel offices.

Destroy when 1 year old. (NC1-64-77-10 item 14b)

15. RESERVED

16. Personnel Operations Statistical Reports.

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

Destroy when 2 years old. (NC1-64-77-10 item 16)

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. (NC1-64-77-10 item 17a)

b. Retention registers and related records.

(1) Registers and related records used to effect reduction-in-force actions.

Destroy when 2 years old. (NC1-64-77-10 item 17b1)

(2) Registers from which no reduction-in-force actions have been taken and related records.

Destroy when superseded or obsolete. (NC1-64-77-10 item 17b2)

c. All other correspondence and forms.

Destroy when 6 months old. (NC1-64-77-10 item 17c)

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. (NC1-64-77-10 item 18a)

b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old. (NC1-64-77-10 item 18b)

19. Individual Non-Occupational Health Record Files.

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

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

20. Health Unit Control Files.

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

a. If information is summarized on statistical report.

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

b. If information is not summarized.

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

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

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

(1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

(2) Separated employees.

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

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

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

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

Destroy 60 years after retirement to the NARA records storage facility. (N1-GRS-86-4 item 21c)

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

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

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

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

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

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

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

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

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. (N1-GRS-93-3 item 23a1)

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

Destroy when superseded. (N1-GRS-93-3 item 23a2)

(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. (N1-GRS-95-3 item 23a3a)

(b) All other performance plans and ratings.

Destroy when 4 years old. (N1-GRS-98-2 item 2)

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

Destroy 4 years after date of appraisal. (N1-GRS-95-3 item 23a4)

(5) Supporting documents.

Destroy 4 years after date of appraisal. (N1-GRS-98-2 item 3)

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. (N1-GRS-82-2, item 23b1)

(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. (N1-GRS-88-3 item 23b2a)

(b) All other performance ratings and plans.

Destroy when 5 years old. (N1-GRS-98-2 item 4)

(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. (N1-GRS-82-2 item 23b3)

(4) Supporting documents.

Destroy 5 years after date of appraisal. (N1-GRS-98-2 item 5)

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

24. Reasonable Accommodation Request Records

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

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

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

a. General Files

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

Destroy three years after supercession or when no longer needed for reference whichever is later. (N1-GRS-04-2 item 1a)

b. Employee Case Files

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

Destroy three years after employee separation from the agency or all appeals are concluded whichever is later. (N1-GRS-04-2 item 1b)

[**Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]

c. Supplemental Files

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

Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later. (N1-GRS-04-2 item 1c)

[**Note**: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file. (N1-GRS-04-2 item 1c Note)]

d. Tracking System

Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.

Delete/destroy three years after compliance report is filed or when no longer needed for reference. (N1-GRS-04-2 item 1d)

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. (N1-GRS-80-9 item 1)

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. (NC1-64-77-10 item 26b)

c. Preliminary and Background Files.

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

Destroy 2 years after final resolution of case. (N1-GRS-92-3 item 25c1)

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Destroy when 2 years old. (N1-GRS-92-3 item 25c2)

d. Compliance Records.

(1) Compliance Review Files.

Reviews, background documents, and correspondence relating to contractor employment practices.

Destroy when 7 years old. (NC1-64-77-10 item 26d1)

(2) EEO Compliance Reports.

Destroy when 3 years old. (NC1-64-77-10 item 26d2)

e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase.

Destroy when 1 year old. (NC1-64-77-10 item 26e)

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

Employment statistics relating to race and sex.

Destroy when 5 years old. (NC1-64-77-10 item 26f)

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

g. EEO General Files.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. (NC1-64-77-10 item 26g)

h. EEO Affirmative Action Plans (AAP).

(1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan. (NC-64-76-4 item 27a)

(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. (NC-64-76-4 item 27b)

(3) Report of on-site reviews of Affirmative Action Programs.

Destroy 5 years from date of report. (N1-GRS-83-2 item 1)

(4) Agency copy of annual report of Affirmative Action accomplishments.

Destroy 5 years from date of report. (N1-GRS-83-4 item 26h4)

26. Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records.

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

b. Alcohol and Drug Abuse Program.

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

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

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

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

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

a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Destroy when 3 years old. Longer retention is authorized if records are needed for agency business. (N1-GRS-03-2 item a)

b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Destroy 3 years after settlement is implemented or case is discontinued. (N1-GRS-03-2 item b)

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.

Destroy 5 years after expiration of agreement. (NC1-64-77-10 item 29a1)

(2) Other offices.

Destroy when superseded or obsolete. (NC1-64-77-10 item 29a2)

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. (NC1-64-77-10 item 29b)

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. (NC1-64-77-10 item 30b1)

(2) Background and working files.

Destroy when 3 years old. (NC1-64-77-10 item 30b2)

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. (NC1-64-77-10 item 30c)

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

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

a. Administrative Grievance Files (5 CFR 771).

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy no sooner than 4 years but no later than 7 years after case is closed. (N1-GRS-92-1 item 30a)

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. (N1-GRS-92-1 item 30b)

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

31. Personnel Injury Files.

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. (N1-GRS-86-4 item 32)

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, whichever is sooner. (N1-GRS-79-2 item 1)

33. Examining and Certification Records.

a. Delegated agreements.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

Destroy 3 years after termination of agreement. (N1-GRS-86-1 item 34)

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34a)

c. Correspondence or notices received from eligibles indicating a change in name, address, or availability.

Destroy 90 days after updating the appropriate record in the registry or inventory. (N1-GRS-02-1 item 33c)

d. Test material stock control.

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

Destroy when test is superseded or obsolete.

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

Cut off after examination. Destroy no later than 90 days after cutoff. (N1-GRS-85-2 item 34c)

f. Examination Announcement Case Documentation Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off. (N1-GRS-02-1 item 33f)

g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Destroy 2 years after the date on which the register of inventory is terminated. (N1-GRS-02-1 item 33g)

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

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34f)

i. Test Answer Sheets.

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

Destroy when 6 months old. (N1-GRS-85-2 item 34h)

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. (N1-GRS-85-2 item 34i)

k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-02-1 item 33k)

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

(1) On active register or inventory.

Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). (N1-GRS-02-1 item 33l1 [el-one])

(2) On inactive register or inventory.

Cut off annually. Destroy 1 year after cut off. (N1-GRS-02-1 item 33l2 [el-two])

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33m)

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33n)

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34k)

p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33p)

q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Cut off annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33q)

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

Destroy upon expiration of employee's DEP eligibility. (N1-GRS-85-2 item 34n)

s. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off. (N1-GRS-85-2 item 34o)

t. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report. (N1-GRS-85-2 item 34p)

34. Occupational Injury and Illness Files.

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

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

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

a. Health benefits denied, not appealed.

Destroy 3 years after denial. (N1-GRS-88-2 item 1a)

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**. (N1-GRS-88-2 item 1b1)

(2) Appeal unsuccessful - benefits denied.

Destroy 3 years after denial. (N1-GRS-88-2 item 1b2)

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

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

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

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

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

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

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

b. Employee acknowledgment of notice forms.

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

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

c. Selection/scheduling records.

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

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

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

(1) "Record Books."

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

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

(2) Chain of custody records.

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

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

e. Test results.

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

(1) Positive results.

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

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

(b) Applicants not accepted for employment.

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

(2) Negative results.

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

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

37. Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed. (N1-GRS-92-5 item 1)

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. (NC1-64-77-7 item 21b)

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. (N1-GRS-93-2 item 1)

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. (N1-GRS-96-2)

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. (N1-GRS-97-1 item 1a)

b. Unapproved requests.

Destroy 1 year after request is rejected. (N1-GRS-97-1 item 1b)

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. (N1-GRS-97-1 item 1c)

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

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

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

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

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

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

PAYROLL

1. Individual Employee Pay Record.

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

      Update elements and/or entire record as required. (N1-GRS-92-4 item 1a)

   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. (N1-GRS-92-4 item 1b)

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. (N1-GRS-92-4 item 2)

Items 3 through 5. Reserved.

TIME AND ATTENDANCE

6. Leave Application Files.

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

   a. If employee initials time card or equivalent.

      Destroy at end of following pay period. (N1-GRS-92-4 item 6a)

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

      Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 6b)

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. (N1-GRS-92-4 item 7)

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. (N1-GRS-92-4 item 8)

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. (N1-GRS-92-4 item 9a)

b. Creating agency copy, when maintained.

Destroy when 3 years old. (N1-GRS-92-4 item 9b)

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. (N1-GRS-92-4 item 13a)

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. (N1-GRS-92-4 item 13b)

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. (N1-GRS-92-4 item 13c)

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. (N1-GRS-92-4 item 14a)

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

Destroy 4 months after date of issuance of bond. (N1-GRS-92-4 item 14b)

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

Destroy 4 months after date of issuance of bond. (N1-GRS-92-4 item 14c)

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. (N1-GRS-92-4 item 15a)

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

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 15b)

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. (N1-GRS-92-4 item 16)

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

Destroy when superseded or after separation. (N1-GRS-92-4 item 17)

18. Levy and Garnishment Files.

Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

Destroy 3 years after garnishment is terminated. (N1-GRS-92-4 item 18)

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. (N1-GRS-92-4 item 22a)

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

Destroy when 2 years old. (N1-GRS-92-4 item 22b)

c. Reports providing fiscal information on agency payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 22c)

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. (N1-GRS-92-4 item 23a)

b. All other copies.

Destroy 1 month after end of related pay period. (N1-GRS-92-4 item 23b)

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. (N1-GRS-92-4 item 24)

Items 25 through 27. Reserved.

RETIREMENT

28. Retirement Files.

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

For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary. (N1-GRS-92-4 item 28)

Items 29 through 30. Reserved.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide

programs. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

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

   Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

   a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

      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. (NC1-64-77-5 item 3)

~~3. Routine Procurement Files~~

~~a. Procurement or purchase organization copy, and related papers.~~

~~(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").~~

~~(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

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

~~(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(b) Transactions that utilize small purchase procedures and all construction contracts under $2,000~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Obligation copy~~. **Rescinded per GRS Transmittal 23**

~~c. Other copies of records described above used by component elements of a procurement office for administrative purposes~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

~~d. Data Submitted to the Federal Procurement Data System (FPDS)~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

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.

Destroy when 2 years old. (NC1-64-77-5 item 5a)

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

Destroy when 1 year old. (NC1-64-77-5 item 5b)

~~5. Solicited and Unsolicited Bids and Proposals Files.~~

~~a. Successful bids and proposals.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Solicited and unsolicited unsuccessful bids and proposals.~~

~~(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

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

~~(a) When filed separately from contract case files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~(b) When filed with contract case files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~c. Canceled solicitations files.~~

~~(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~2) Unopened bids.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete. (NC1-GRS-81-2 item 6d)

~~6. Public Printer Files.~~

~~Records relating to requisitions on the Printer, and all supporting papers.~~

~~a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Accounting copy of requisition.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~7. Non-personnel Requisition File.~~

~~Requisitions for non-personnel services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

8. Inventory Requisition File.

   Requisitions for supplies and equipment for current inventory.

   a. Stockroom copy.

      Destroy 2 years after completion or cancellation of requisition. (NC1-64-77-5 item 9a)

   b. All other copies.

      Destroy when 6 months old. (NC1-64-77-5 item 9b)

9. Inventory Files.

   a. Inventory lists.

      Destroy 2 years from date of list. (NC1-64-77-5 item 10a)

   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. (NC1-64-77-5 item 10b)

   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. (NC1-64-77-5 item 10c)

~~10. Telephone Records.~~

~~Telephone statements and toll slips~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~11. Contractors' Payroll Files.~~

~~Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers~~. **Superseded by GRS 1.1, item 050 (DAA-GRS-2013-0003-0003)**

~~12. Tax Exemption Files.~~

~~Tax exemption certificates and related papers~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~13. Unsuccessful Grant Application Files.~~

~~Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications~~. **Superseded by GRS 1.2, item 021 (DAA-GRS-2013-0008-0006)**

~~14. Grant Administrative Files. [See note after this item.]~~

~~Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program~~. **Superseded by GRS 1.2, item 010 (DAA-GRS-2013-0008-0007)**

15. Contract Appeals Case Files.

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

~~a. Records created prior to October 1, 1979~~. **Rescinded per GRS Transmittal 23**

b. Records created after September 30, 1979.

Destroy 1 year after final action on decision. (N1-GRS-87-9 item 19b)

~~16. Contractor's Statement of Contingent or Other Fees.~~

~~SF 119, Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes~~.
Rescinded per GRS Transmittal 23

17. Small and Disadvantaged Business Utilization Files.

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507.

Destroy when 3 years old. (N1-GRS-87-14 item 1)

18. Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)

Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures.

[**NOTE:** Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.]

a. Circular No. A-76 case files/studies maintained by office having primary responsibility.

   Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 to 10 years after cut off. (N1-GRS-05-2 item 18a)

   [**NOTE:** To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.]

b. Circular No. A-76 records maintained by other offices, including information copies and background material.

   Cut off upon completion of study. Destroy 2 years after cut off. (N1-GRS-05-2 item 18b)

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration (GSA) transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the GSA and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form (SF) 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.

b. SF 120, Report of Excess Personal Property, and SF 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

1. Property Disposal Correspondence Files.

   Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.

   Destroy when 2 years old. (GRS 4, 1952, item 4)

2. Excess Personal Property Reports.

   Destroy when 3 years old. (GRS 4, 1952, item 5)

~~3. Surplus Property Case Files.~~

~~Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.~~

~~a. Transactions of more than $25,000~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Transactions of $25,000 or less~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. Real Property Files. [See note after this item.]

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

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

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of OMB and the Department of Treasury reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

1. Budget Correspondence Files.

   Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

   Destroy when 2 years old. (GRS 5, 1952, items 1 and 3)

2. Budget Background Records.

   Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

   Destroy 1 year after the close of the fiscal year covered by the budget. (NC1-GRS-81-13 item 2)

3. Budget Reports Files.

   Periodic reports on the status of appropriation accounts and apportionment.

   a. Annual report (end of fiscal year).

      Destroy when 5 years old. (GRS 5, 1952, item 5a)

   b. All other reports.

      Destroy 3 years after the end of the fiscal year. (NC-64-75-2 item 5b)

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

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

   Destroy 2 years after the close of the fiscal year. (GRS 5, 1952, item 6)

[**NOTE**: The following budget files are not covered by the GRS:

* Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.

* Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA. (GRS 5, 1952, items 1 and 2)]

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Department of Treasury. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if a site audit was involved. This procedure was extended and confirmed by GAO General Regulation No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form (SF) 1166 and SF 1167) for use by all agencies, effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer of the Treasury.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that an audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognizance. GAO has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal records centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Records Management, GAO. Because the records previously transferred to GAO are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The

copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

1. ~~Accountable Officers' Files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.~~

~~Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.~~

~~SF 215 Deposit Ticket~~
~~SF 224 Statement of Transactions~~
~~SF 1012 Travel Voucher~~
~~SF 1034 Public Voucher for Purchases and Services Other Than Personal~~
~~SF 1036 Statement of Certificate and Award~~
~~SF 1038 Advance of Funds Application and Account~~
~~SF 1047 Public Voucher for Refunds~~
~~SF 1069 Voucher for Allowance at Foreign Posts of Duty~~
~~SF 1080 Voucher for Transfer Between Appropriations and/or Funds~~
~~SF 1081 Voucher and Schedule of Withdrawals and Credits~~
~~SF 1096 Schedule of Voucher Deductions~~
~~SF 1097 Voucher and Schedule to Effect Correction of Errors~~
~~SF 1098 Schedule of Canceled Checks~~
~~SF 1113 Public Voucher for Transportation Charges~~
~~SF 1129 Reimbursement Voucher~~
~~SF 1143 Advertising Order~~
~~SF 1145 Voucher for Payment Under Federal Tort Claims Act~~
~~SF 1154 Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee~~
~~SF 1156 Public Voucher for Fees and Mileage~~
~~SF 1164 Claim for Reimbursement for Expenditures on Official Business~~
~~SF 1166 Voucher and Schedule of Payments~~
~~SF 1185 Schedule of Undeliverable Checks for Credit to Government Agencies~~
~~SF 1218 Statement of Accountability (Foreign Service Account)~~
~~SF 1219 Statement of Accountability~~

~~SF 1220 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts~~
~~SF 1221 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)~~
~~OF 1114 Bill of Collection~~
~~OF 1114A Official Receipt~~
~~OF 1114B Collection Voucher~~

Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

b. ~~Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

2. ~~GAO Exceptions Files~~.

~~GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence~~.
Rescinded per GRS Transmittal 23

3. ~~Certificates Settlement Files~~.

~~Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.~~

a. ~~Certificates covering closed account settlements, supplemental settlements, and final balance settlements.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

b. ~~Certificates covering periodic settlements~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. ~~General Fund Files~~.

~~Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule~~.
Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

5. Accounting Administrative Files.

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

a. Files used for workload and personnel management purposes.

Destroy when 2 years old. (NC-64-77-11, item 5a)

b. All other files.

Destroy when 3 years old. (NC-64-77-11, item 5b)

~~6. Federal Personnel Surety Bond Files.~~

~~a. Official copies of bond and attached powers of attorney.~~

~~(1) Bonds purchased before January 1, 1956~~. **Rescinded per GRS Transmittal 23**

~~(2) Bonds purchased after December 31, 1955~~. **Rescinded per GRS Transmittal 23**

~~b. Other bond files including other copies of bonds and related documents~~. **Rescinded per GRS Transmittal 23**

~~7. Gasoline Sales Tickets.~~

~~Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~8. Telephone Toll Tickets.~~

~~Originals and copies of toll tickets filed in support of telephone toll call payments~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~9. Telegrams~~.

~~Originals and copies of telegrams filed in support of telegraph bills~~. **Rescinded per GRS Transmittal 23**

10. Administrative Claims Files.

a. Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1a)

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. (N1-GRS-87-13 item 1b1)

(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. (N1-GRS-87-13 item 1b2a)

(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. (N1-GRS-87-13 item 1b2b)

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

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1b3)

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. (N1-GRS-87-13 item 1c)

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. (N1-GRS-88-1 item 11a)

b. Denied waivers.

Destroy with related claims files in accordance with items 10b and 10c of this schedule. (N1-GRS-88-1 item 11b)

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they, in turn, summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.

b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Department of Treasury, and overall reports of agency fiscal condition which may be required by the General Accounting Office (GAO) (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by GAO auditors to be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Department of Treasury and the OMB, or to those formerly maintained by the GAO. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

1. Expenditure Accounting General Correspondence and Subject Files.

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

   Destroy when 2 years old. (GRS 7, 1952, item 1)

~~2. General Accounting Ledgers.~~

   ~~General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~3. Appropriation Allotment Files.~~

   ~~Allotment records showing status of obligations and allotments under each authorized appropriation~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~4. Expenditure Accounting Posting and Control Files.~~

   ~~Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.~~

   ~~a. Original records~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

   ~~b. Copies~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. Plant Accounting. These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. Cost Accounting. These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

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

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

   Destroy when 2 years old. (GRS 8, 1952, item 1)

~~2. Stores Invoice Files.~~

~~Invoices or equivalent papers used for stores accounting purposes.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~3. Stores Accounting Files.~~

~~Stores accounting returns and reports.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~4. Stores Accounting Background Files.~~

~~Working files used in accumulating stores accounting data.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

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

~~Plant account cards and ledgers, other than those pertaining to structures.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~6. Cost Accounting Reports.~~

~~a. Copies in units receiving reports.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~b. Copies in reporting units and related work papers.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~7. Cost Report Data Files.~~

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

~~a. Ledgers and forms.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

~~b. Automated records.~~

~~(1) Detail cards.~~ **Rescinded per GRS Transmittal 23**

~~(2) Summary cards.~~ **Rescinded per GRS Transmittal 23**

~~(3) Tabulations.~~ **Rescinded per GRS Transmittal 23**

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by General Records Schedule 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard-form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.

~~1. Commercial Freight and Passenger Transportation Files.~~

~~a. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other~~

~~condition arises, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~d. Obligation copy of commercial passenger transportation vouchers~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~e. Unused ticket redemption forms, such as SF 1170~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

2. Lost or Damaged Shipments Files.

   Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.

   Destroy when 6 years old. (N1-GRS-91-3, item 2)

~~3. Noncommercial, Reimbursable Travel Files.~~

~~Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.~~

~~a. Travel administrative office files~~. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

~~b. Obligation copies~~. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

4. General Travel and Transportation Files.

   a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.

      Destroy when 2 years old. (N1-GRS-91-3, item 4a)

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

      Destroy 1 year after all entries are cleared. (N1-GRS-91-3, item 4b)

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. (N1-GRS-91-1, item 5a)

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. (N1-GRS-91-1, item 5b)

c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when superseded or obsolete. (N1-GRS-98-2, item 9)

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State. (N1-GRS-91-1, item 5 Notes)]

6. RESERVED

7. Federal Employee Transportation Subsidy Records.

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Destroy when 3 years old. (N1-GRS-97-2, item 7)

GENERAL RECORDS SCHEDULE 10

Motor Vehicle and Aircraft Maintenance and Operation Records

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

Motor vehicles. Items 1 through 7 pertain to motor vehicles used by agencies. 41 CFR 101-34 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Acquisition Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This portion of the schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Acquisition Service (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

Aircraft. Items 9 through 13 pertain to the management, maintenance, and operation of aircraft used by Federal agencies. 41 CFR 102-33 prescribes policies and procedures. These items include Federal records accumulated in connection with the use of leased aircraft as well as records provided by contractors for government agencies. Specifically excluded from this schedule are previously approved records series from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

[**Note:** Some of these records may be necessary for the investigation and preparation of accident/incident reports. Agencies conducting their own internal accident/incident investigation congruent with those conducted by the Federal Aviation Administration and the National Transportation Safety Board must maintain those records in accordance with item 13 of this schedule. The records of the Federal Aviation Administration and the National Transportation Safety Board are excluded from item 13 of this schedule.]

1. Motor Vehicle Correspondence Files.

   Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

   Destroy when 2 years old. (GRS 10, 1952, item 1)

2. Motor Vehicle Operating and Maintenance Files.

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

      Destroy when 3 months old. (GRS 10, 1952, item 2a)

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

Destroy when 1 year old. (GRS 10, 1952, item 2b)

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. (GRS 10, 1952, item 3)

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. (GRS 10, 1952, item 4)

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. (GRS 10, 1952, item 5)

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. (NARA memo 10/20/1955)

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. Reserved.

9. Routine Aircraft Operations.

Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records.

Destroy when 2 years old. (N1-GRS-04-6, item 1)

10. Logistical Support for Flight Operations.

Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters.

Destroy when 6 years old or when superseded, whichever is later. (N1-GRS-04-6, item 2)

11. General Aircraft Maintenance and Modifications Records.

Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see item 12 for records relating to maintenance activities involving specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of materiel, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.

a. Recordkeeping copies of maintenance manuals for unique or customized aircraft

Permanent. Transfer to the National Archives in 5-year blocks after they become superseded or obsolete. (N1-GRS-04-6, item 3a)

b. All other records

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-04-6, item 3b)

12. Individual Aircraft Maintenance and Airframe Modifications Records.

Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also

included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.

Destroy 6 years after aircraft disposal or clearance of related equipment from the program. (N1-GRS-04-6, item 4)

13. Records Required for Accident/Incident Reports.

Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies.

Keep for the duration of investigation and then destroy 1 year after completion of investigation and preparation of required reports. (N1-GRS-04-6, item 5)

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records that reflect Government-wide programs (such as the records held by the GSA Public Buildings Service). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

1. Space and Maintenance General Correspondence Files.

   Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.

   Destroy when 2 years old. (N1-GRS-96-1, item 1c)

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. (GRS 11, 1952, item 2a)

   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. (GRS 11, 1952, item 2b1)

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

Destroy when 1 year old. (GRS 11, 1952, item 2b2)

3. Directory Service Files.

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

Destroy 2 months after issuance of listing. (GRS 11, 1952, item 3)

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. (GRS 11, 1952, item 4a)

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

Destroy after all listed credentials are accounted for. (GRS 11, 1952, item 4b)

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. (GRS 11, 1952, item 5)

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records that reflect Government-wide programs, such as records held by the U.S. Postal Service and the Information Technology Service of the General Services Administration (GSA), other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the GSA and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

1. Messenger Service Files.

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

   Destroy when 2 months old. (NC1-64-77-9, item 1)

2. Communication General Files.

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

      Destroy when 2 years old. (NC1-64-77-9, item 2a)

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

      Destroy when 3 years old. (NC1-64-77-9, item 2b)

   c. Telecommunications statistical reports including cost and volume data.

      Destroy when 1 year old. (NC1-64-77-9, item 2c)

   ~~d. Telecommunications voucher files.~~

      ~~(1) Reference copies of vouchers, bills, invoices, and related records.~~ **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

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

Destroy 1 year after audit or when 3 years old, whichever is sooner. (NC1-64-77-9, item 2d2)

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. (NC1-64-77-9, item 2e)

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. (NC1-64-77-9, item 3a)

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 months old. (NC1-64-77-9, item 3b)

[**NOTE**: Master files and data bases created to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

4. Telephone Use (Call Detail) Records.

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records.

Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records. (N1-GRS-96-4)

[**NOTE**: Records for those numbers associated with e-mail transmission may be deleted or destroyed as indicated above if the agency has ensured that the transmission data that is necessary for the intelligibility of the e-mail is preserved elsewhere. (N1-GRS-96-4 note)]

5. Post Office and Private Mail Company Records.

Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.

a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.

Destroy when 1 year old. (N1-GRS-87-2 item 1a)

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

Destroy when 1 year old. (N1-GRS-87-2 item 1b)

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

Destroy when 1 year old. (N1-GRS-87-2 item 1c)

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. (NC1-64-77-9, item 6a)

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. (NC1-64-77-9, item 6b)

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

Destroy when 6 months old. (NC1-64-77-9, item 6c)

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

Destroy when 1 year old. (NC1-64-77-9, item 6d)

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

Destroy when 1 year old. (NC1-64-77-9, item 6e)

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

Destroy when 6 months old. (NC1-64-77-9, item 6f)

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. (NC1-64-77-9, item 6g)

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. (NC1-64-77-9, item 6h)

7. Metered Mail Files.

Official metered mail reports and all related papers.

Destroy when 6 years old. (NC1-64-77-9, item 7)

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. (NC1-64-77-9, item 8)

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

1. Administrative Correspondence Files.

   Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.

   Destroy when 2 years old. (GRS 13, 1952, item 2)

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. (GRS 13, 1952, item 3a)

   b. Files pertaining to planning and other technical matters.

      Destroy when 3 years old. (GRS 13, 1952, item 3b)

   [**NOTE**: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each

series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed. (NC1-GRS-81-5, items 1a and 1b)]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable. (GRS 13, 1952, item 4)

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. (GRS 13, 1952, item 5a)

b. Card lists.

Destroy individual cards when canceled or revised. (GRS 13, 1952, item 5b)

5. Joint Committee on Printing (JCP) Reports Files.

Reports to Congress and related records.

a. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old. (GRS 13, 1952, item 6a)

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

Destroy 1 year after date of report. (GRS 13, 1952, item 6b)

6. Internal Management Files.

Records relating to internal management and operation of the unit.

Destroy when 2 years old. (GRS 13, 1952, item 7)

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

1. Information Requests Files.

   Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

   Destroy when 3 months old. (N1-GRS-98-2, item 10)

2. Acknowledgment Files.

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

   Destroy 3 months after acknowledgment and referral. (GRS 14, 1952, items 2 and 3)

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. (GRS 14, 1952, item 5)

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. (NC1-64-77-1 item 16a1)

(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. (NC1-64-77-1 item 16a2a)

(b) Request appealed.

Destroy as authorized under Item 12. (NC1-64-77-1 item 16a2b)

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

(a) Request not appealed.

Destroy 6 years after date of reply. (N1-GRS-87-4 item 16a3a)

(b) Request appealed.

Destroy as authorized under Item 12. (NC1-64-77-1 item 16a3b)

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. (NC1-64-77-1 item 16b)

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. (N1-GRS-87-4 item 17a; also Jean Keeting memo to file 3/21/1988)

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. (NC1-64-77-1 item 17b)

13. FOIA Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing.

Destroy 5 years after date of last entry. (NC1-64-76-3, item 11a)

b. Other files.

Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later. (NC1-64-76-3, item 11b)

14. FOIA Reports Files.

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Destroy when 2 years old. (N1-GRS-98-2 item 11)

[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. (N1-GRS-98-2 item 12)

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. (NC1-64-77-1 item 25a1)

(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. (NC1-64-77-1 item 25a2a)

(b) Requests appealed.
Destroy as authorized under Item 22. (NC1-64-77-1 item 25a2b)

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

(a) Requests not appealed.

Destroy 5 years after date of reply. (NC1-64-77-1 item 25a3a)

(b) Requests appealed.

Destroy as authorized under Item 22. (NC1-64-77-1 item 25a3b)

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. (NC1-64-77-1 item 25b)

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. (NC1-64-77-1 item 26a)

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. (NC1-64-77-1 item 26b)

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. (NC1-64-77-1 item 26c)

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. (NC1-64-77-1 item 27)

24. Privacy Act Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Registers or listings.

Destroy 5 years after date of last entry. (NC1-64-77-1 item 28a)

b. Other files.

Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later. (NC1-64-77-1 item 28b)

25. Privacy Act Reports Files.

Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.

Destroy when 2 years old. (N1-GRS-89-4 item 1)

[NOTE: The GRS does not cover the biennial report to Congress from OMB. (N1-GRS-89-4 item 1 note)]

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. (N1-GRS-98-2 item 13)

27 through 30. Reserved.

31. Mandatory Review For Declassification Requests Files.

Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply. (N1-GRS-87-7, item 31a1)

(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. (N1-GRS-87-7, item 31a2b)

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

(a) Request not appealed.

Destroy 5 years after date of reply. (N1-GRS-87-7, item 31a3a)

(b) Request appealed.

Destroy as authorized under Item 32. (N1-GRS-87-7, item 31a3b)

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. (N1-GRS-87-7, item 31b)

c. Sanitizing instructions.

Destroy when superseded or when requested documents are declassified or destroyed. (N1-GRS-87-7, item 31c)

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. (N1-GRS-87-7, item 32a)

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. (N1-GRS-87-7, item 32b)

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. (N1-GRS-87-7, item 33a)

b. Other files.

   Destroy 5 years after final action by the agency. (N1-GRS-87-7, item 33b)

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. (N1-GRS-98-2 item 14)

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. (N1-GRS-98-2 item 15)

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. (N1-GRS-89-2 item 1a)

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

   Destroy 6 years after the erroneous release. (N1-GRS-89-2 item 1b)

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

1. Housing General Correspondence Files.

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

   Destroy when 2 years old. (GRS 15, 1953, item 1)

2. Housing Maintenance and Repair Files.

   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. (GRS 15, 1953, item 2a)

   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. (GRS 15, 1953, item 2b)

3. Housing Management Files.

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

Destroy when 2 years old. (GRS 15, 1953, item 3)

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. (GRS 15, 1953, item 4)

5. Housing Assignment and Vacancy Card Files.

a. Individual tenant cards.

Destroy when tenant vacates unit. (GRS 15, 1953, item 5a)

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. (GRS 15, 1953, item 5b)

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. (GRS 15, 1953, item 6)

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

a. Rejected application files.

Destroy 1 year from date of rejection. (GRS 15, 1953, item 7a)

b. All others.

Destroy when 2 years old. (GRS 15, 1953, item 7b)

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of a Standard Form (SF) 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

1. Administrative Issuances. [See note after item 1b.]

   a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

      Destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)

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

Destroy when issuance is destroyed. (NC1-GRS-81-5 item 3d)

[**NOTE**: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA. (NC1-64-77-8 items 1a & 2a)]

2. Records Disposition Files.

Descriptive inventories, disposal authorizations, schedules, and reports.

a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

(1) SF 115s that have been approved by NARA.

Destroy 2 years after supersession. (N1-GRS-98-2 item 16)

(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, whichever is applicable. (N1-GRS-98-2 item 17)

b. Routine correspondence and memoranda.

Destroy when 2 years old. (N1-GRS-98-2 item 18)

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. (NC1-GRS-81-4 item 1)

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

Destroy when related form is discontinued, superseded, or canceled. (NC1-64-77-8 item 4b)

~~4. Records Holdings Files.~~

~~Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.~~

~~a. Records held by offices that prepare reports on agency-wide records holdings~~. **Rescinded per GRS Transmittal 23**

~~b. Records held by other offices~~. **Rescinded per GRS Transmittal 23**

5. Project Control Files.

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed. (NC1-64-77-8 item 7)

6. Reports Control Files.

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued. (NC1-GRS-80-7 item 1)

7. Records Management Files.

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Destroy when 6 years old. (N1-GRS-98-2 item 19)

8. Reserved.

~~9. Feasibility Studies.~~

~~Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system~~. **Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0007)**

10. Microform Inspection Records.

a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230. [See notes after item 10a.]

Destroy 1 year after the records are transferred to the National Archives of the United States. (N1-GRS-91-4 item 1)

[**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. (N1-GRS-91-4 item 1 Note) (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. (N1-GRS-98-2 item 22)

11. IRM Triennial Review Files.

Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old. (N1-GRS-87-15 item 1)

12. Information Collection Budget Files.

Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old. (N1-GRS-87-16 item 1)

13. Documents Published in the Federal Register. [See note after item 13b.]

a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old. (N1-GRS-87-17 item 1a)

b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old. (N1-GRS-87-17 item 1b)

[**NOTE**: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition. (N1-GRS-87-17 item 1 Note)]

14. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded. (N1-GRS-91-5 item 1a)

b. Management control plans.

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

Destroy when superseded. (N1-GRS-91-5 item 1b)

c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Cut off closed files annually. Destroy after next review cycle. (N1-GRS-91-5 item 1c)

d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

Cut off closed files annually. Destroy after next reporting cycle. (N1-GRS-91-5 item 1d)

[**NOTE**: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA. (N1-GRS-91-5 item 1d)]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed. (N1-GRS-98-2 item 23)

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff. (N1-GRS-91-5 item 1f1)

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

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff. (N1-GRS-91-5 item 1f2)

[**NOTE**: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to **copies** maintained as internal reviews.]

GENERAL RECORDS SCHEDULE 17

Cartographic, Aerial Photographic, Architectural, and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives and Records Administration (NARA) before applying the disposition instructions in this schedule.

1. Cartographic Records Prepared During Intermediate Stages of Publication.

   Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.

   Destroy when no longer needed for revision. (N1-GRS-88-5 item 1)

2. Reserved.

3. Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.

   Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

   Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 24)

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

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 25)

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. (N1-GRS-98-2 item 26)

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. (N1-GRS-98-2 item 27)

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. (N1-GRS-98-2 item 28)

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. (N1-GRS-98-2 item 29)

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

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 30)

[**NOTE**: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting a Standard Form (SF) 115 to NARA. (N1-GRS-88-5 item 10 Note)]

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.

1. Classified Documents Administrative Correspondence Files. [See note after this item.]

   Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

   Destroy when 2 years old. (GRS 18, 1960, item 2)

   [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. (GRS 18, 1960, item 3)

3. Destruction Certificates Files.

Certificates relating to the destruction of classified documents.

Destroy when 2 years old. (GRS 18, 1960, item 4)

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. (GRS 18, 1960, item 5)

5. Top Secret Accounting and Control Files.

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

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. (GRS 18, 1960, item 6a)

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

Destroy when related document is downgraded, transferred, or destroyed. (GRS 18, 1960, item 6b)

[**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. (GRS 18, 1960, item 7)

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. (GRS 18, 1960, item 8)

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). (N1-GRS-93-1 item 7b)

[NOTE: Forms involved in investigations will be retained until completion of the investigation. (N1-GRS-93-1 item 7b Note)]

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. (GRS 18, 1960, item 9)

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

9. Survey and Inspection Files. (Government-owned facilities)

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Destroy when 3 years old or upon discontinuance of facility, whichever is sooner. (GRS 18, 1960, item 10)

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. (GRS 18, 1960, item 11)

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. (GRS 18, 1960, item 12)

12. Property Pass Files.

Property pass files, authorizing removal of property or materials.

Destroy 3 months after expiration or revocation. (GRS 18, 1960, item 13)

13. Guard Assignment Files.

Files relating to guard assignments and strength.

a. Ledger records.
Destroy 3 years after final entry. (GRS 18, 1960, item 14a)

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

Destroy when 2 years old. (GRS 18, 1960, item 14b)

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. (GRS 18, 1960, item 15a)

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

Destroy when 2 years old. (GRS 18, 1960, item 15b)

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

Destroy when 1 year old. (GRS 18, 1960, item 15c)

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.

a. Ledger files.

Destroy 3 years after final entry. (GRS 18, 1960, item 16a)

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

Destroy when 1 year old. (GRS 18, 1960, item 16b)

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. (GRS 18, 1960, item 17)

b. For other areas.

Destroy 6 months after turn-in of key. (GRS 18, 1960, item 17)

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.

Destroy 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18, 1960, item 18)

b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, 1960, item 18)

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. (GRS 18, 1960, item 19a)

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. (GRS 18, 1960, item 19b)

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. (GRS 18, 1960, item 20a)

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

       Destroy when 1 year old. (GRS 18, 1960, item 20b)

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

       Destroy when 1 year old. (GRS 18, 1960, item 20c)

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

       Destroy 3 months after return of arms. (GRS 18, 1960, item 20d)

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. (GRS 18, 1960, item 21a)

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

       Destroy 1 year after final entry. (GRS 18, 1960, item 21b)

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. (NC1-GRS-80-1 item 22)

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. (NC1-GRS-80-1 item 23a)

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. (NC1-GRS-80-1 item 23b)

c. Index to the Personnel Security Case Files.

   Destroy with related case file. (NC1-GRS-80-1 item 23c)

23. Personnel Security Clearance Status Files.
Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete. (NC1-GRS-80-1 item 24)

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. (NC1-GRS-81-8 item 1a)

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

   Destroy 2 years after completion of final action. (N1-GRS-98-2 item 31)

25. Classified Information Nondisclosure Agreements.

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

Destroy when 70 years old. (N1-GRS-95-1 item 1a)

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

Apply the disposition for the official personnel folder. (N1-GRS-95-1 item 1b)

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files. [See note after this item.]

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old. (GRS 18, 1960, item 27)

[**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. (NC1-GRS-81-1 item 1b)

[**NOTES**: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115. (Implied in NC1-GRS-81-1 item 1a)]

28. Emergency Operations Tests Files.

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.

Destroy when 3 years old. (NC1-GRS-81-1 item 4)

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. (NC1-GRS-87-10 item 1a)

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

        Destroy when 5 years old. (NC1-GRS-87-10 item 1b)

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and for specified paper, microform, or other hard copy records that are integrally related to the electronic records.

This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 1a (in part), 2a, and 16 of this schedule apply to hard copy records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for the referenced electronic records whatever the medium in which such programs and documentation exist.

This schedule has been revised to expand the authority agencies have to apply previously approved schedules to electronic records; grant broader authority to agencies to dispose of hard copy records that have been converted to an electronic format; and provide disposition instructions for ad hoc printouts and for documentation associated with permanent electronic records. Additionally, because copies of system security records are now covered by GRS 24, item 5, a cross-reference has been provided for item 11b to that effect. The items affected by the revisions to this GRS 20 schedule are 2, 3, 3.1, 11, and 16.

Electronic versions of most records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

~~1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.~~

a. ~~Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records~~. **Superseded by GRS 3.1, items 010 (DAA-GRS-2013-0005-0006), 011 (DAA-GRS-2013-0005-0007), and 020 (DAA-GRS-2013-0005-0004)**

b. ~~Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

c. ~~Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use~~. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**

2. ~~Input/Source Records.~~

a. ~~Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).~~

(1) ~~Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format~~. **Rescinded by GRS Transmittal 23**

(2) ~~Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion~~. **Rescinded by GRS Transmittal 23**

(3) ~~Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations)~~. **Rescinded by GRS Transmittal 23**

~~(4) Hard copy documents other than those covered by Items 2(a) (1) – (3).~~

~~Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later~~. **Superseded by GRS 4.3, items 010 (DAA-GRS-2013-0001-0001), 011 (DAA-GRS-2013-0001-0002), and 012 (DAA-GRS-2013-0001-0003)**

b. ~~Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

c. ~~Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

d. ~~Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

~~3. Electronic Records That Replace Temporary Hard Copy Records.~~

~~Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)~~

~~a. Scanned images~~. **Rescinded by GRS Transmittal 23**

~~b. Electronic formats other than scanned images.~~

(1) ~~Records covered by temporary items in the GRS other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files) *or* Records covered by temporary items in an agency-specific schedule that pertain to administrative housekeeping activities~~. **Rescinded by GRS Transmittal 23**

(2) ~~Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files).~~ **Rescinded by GRS Transmittal 23**

(3) ~~Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings~~. **Rescinded by GRS Transmittal 23**

(4) ~~Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records~~. **Rescinded by GRS Transmittal 23**

(5) ~~Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4).~~ **Rescinded by GRS Transmittal 23**

~~3.1 Electronic Records That Replace Permanent Hard Copy Records.~~

~~Electronic records that replace hard copy records approved as permanent in a previously approved schedule~~. **Rescinded by GRS Transmittal 23**

~~4. Data Files Consisting of Summarized Information.~~

~~Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~5. Records Consisting of Extracted Information.~~

~~Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are produced as disclosure-free files to allow public access to the data; or produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~6. Print File.~~

~~Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~7. Technical Reformat File.~~

~~Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives~~. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

~~8. Backups of Files.~~

~~Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.~~

~~a. File identical to records scheduled for transfer to the National Archives~~. **Superseded by GRS 3.2, item 051 (DAA-GRS-2013-0006-0008)**

~~b. File identical to records authorized for disposal in a NARA-approved records schedule~~. **Superseded by GRS 3.2, item 050 (DAA-GRS-2013-0006-0007)**

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. (N1-GRS-95-2 item 9)

~~10. Special Purpose Programs.~~

~~Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives~~. **Superseded by GRS 3.1, item 012 (DAA-GRS-2013-0005-0008)**

~~11. Documentation.~~

~~a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.~~

(1) ~~Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule~~. **Superseded by GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)**

(2) ~~Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule~~. **Superseded by GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)**

~~b. Copies of records relating to system security~~. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

~~12. Downloaded and Copied Data.~~

~~Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.~~

~~a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review~~. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

b. ~~Derived data that provide user access in lieu of hard copy reports that are authorized for disposal~~. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

c. ~~Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations~~. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

~~13. Word Processing Files.~~

~~Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes~~. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~14. Electronic Mail Records.~~

~~Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes~~. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~15. Electronic Spreadsheets.~~

~~Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.~~

a. ~~When used to produce hard copy that is maintained in organized files~~. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

b. ~~When maintained only in electronic form~~. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~16. Hard copy printouts created to meet ad hoc business needs.~~

~~Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs. Excluded are printouts created to satisfy established reporting requirements (*e.g.*, a statistical report produced quarterly in accordance with an agency directive).~~ **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA) Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word “destroy” is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, “Recovery of Precious Metals.”

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

STILL PHOTOGRAPHY

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

   Destroy when 1 year old. (N1-GRS-98-2, item 32)

2. Personnel Identification or Passport Photographs.

   Destroy when 5 years old or when superseded or obsolete, whichever is later. (N1-GRS-98-2, item 33)

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. (N1-GRS-81-9, item I-3)

4. Reserved.

GRAPHIC ARTS

5. Viewgraphs.

   Destroy 1 year after use. (N1-GRS-98-2, item 34)

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

   Destroy when no longer needed for publication or reprinting. (N1-GRS-98-2, item 35)

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. (N1-GRS-81-9, item II-3)

8. Line Copies of Graphs and Charts.

   Destroy when no longer needed for publication or reprinting. (N1-GRS-98-2, item 36)

MOTION PICTURES

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

   Destroy 1 year after completion of training program. (N1-GRS-81-9, item III-1)

10. Reserved.

11. Routine Surveillance Footage.

    Destroy when 6 months old. (N1-GRS-98-2, item 37)

12. Routine Scientific, Medical, or Engineering Footage.

    Destroy when 2 years old. (N1-GRS-98-2, item 38)

13. Reserved.

VIDEO RECORDINGS

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

Destroy 1 year after completion of training program. (N1-GRS-81-9, item IV-1)

15. Reserved.

16. Rehearsal or Practice Tapes.

    Destroy immediately. (N1-GRS-81-9, item IV-3)

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. (N1-GRS-81-9, item IV-4)

18. Routine Surveillance Recordings.

    Destroy when 6 months old. (N1-GRS-98-2, item 39)

19. Routine Scientific, Medical, or Engineering Recordings.

    Destroy when 2 years old. (N1-GRS-98-2, item 40)

20. Recordings that Document Routine Meetings and Award Presentations.

    Destroy when 2 years old. (N1-GRS-98-2, item 41)

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. (N1-GRS-81-9, item V-1)

    [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. (N1-GRS-81-9, item V-2)

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

Destroy immediately after use. (N1-GRS-81-9, item V-3)

25. Reserved.

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

    Destroy when 6 months old. (N1-GRS-98-2, item 42)

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. (N1-GRS-81-9, item VI-1)

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

    Dispose of according to the instructions covering the related audiovisual records. (N1-GRS-81-9, item VI-2)

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.

GENERAL RECORDS SCHEDULE 23

Records Common to Most Offices within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

1. Office Administrative Files. [See note after this item.]

   Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

   Destroy when 2 years old. (N1-GRS-98-2 item 43)

   [**NOTE**: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA). (N1-GRS-98-2 item 43 Note)]

2-4. Reserved.

5. Schedules of Daily Activities.

   Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. [See note after item 5a.]

Destroy or delete when 2 years old. (N1-GRS-87-19 item 5a)

[**NOTE**: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. (N1-GRS-87-19 item 5a Note)]

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

Destroy or delete when no longer needed for convenience of reference. (N1-GRS-87-19 item 5b)

6. Suspense Files.

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

a. A note or other reminder to take action.

Destroy after action is taken. (N1-GRS-80-8 item 3a)

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. (N1-GRS-80-8 item 3b)

7. Transitory Files.

Records of short-term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:

* Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;

* 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;

* Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;

* Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems). (N1-GRS-04-5, item 1)

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. (N1-GRS-98-2 item 45)

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.

Destroy or delete with the related records. (N1-GRS-98-2 item 46)

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records.

~~1. Oversight and Compliance Files.~~

~~Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.~~

a. ~~Performance measurements and benchmarks~~. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**

b. ~~All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance~~. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**

~~2. IT Facility, Site Management, and Equipment Support Services Records.~~

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence~~.
Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)

~~3. IT Asset and Configuration Management Files.~~

a. ~~Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets~~.
Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)

~~b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~

(1) ~~Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management~~. **Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)**

~~(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

~~4. System Backups and Tape Library Records.~~

~~a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.~~

(1) ~~Incremental backup tapes~~. **Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)**

(2) ~~Full backup tapes~~. **Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)**

b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

Destroy/delete when superseded or obsolete. (N1-GRS-03-1 item 4b)

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

a. ~~System Security Plans and Disaster Recovery Plans~~. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data~~. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

~~6.~~ User Identification, Profiles, Authorizations, and Password Files, ~~EXCLUDING records relating to electronic signatures.~~

a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records~~. **Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)**

b. ~~Routine systems, i.e., those not covered by item 6a~~. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**

~~7.~~ Computer Security Incident Handling, Reporting and Follow-up Records. **Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)**

~~8.~~ IT Operations Records~~.~~

a. ~~Workload schedules, run reports, and schedules of maintenance and support activities~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

~~9.~~ Financing of IT Resources and Services~~.~~

a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

b. ~~Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7~~. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

10. IT Customer Service Files.

a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions,"' and other documents prepared in advance to assist customers.

Destroy/delete 1 year after record is superseded or obsolete. (N1-GRS-03-1 item 10a)

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. (N1-GRS-03-1 item 10b)

~~11. IT Infrastructure Design and Implementation Files.~~

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.~~

a. ~~Records for projects that are not implemented~~. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**

b. ~~Records for projects that are implemented~~. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**

c. ~~Installation and testing records~~. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**

12. RESERVED.

~~13. Public Key Infrastructure (PKI) Records.~~

~~a. PKI Administrative Records.~~

~~(1) FBCA CAs~~. **Now GRS 3.2, item 060**

~~(2) Other (non-FBCA *et. al.*) CAs~~. **Now GRS 3.2, item 061**

~~b. PKI Transaction-specific Records~~. **Now GRS 3.2, item 062**

GENERAL RECORDS SCHEDULE 25

Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

1. Ethics Program Implementation, Interpretation, Counseling, and Development Files.

   Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including:

   * Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.

   * Determinations, including advice and counseling to individual employees, and supporting records.

   * Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

a. Records such as determinations regarding attendance at widely-attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines.

Destroy when 3 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 1a)

b. All other records.

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 1b)

2. Financial Disclosure Reporting Files.

Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.

(1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.

Destroy 1 year after nominee or candidate ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2a1)

(2) All other SF 278s.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2a2)

b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.

(1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2b1)

(2) All other OGE Form 450s and OGE Optional Form 450-As.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2b2)

c. Alternative or additional financial disclosure reports and related records.

(1) Reports for individuals not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2c1)

(2) All other alternative or additional financial disclosure reports.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2c2)

3. Ethics Agreement Records.

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

* Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.

* Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.

* Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3).

Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken or is no longer in effect, whichever is later. (N1-GRS-01-1 item 3)

4. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.

Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution.

Destroy when 6 years old. (N1-GRS-01-1 item 4)

5. Non-Federally Funded Travel Files.

   a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.

      Destroy when 3 years old. (N1-GRS-01-1 item 5a)

   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. (N1-GRS-01-1 item 5b)

6. Ethics Program Review Files.

   Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.

   a. OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.

      Destroy when 6 years old. (N1-GRS-01-1 item 6a)

   b. All other records produced during OGE program reviews, including notes and background materials.

      Destroy 1 year after the date of the OGE program review report or, if there are recommendations, one year after they are closed. (N1-GRS-01-1 item 6b)

7. Annual Agency Ethics Program Questionnaire Files.

   a. Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records.

      Destroy 3 years after submission. (N1-GRS-01-1 item 7a)

   b. All other records related to responses to annual agency ethics program questionnaires.

Destroy 1 year after submission of associated annual agency ethics program questionnaire. (N1-GRS-01-1 item 7b)

8. Ethics Program Employee Training and Education Files.

a. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.

Destroy when 6 years old. (N1-GRS-01-1 item 8a)

b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 8b)

9. Ethics Program Procedures Files.

Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes.

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 9)

GENERAL RECORDS SCHEDULE 26

Temporary Commissions, Boards, Councils and Committees

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term "commission" is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the Code of Federal Regulations (CFR) and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA's transfer requirements for permanent records. See 36 CFR Sections: 1228.266 – Audiovisual Records; 1228.268 – Cartographic and Architectural Records; 1228.270 – Electronic Records; 1230.026 – Microform Records

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

1. Internal Agency Committees

   a. Internal agency committees unrelated to an agency's mission

      Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, *e.g*. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

      Any files created and/or maintained by the committee

      Destroy/delete when no longer needed for administrative purposes. (N1-GRS-04-1 item 1a)

   b. Internal agency committees related to an agency's mission

      Committees established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

Any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.

These records are potentially permanent and must be scheduled by submission of an SF 115 to NARA. (N1-GRS-04-1 item 1b)

2. Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA).

[**NOTE**: The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government. (N1-GRS-04-1 item 2 Note)]

a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as

- original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components

- agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed

- one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files

- correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission

- substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data)

- questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically)

- records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act

- documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and

- documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.

PERMANENT. Transfer to the National Archives on termination of the Commission. Earlier periodic transfers are authorized for commissions operating for 3 years or longer. (N1-GRS-07-5, item 2a)

[**NOTE**: Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements. (N1-GRS-04-1 item 2a Note)]

b. Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as

- correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]

- audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events

- other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and

- extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor.

Destroy/delete when 3 years old (see NOTES). (N1-GRS-07-1 item 2b)

[**NOTE**: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred. (N1-GRS-07-1 item 2b Note)]

[**NOTE**: Administrative records generated by an advisory committee – records relating to budget, personnel, supply or similar housekeeping or facilitation functions – may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support. (N1-GRS-07-1 item 2b Note)]

c. Web site records.

(1) Electronic version of web site(s).

Destroy/delete on termination of commission or when no longer needed, excluding records covered by the NOTE following this item. (N1-GRS-07-1 item 2c1)

(2) Design, management, and technical operation records.

Destroy/delete on termination of commission or when no longer needed. (N1-GRS-07-1 item 2c2)

(3) Electronic version of content records duplicated in textual series of commission records.

Destroy/delete on termination of commission or when no longer needed. (N1-GRS-07-1 item 2c3)

[**NOTE**: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records. (N1-GRS-07-1 item 2c Note)]

3. Committee Records Not Maintained by the Sponsor or Secretariat

Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat.

Destroy when 3 years old. (N1-GRS-04-1 item 3)

[**NOTE**: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority. (N1-GRS-04-1 item 3 Note)]

[**NOTE**: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority. (N1-GRS-04-1 item 3 Note)]

4. Committee Management Records

Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5U.S.C. Appendix 2). [See note after this

item.] Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.

Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer.

Destroy/delete when 6 years old. (N1-GRS-04-1 item 4)

[**NOTE**: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule. (N1-GRS-04-1 item 4 Note)]

[**NOTE:** Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting s SF 115 to NARA. (N1-GRS-04-1 item 4 Note)]

GENERAL RECORDS SCHEDULE 27

Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management. This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA.

1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[**Note**: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[**Note**: Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

4. Legal and Regulatory Compliance Records

Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 4)

5. CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[**Note**: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. CIO Subject and Office Records

Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 6)

[**Note**: Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere. (N1-GRS-04-4 item 6 Note)]

7. Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems.

Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old. (N1-GRS-04-4 item 7)

[**Note**: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter. (N1-GRS-04-4 item 7 Note)]

GRS 27, *Records of the Chief Information Officer*

Implementation Guide

ITEM TITLE	TYPES OF RECORDS
1. Information Technology (IT) Program Planning Records Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.	Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records. [**Note**: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]
2. Enterprise Architecture Records Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.	Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency's baseline or target enterprise architecture (EA). [**Note**: An "iteration" would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.] [**Note**: This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.
3. IT Capital Investment Records Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.	Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and related clearance and review records. [**Note**: Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, "Financing of IT Resources and Services," covers many such records.]

4. Legal and Regulatory Compliance Records Cut off annually. Destroy/delete when 5 years old.	Records of agency-wide compliance with Federal laws and regulations governing information resources management.
5. CIO Committee Records Cut off annually. Destroy/delete when 5 years old.	Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records. [**Note**: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]
6. CIO Subject and Office Records Cut off annually. Destroy/delete when 5 years old.	Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above. [Note: Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, "Files Related to Maintaining the Security of Systems and Data."
7. Schedules of Daily Activities Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.	Official calendars, appointment books, schedules, logs, and diaries. [**Note**: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]

Frequently Asked Questions about General Records Schedule 27, *Records of the Chief Information Officer*

1. To whom does General Records Schedule 27 apply?

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

2. Does this schedule describe all of the records of Federal CIOs?

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

3. How does this schedule differ from GRS 20, *Electronic Records*, and GRS 24, *Information Technology (IT) Operations and Management Records*?

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

4. How does GRS 27/4, "Legal and Regulatory Compliance Records," differ from GRS 24/1, "Oversight and Compliance Files"?

GRS 27/4 covers CIO records that document an agency's compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office's or a system's compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

5. Does this schedule cover records related to IT security?

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, "Legal and Regulatory Compliance Records." However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, "Files Related to Maintaining the Security of Systems and Data." Records related to specific security breaches or incidents are covered by GRS 24/7, "Computer Security Incident Handling, Reporting and Follow-up Records."

6. Does this schedule cover system data?

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to the National Archives.

7. Do records have to be arranged in these categories?

No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

8. Is this schedule only for paper records?

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

FORMS INDEX

STANDARD FORMS

SF NUMBER	TITLE	Schedule	Item
1	Printing and Binding Requisition	3 13	6 2
1A	Binding Instructions	3 13	6 2
1B	List of Books to be Bound	3 13	6 2
1C	Printing and Binding Requisition for Specialty Items	3 13	6 2
2	U.S. Government Lease for Real Property	3	3
2B	U.S. Government Lease for Real Property Short Form	3	3
7	Service Record (obsolete as of Dec. 31, 1994)	1	2
7A	Service Record - Continuation (obsolete as of Dec. 31, 1994)	1	2
7B	Employee Record (obsolete as of Dec. 31, 1994)	1	6
7D	Position Identification Strip (obsolete as of Dec. 31, 1994)	1	11
14	Telegraphic Message	12	3
15	Application for 10-Point Veteran Preference	1	1
18	Request for Quotation	3	3,5
24	Bid Bond	3	3
25	Performance Bond	3	3

SF NUMBER	TITLE	Schedule	Item
25A	Payment Bond	3	3
25B	Continuation Sheet (For Standard Forms 24, 25, and 25A)	3	3
26	Award/Contract	3	3,5
28	Affidavit of Individual Surety	3	3
30	Amendment of Solicitation/Modification of Contract	3	3,5
33	Solicitation, Offer and Award	3	3,5
34	Annual Bid Bond	3	3,5
35	Annual Performance Bond	3	3,5
39	Request for Referral of Eligibles	1	5,33
39A	Request and Justification for Selective Factors and Quality Ranking Factors	1	5,33
44	Purchase Order - Invoice - Voucher	3 6	3 1
44a-d	Purchase Order - Invoice - Voucher	3 6	3 15 50
	Notification of Personnel Action	1	1,14
50B	Notification of Personnel Action	1	1,14
52	Request for Personnel Action	1	1,33
59	Request for Approval of Non-Competitive Action	1	1
61	Appointment Affidavits	1	1
61B	Declaration of Appointee	1	1
62	Agency Request to Pass Over a Preference Eligible or Object to an Eligible	1	5

SF NUMBER	TITLE	Schedule	Item
66	Official Personnel Folder	1	1
71	Application for Leave	2	6
81	Request for Space	11	2
83	Request for OMB Review (Replaced by OMB 83, Paperwork Reduction Act Submission)	16	6
82	Agency Report of Motor Vehicle Data	10	4
85	Questionnaire for Non-Sensitive Positions	18	22
86	Questionnaire for National Security Positions	18	22
91	Motor Vehicle Accident Report	10	5
94	Statement of Witness	10	5
97	The United States Government Certificate to Obtain Title to a Vehicle	4 10	3 6
98	Notice of Intention to Make a Service Contract and Response to Notice	3	11
98A	Notice of Intention to Make a Service Contract and Response to Notice (Attachment A)	3	11
99	Notice of Award of Contract	3	3
113A	Monthly Report of Federal Civilian Employment	1	16
114	Sale of Government Property - Bid and Award	4	3
114A	Sale of Government Property - Item Bid Page - Sealed Bid	4	3
114B	Sale of Government Property - Item Bid Page - Sealed Bid	4	3

SF NUMBER	TITLE	Schedule	Item
114C	Sale of Government Property - General Sale Terms and Conditions	4	3
114C-1	Sale of Government Property - Special Sealed Bid Conditions	4	3
114C-2	Sale of Government Property - Special Sealed Bid - Term Conditions	4	3
114C-3	Sale of Government Property - Special Spot Bid Conditions	4	3
114C-4	Sale of Government Property - Special Auction Conditions	4	3
114D	Sale of Government Property - Amendment of Invitation for Bids/Modification of Contract	4	3
114E	Sale of Government Property - Negotiated Sales Contract	4	3
114F	Sale of Government Property - Item Bid Page - Spot Bid or Auction	4	3
115	Request for Records Disposition Authority	16	2
115A	Request for Records Disposition Authority - Continuation	16	2
119	Statement of Contingent or Other Fees	3	3,5,16
120	Report of Excess Personal Property	4	2
120A	Continuation Sheet (Report of Excess Personal Property)	4	2
121	Annual Report of Utilization and Disposal of Excess and Surplus Personal Property	4	2
122	Transfer Order - Excess Personal Property	4	2
123	Transfer Order - Surplus Personal Property	4	2

SF NUMBER	TITLE	Schedule	Item
123A	Transfer Order - Surplus Personal Property (Continuation Sheet)	4	2
126	Report of Personal Property for Sale	4	2
126A	Report of Personal Property for Sale (Continuation Sheet)	4	2
127	Request for Official Personnel Folder (Separated Employee)	1	17
132	Apportionment and Reapportionment Schedule	5	4
133	Report on Budget Execution	5	3
135	Records Transmittal and Receipt	16	2
135A	Records Transmittal and Receipt (Continuation)	16	2
144	Statement of Prior Federal Service	1	1
145	Telephone Service Request	3 12	3 2
150	Deposit Bond - Individual Invitation, Sale of Government Personal Property	4	3
151	Deposit Bond - Annual Sale of Government Personal Property	4	3
152	Request for Clearance or Cancellation of a Standard or Optional Forms or Exception	16	3
180	Request Pertaining to Military Records	14	21
182	Request, Authorization, Agreement and Certification of Training	1	1
203	Annual Audiovisual Report	16	4
215	Deposit Ticket	6	1

SF NUMBER	TITLE	Schedule	Item
224	Statement of Transactions (Classified According to Appropriation, Fund and Receipt Account, and Related Control Totals)	6	1
225	Report on Obligations	5	3
252	Architect-Engineer Fixed-Price Contract	3	3
254	Architect-Engineer and Related Services Questionnaire	3	3
255	Architect-Engineer and Related Services Questionnaire for Specific Project	3	3
258	Agreement to Transfer Records to National Archives of the United States	16	2
269	Financial Status Report (Long Form)	3	3
270	Request for Advance or Reimbursement	3	3
271	Outlay Report and Request for Reimbursement for Construction Programs	3	3
272	Federal Cash Transactions Report	3	3
272A	Federal Cash Transactions Report - Continuation	3	3
273	Reinsurance Agreement for a Miller Act Performance Bond	3	3
274	Reinsurance Agreement for a Miller Act Payment Bond	3	3
275	Reinsurance Agreement in Favor of the United States	3	3
278	Executive Branch Personnel - Public Financial Disclosure Report	1	24
278A	Assets and Income Public Financial Disclosure Report	1	24

SF NUMBER	TITLE	Schedule	Item
279	Federal Procurement Data System FPDS Individual Contract Action Report	3	3
308	Request for Wage Determination and Response to Request	3	3
311	Agency Information Security Program Data	18	1
312	Classified Information Nondisclosure Agreement	18	25
344	Multiuse Standard Requisitioning/Issue System Document	3	8
360	Request to Approve an Interagency Reporting Requirement	16	3
361	Transportation Discrepancy Report	9	2
362	U.S. Government Freight Loss/Damage Claim	9	2
364	Report of Discrepancy	9	2
701	Activity Security Checklist	18	7b
702	Security Container Check Sheet	18	7b
1012	Travel Voucher	6	1
1012A	Travel Voucher (Memorandum)	9	1
1013A	Payroll for Personal Services	2	2
1034	Public Voucher for Purchases and Services Other Than Personal	6	1
1034A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	6	1
1035	Public Voucher for Purchases and Services Other Than Personal (Continuation Sheet)	6	1

SF NUMBER	TITLE	Schedule	Item
1035A	Public Voucher for Purchases and Services Other Than Personal (Memorandum) (Continuation Sheet)	6	1
1038	Advance of Funds Application and Account	6 9	1 3
1047	Public Voucher for Refunds	6	1
1048	Memorandum - Public Voucher for Refunds	6	1
1049	Public Voucher for Refunds	6	1
1050	Public Voucher for Refunds (Memorandum)	6	1
1069	Voucher for Allowances at Foreign Posts of Duty	6	1
1080	Voucher for Transfers Between Appropriations and/or Funds	6	1
1081	Voucher and Schedule of Withdrawals and Credits	6	1
1093	Schedule of Withholdings Under the Davis-Bacon Act (40 U.S.C. 276a) and/or The Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)	3	3,11
1094	U.S. Tax Exemption Certificates	3	12
1094A	U.S. Tax Exemption Certificate Accountability Record	3	12
1096	Schedule of Voucher Deductions	6	1
1098	Schedule of Canceled or Undelivered Checks	6	1
1103A	U.S. Government Bill of Lading - Memorandum Copy	9	1
1104	U.S. Government Bill of Lading - Shipping Order	9	1

SF NUMBER	TITLE	Schedule	Item
1109A	U.S. Government Bill of Lading - Continuation Sheet – Memorandum	9	1
1113	Public Voucher for Transportation Charges	6	1
1113A	Public Voucher for Transportation Charges (Memorandum)	6 9	1 1
1128	Payroll for Personal Services - Payroll Certification and Summary	6	1
1128A	Payroll for Personal Services - Payroll Certification and Summary - Memorandum	2	2
1145	Voucher for Payment Under Federal Tort Claims Act	6	1
1145A	Voucher for Payment Under Federal Tort Claims Act - Memorandum	6	1
1150	Record of Leave Data	2	9a
1151	Nonexpenditure Transfer Authorization	6	1
1152	Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee	1	1
1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	6	1
1156	Public Voucher for Fees and Mileage of Witnesses	6	1
1156A	Public Voucher for Fees and Mileage of Witnesses - Memorandum	6 9	1 3
1157	Claims for Witness Attendance Fees, Travel, and Miscellaneous Expenses	9	3
1164	Claim for Reimbursement for Expenditures on Official Business	6 9	1 3

SF NUMBER	TITLE	Schedule	Item
1165	Receipt for Cash - Subvoucher	6	1
1166	Voucher and Schedule of Payments	6	1
1166A	Voucher and Schedule of Payments - Memorandum	6	1
1167	Voucher and Schedule of Payments (Continuation Sheet)	6	1
1167A	Voucher and Schedule of Payments (Continuation Sheet) - Memorandum	6	1
1169A	U.S. Government Transportation Request - Memorandum Copy	9	1
1170	Redemption of Unused Tickets	9	1
1176	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces	6	1
1176A	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces - Memorandum	6	1
1177	U.S. Savings Bond Issue File Action Request	2	14c
1182	Subscriber List for Issuance of United States Savings Bonds	2	14b
1183	Subscriber List for Issuance of United States Savings Bonds	2	14b
1186	Transmittal for Transportation Schedules and Related Basic Documents	9	1
1187	Request for Payroll Deductions for Labor Organization Dues	2	15b
1188	Cancellation of Payroll Deductions for Labor Organization Dues	2	15b

SF NUMBER	TITLE	Schedule	Item
1198	Request by Employee for Allotment of Pay for Credit to Savings Accounts with a Financial Organization	2	15b
1199a	Direct Deposit Sign-up Form	2	17
1203A	U.S. Government Bill of Lading, Privately Owned Personal Property - Memorandum Copy	9	1
1204	U.S. Government Bill of Lading, Privately Owned Personal Property - Shipping Order	9	1
1205	U.S. Government Freight Waybill - Privately Owned Personal Property - Original	9	1
1218	Statement of Accountability (Foreign Service Account)	6	1
1219	Statement of Accountability	6	1
1220	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts	6 6	1 5
1221	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (Foreign Service Account)	6 6	1 5
1303	Request for Federal Cataloging/Supply Support Action	3 3	2 4
2800	Application for Death Benefits - Civil Service Retirement System	1	1
2801	Application for Immediate Retirement under the Civil Service Retirement System	1	1
2801-1	Certified Summary of Federal Service - Civil Service Retirement System	1	1
2802	Application for Refund of Retirement Deductions - Civil Service Retirement System	1	1

SF NUMBER	TITLE	Schedule	Item
2803	Application to Make Deposit or Redeposit - Civil Service Retirement System	1	1
2804	Application to Make Voluntary Contributions - Civil Service Retirement System	1	1
2805	Request for Recovery of Debt Due the United States	2	18
2808	Designation of Beneficiary - Civil Service Retirement System	1	1
2809	Health Benefits Registration Form - Federal Employees Health Benefits Program	1	1
2810	Notice of Change in Health Benefits Enrollment	1	1
2811	Transmittal and Summary Report to Carrier - Federal Employees Health Benefits Program	2	22b
2812	Report of Withholdings and Contributions for Health Benefits, Life Insurance, and Retirement	2	22b
2812A	Report of Withholdings and Contributions for Health Benefits by Enrollment Code	2	22b
2823	Designation of Beneficiary - Federal Employees' Group Life Insurance Program	6	1
5515	Debit Voucher	1	1

OPTIONAL FORMS

OF NUMBER	TITLE	Schedule	Item
7	Property Pass	11	4
8	Position Description	1	7
16	Sales Slip - Sale of Government Personal Property	4	3
30	Motor Vehicle Service and Inspection Work Orders	10	2
55	U.S. Government Identification (Card)	11	4
68	Record of Travel Expenses	9	3
101	Summary Worksheet for Estimating Reporting Costs	16	6
108	Daily Vehicle Usage Report	10	2
112	Classified Material Receipt	18	5
116	Record of Top Secret Material	18	5
117	Notice of a Security Violation	18	24
118	Record of Violation	18	18,24
119	Record of Material Removed for Overnight Custody	18	4,5
123	Top Secret Document Inventory Record	18	5
131	Stock Control Card	3	9
136	Application for Retirement - Foreign Service Retirement and Disability System	1	1
137	Designation of Beneficiary	1	1
138	Application for Refund of Compulsory Contributions - Foreign Service Retirement System	1	1

OF NUMBER	TITLE	Schedule	Item
140	Election to Receive Extra Service Credit Towards Retirement and Report of Residence of Spouse	1	1
141	Application for Service Credit	1	1
144	Temporary Duty (TDY) Official Travel Authorization	9	1
153	Telegram	12	3
153A	Telegram (Continuation Sheet)	12	3
158	General Receipt	6	1
164	Meritorious Service Increase Certificate	1	12
187	Telegram Repeat Request	12	3
189	Travel Reimbursement Voucher	6	1
189A	Travel Reimbursement Voucher - Memorandum	6 9	1 1
189B	Travel Reimbursement Voucher (Continuation Sheet) Schedule of Expenses and Amounts Claimed	6	1
189C	Travel Reimbursement Voucher (Continuation Sheet) - Memorandum Schedule of Expenses and Amounts Claimed	6 9	1 1
190	Foreign Service Emergency Locator Information	1	6
191	Outgoing Telegram	12	3
191A	Outgoing Telegram - Continuation Sheet	12	3
199	Notice of Shipment of Effects - Residence-to-Residence Method	9	1
200	Monthly Record of Vehicle Operation Costs	10	2

OF NUMBER	TITLE	Schedule	Item
202	Leave Record	2	7
202A	Leave Summary	2	7
205	Statement of Operating Cash Advance and Replenishment Voucher	6	1
206	Purchase Order, Receiving Report and Voucher	3	3
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	3	3
208	Statement of Collections - Foreign Service of the United States of America	6	1
612	Optional Application for Federal Employment	1	1,15, 32
1017G	Journal Voucher	7	4
1121	Bill of Lading Accountability Record	9	1
1130	Time and Attendance Report	2	7
1135	Time and Attendance Report	2	7
1136	Time and Attendance Report	2	7
1137	Leave Record	2	9

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
3	1a	Real Property Files - Records relating to property acquired after December 31, 1920, other than abstract or certificate of title	10 years after sale	No change	
3	1b	Real Property Files - Abstract or certificate of title	Transfer to purchaser	No change	
3	2	General Correspondence Files	2 years	No change	
3	3a1a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions exceeding simplified acquisition threshold and construction contracts exceeding $2000	6 years, 3 months	1.1	010
3	3a1b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions below simplified acquisition threshold and constructions contracts at or below $2000	3 years	1.1	010
3	3a2a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000	6 years, 3 months	1.1	010
3	3a2b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize small purchase procedures and all construction contracts under $2,000	3 years	1.1	010
3	3b	Routine Procurement Files - Obligation copy	When funds are obligated	Rescinded	
3	3c	Routine Procurement Files - Other copies	Upon termination	1.1	011
3	3d	Routine Procurement Files - Data submitted to FPDS	5 years	1.1	010
3	4a	Supply Management Files - Copies received from other units	2 years	No change	
3	4b	Supply Management Files - Copies in other reporting units an drelated working documents	1 year	No change	
3	5a	Solicited and Unsolicited Bids and Proposals Files - Successful bids and proposals	With related contract (see item 3)	1.1	010
3	5b1	Solicited and Unsolicited Bids and Proposals Files - Unsuccessful - Relating to small purchases	Destroy when superseded or obsolete	1.1	010
3	5b2a	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - Files separated from contract case files	When related contract is completed	1.1	010
3	5b2b	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - When filed with contract case files	With related contract (see item 3)	1.1	010
3	5c1	Solicited and Unsolicited Bids and Proposals Files - Cancelled solicitations files - formal solicitations canceled prior to award	5 years	1.1	010

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
3	5c2	Unopened bids	Return to bidder	1.1	010
3	5d	Solicited and Unsolicited Bids and Proposals Files - Lists or card files of acceptable bidders	Superseded or obsolete	No change	
3	6a	Public Printer Files - Printing procurement unit copy	3 years	1.1	010
3	6b	Public Printer Files - Accounting copy	3 years	1.1	010
3	7	Nonpersonal Requisition File	1 year	1.1	010
3	8a	Inventory Requisition File - Stockroom copy	2 years	No change	
3	8b	Inventory Requisition File - all other copies	6 months	No change	
3	9a	Inventory Files - Inventory lists	2 years	No change	
3	9b	Inventory Files - Inventory cards	2 years	No change	
3	9c	Inventory Files - Report of survey iles and other papers	2 years	No change	
3	10	Telephone Records	3 years	1.1	010
3	11	Contractors' Payroll Files	3 years	1.1	050
3	12	Tax Exemption Files	3 years	1.1	010
3	13	Unsuccessful Grant Application Files	3 years	1.2	021
3	14	Grant Administrative Files	2 years	1.2	010
3	15a	Contract Appeals Case Files - Records created prior to Oct. 1, 1979	6 years, 3 months	Rescinded	
3	16	Contractor's Statement of Contingent or Other Fees	Superseded or obsolete	Rescinded	
3	17	Small and Disadvantaged Business Utilization Files	3 years	No change	
3	18a	Federal Activities Inventory Reform (FAIR) Act Records - maintained by office having primary responsibility	6 to 10 years (as selected by agency)	No change	
3	18b	Federal Activities Inventory Reform (FAIR) Act Records - maintaed by other offices	2 years	No change	
4	1	Property Disposal Correspondence Files	2 years	No change	
4	2	Excess Personal Property Reports	3 years	No change	
4	3a	Surplus Property Case Files - more than $25,000	6 years	1.1	010
4	3b	Surplus Property Case Files - $25,000 or less	3 years	1.1	010
4	4	Real Property Files	Transfer to new owner	No change	
6	1a	Accountable Officers' Files - Originals	6 years, 3 months	1.1	010
6	1b	Accountable Officers' Files - Memorandum or extra copies	1 year	1.1	011
6	2	GAO Exceptions Files	1 year	Rescinded	
6	3a	Certificates Settlement Files - covering closed account settlements, etc.	2 years	1.1	010
6	3b	Certificates Settlement Files - covering periodic settlements	Receipt of subsequent certificate	1.1	010
6	4	General Fund Files	3 years	1.1	010
6	5a	Accounting Administrative Files - For workload and personnel management	2 years	No change	
6	5b	Accounting Administrative Files - All other files	3 years	No change	
6	6a1	Federal Personnel Surety Bond Files - Official copies - before 1/1/1956	15 years	Rescinded	
6	6a2	Federal Personnel Surety Bond Files - Official copies - after 12/31/1955	15 years	Rescinded	
6	6b	Federal Personnel Surety Bond Files - Other	When bond becomes inactive	Rescinded	

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
6	7	Gasoline Sales Tickets	3 years or GAO audit	1.1	010
6	8	Telephone Toll Tickets	3 years or GAO audit	1.1	010
6	9	Telegrams	3 years or GAO audit	Rescinded	
6	10a	Administrative Claims Files - Claims against the US	6 years, 3 months	No change	
6	10b1	Administrative Claims Files - Claims by the US - Paid in full	6 years, 3 months	No change	
6	10b2a	Administrative Claims Files - Claims by the US - Collection action terminated - right to collect not extended	10 years, 3 months	No change	
6	10b2b	Administrative Claims Files - Claims by the US - Collection action terminated - entitled to additional time	3 months after litigation period	No change	
6	10b3	Administrative Claims Files - Claims by US - not owed to US	6 years, 3 months	No change	
6	10c	Administrative Claims Files - affected by court order, etc.	6 years, 3 months or end of litigation	No change	
6	11a	Waiver of Claims Files - Approved waivers	6 years, 3 months	No change	
6	11b	Waiver of Claims Files - Denied waivers	With claims in 10b/10c options	No change	
7	1	Expenditures Accounting General Correspondence and Subject Files	2 years	No change	
7	2	General Accounting Ledgers	6 years, 3 months	1.1	010
7	3	Appropriation Allotment Files	6 years, 3 months	1.1	010
7	4a	Expenditure Accounting Posting and Control Files - Originals	3 years	1.1	010
7	4b	Expenditure Accounting Posting and Control Files - Copies	2 years	1.1	010
8	1	Plant, Cost, and Stores General Correspondence Files	2 years	No change	
8	2	Stores Invoice Files	3 years	1.1	040
8	3	Stores Accounting Files	3 years	1.1	040
8	4	Stores Accounting Background Files	2 years	1.1	040
8	5	Plant Accounting Files	3 years	1.1	040
8	6a	Cost Accounting Reports - Copies in units receiving reports	3 years	1.1	040
8	6b	Cost Accounting Reports - Copies in reporting units and related work papers	3 years	1.1	040
8	7a	Cost Report Data Files - Ledgers and forms	3 years	1.1	040
8	7b1	Cost Report Data Files - Automated records - detail cards	6 months	Rescinded	
8	7b2	Cost Report Data Files - Automated records - summary cards	6 months	Rescinded	
8	7b3	Cost Report Data Files - Tabulations	1 year	Rescinded	
9	1a	Commercial Freight and Passenger Transportation Files - Original vouchers	6 years	1.1	010
9	1b	Commercial Freight and Passenger Transportation Files - Exclusion to 1a	10 years	1.1	010

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
9	1c	Commercial Freight and Passenger Transportation Files - Issuing office copies	6 years	1.1	010
9	1d	Commercial Freight and Passenger Transportation Files - Obligation copy	When funds are obligated	1.1	010
9	1e	Commercial Freight and Passenger Transportation Files - Unused ticket redemption forms	3 years	1.1	010
9	2	Lost or Damaged Shipment Files	6 years		
9	3a	Noncommercial, Reimbursable Travel Files - Travel administrative office files	6 years	1.1	010
9	3b	Noncommercial, Reimbursable Travel Files - Obligation copies	When funds are obligated	1.1	011
9	4a	General Travel and Transportation Files - Admin records	2 years	No change	
9	4b	General Travel and Transportation Files - Accountability Records	1 year	No change	
9	5a	Records Relating to Official Passports - Application files	3 years	No change	
9	5b	Records Relating to Official Passports - Annual reports	1 year	No change	
9	5c	Records Relating to Official Passports - Passport registers	Superseded or obsolete	No change	
9	6	RESERVED		No change	
9	7	Federal Employee Transportation Subsidy Records	3 years	No change	
12	1	Messenger Service Files	2 months	No change	
12	2a	Communication General Files - Corres re: internal admin and operation	2 years	No change	
12	2b	Communication General Files - Telecommunications general files	3 years	No change	
12	2c	Communication General Files - Telecommunications statistical reports	1 year	No change	
12	2d1	Communication General Files - Telecommunication voucher files - reference copies	1 year	1.1	011
12	2d2	Communication General Files - Telecommunication voucher files - Records relating to installation, etc.	1 year after audit or 3 years	No change	
12	2e	Communication General Files - Copies of agreements	2 years	No change	
12	3a	Telecommunications Operational Files - Message registers, etc.	6 months	No change	
12	3b	Telecommunications Operational Files - Copies of incoming/outgoing messages	2 months	No change	
12	4	Telephone Use (Call Detail) Records	3 years	No change	
12	5a	Post Office and Private Mail Company Records - re: incoming/outgoing mail	1 year	No change	
12	5b	Post Office and Private Mail Company Records - Application for registration and certification of declared value mail	1 year	No change	
12	5c	Post Office and Private Mail Company Records - Report of loss, etc.	1 year	No change	
12	6a	Mail and Delivery Service Control Files - Records of receipt and routing	1 year	No change	
12	6b	Mail and Delivery Service Control Files - Statistical reports of postage used	6 months	No change	

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
12	6c	Mail and Delivery Service Control Files - Requisition for stamps	6 months	No change	
12	6d	Mail and Delivery Service Control Files - Statistical reports and data relating to handling of mail	1 year	No change	
12	6e	Mail and Delivery Service Control Files - Records relating to checks or other valuables remitted to agency by mail	1 year	No change	
12	6f	Mail and Delivery Service Control Files - Records of and receipts for mail and packages received through Official Mail and Messenger Service	6 months	No change	
12	6g	Mail and Delivery Service Control Files - General files	1 year	No change	
12	6h	Mail and Delivery Service Control Files - Locator cards, directories, indexes, etc.	5 months	No change	
12	7	Metered Mail Files	6 years	No change	
12	8	Postal Irregularities Files	3 years	No change	
16	1a	Administrative Issuances - Notices, etc.	Superseded or obsolete	No change	
16	1b	Administrative Issuances - Case files	When issuance is destroyed	No change	
16	2a1	Records Disposition Files - Basic documentation - approved SF115s	2 years	No change	
16	2a2	Records Disposition Files - Basic documentation - Other records	6 years	No change	
16	2b	Records Disposition Files - Routine correspondence and memoranda	2 years	No change	
16	3a	Forms Files - One record copy of each form	5 years	No change	
16	3b	Forms Files - Background materials, etc.	Superseded or obsolete	No change	
16	4a	Records Holdings Files - records in offices that prepare reports on agency-wide records holdings	3 years	No change	
16	4b	Records Holdings Files - records held by other offices	1 year	No change	
16	5	Project Control Files	1 year	No change	
16	6	Reports Control Files	2 years	No change	
16	7	Records Management Files	6 years	No change	
16	8	RESERVED		No change	
16	9	Feasibility Studies	5 years	3.1	011
16	10a	Microfilm Inspection Records - re: permanent records	1 year	No change	
16	10b	Microfilm Inspection Records - re: temporary records	2 years	No change	
16	11	IRM Triennial Review Files	7 years	No change	
16	12	Information Collection Budget Files	7 years	No change	
16	13a	Documents Published in the Federal Register - Processing notices announcing matters not codified in CFR	1 year	No change	
16	13b	Documents Published in the Federal Register - Processing of semiannual regulatory agenda	2 years	No change	
16	14a	Management Control Records - Policy, procedure, and guidance files	Superseded or obsolete	No change	
16	14b	Management Control Records - Management control plans	Superseded or obsolete	No change	
16	14c	Management Control Records - Risk analyses	After next review cycle	No change	

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
16	14d	Management Control Records - Annual reports and eassurance statements	After next reporting cycle	No change	
16	14e	Management Control Records - Tracking files	1 year	No change	
16	14f1	Management Control Records - Review Files - Responsible office	5 years	No change	
16	14f2	Management Control Records - Review Files - Other offices	1 year	No change	
20	1a	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system performance, etc.	No longer needed	3.1	010 011 and 020
20	1b	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files/records to create/update master file	After transfer to master file	4.3	020
20	1c	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage	No longer needed	3.2	030
20	2a1	Input/Source Records - Hard-copy - Previously scheduled; must be transferred in hard-copy	Permanent	Rescinded	
20	2a2	Input/Source Records - Hard-copy - Previously scheduled; e-recs don't meet transfer standards	Permanent	Rescinded	
20	2a3	Input/Source Records - Hard-copy - Contain info not captured in electronic version	Apply previously approved schedule	Rescinded	
20	2a4	Input/Source Records - Hard-copy - Records not covered by 2a1-3.	When e-version is verified, etc.	4.3	010 011 012
20	2b	Input/Source Records - Electronc records (except notied in 2c) entered during update proces	When data verified in master file	4.3	020
20	2c	Input/Source Records - Electronic records received from another agency	When data verified in master file	4.3	020
20	2d	Input/Source Records - Uncalibrated or unvalidated observational data	When data is in master file	4.3	020
20	3a	Electronic Versions of Records Scheduled for Disposal - Scanned images	When hard copy retention expires	Rescinded	
20	3b1	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Administrative records	When hard copy retention expires	Rescinded	
20	3b2	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files).	Submit SF-115	Rescinded	
20	3b3	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Digital still pictures, sound or video	When hard copy retention expires	Rescinded	
20	3b4	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Media neutral program records	Apply previously approved schedule	Rescinded	

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
20	3b5	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4).	Submit SF-115	Rescinded	
20	3.1	Electronic Records that Replace Permanent Hard Copy Records	Permanent	Rescinded	
20	4	Data Files Consisting of Summarized Information	No longer needed	4.3	031
20	5	Records Consisting of Extracted Information	No longer needed	4.3	031
20	6	Print File	No longer needed	4.3	031
20	7	Technical Reformat File	No longer needed	4.3	031
20	8a	Backups of Files - Identical to permanent records	When backed up or transferred to NARA	3.2	050
20	8b	Backups of Files - Identical to temporary records	Superseded or obsolete	3.2	051
20	9	Finding Aids (or Indexes)	No longer needed	No change	
20	10	Special Purpose Programs	When related master file is deleted	3.1	012
20	11a1	Documentation - Related to temporary systems	When related master file is deleted	3.1	051
20	11a2	Documentation - Related to permanent systems	Permanent	3.1	050
20	11b	Documentation - Copies of records relating to system security	See GRS 24, item 5	3.2	010
20	12a	Downloaded and Copied Data - Derived data for ad-hoc reports	No longer needed	4.3	030
20	12b	Downloaded and Copied Data - Derived data in lieu of hard copy reports	No longer needed	4.3	030
20	12c	Downloaded and Copied Data - Metadata or reference data	No longer needed	4.3	020
20	13	Word Processing Files	No longer needed	4.3	040
20	14	Electronic Mail Records	After copying to recordkeeping system	4.3	040
20	15a	Electronic Spreadsheets - Used to produce hard copy that is maintained in organized files	No longer needed	4.3	040
20	15b	Electronic Spreadsheets - Maintained in electronic form	When hard copy retention expires	4.3	040
20	16	Hard Copy Printouts Created to Meet Ad Hoc Business Needs	No longer needed	4.3	030
24	1a	Oversight and Compliance Files - Performance measurements and benchmarks	5 years or 1 year	3.1	040
24	1b	Oversight and Compliance Files - All other oversite and compliance records	3 years or 1 year	3.1	040
24	2	IT Facility, Site Management, and Equipment Support Services Records	3 years or superseded	3.1	020
24	3a	IT Asset and Configuration Management Files - Inventories	1 year	3.1	020
24	3b1	IT Asset and Configuration Management Files - Management Records - system implementations, applications, modifications	1 year	3.1	030

Old GRS	Old Item	Series Title	Retention	New GRS	New Item
24	3b2	IT Asset and Configuration Management Files - Management Records - routine IT maintenance	3 years or 1 year	3.1	020
24	4a1	System Backups and Tape Library Records - Backup tapes - Incremental backup tapes	Superseded or obsolete	3.2	040
24	4a2	System Backups and Tape Library Records - Backup tapes - Full backup tapes	After second subsequent backup	3.2	041
24	4b	System Backups and Tape Library Records - Tape library records	Superseded or obsolete	No change	
24	5a	Files Related to Maintaining the Security of Systems and Data - System Security Plans and Disaster Recovery Plans	1 year	3.2	010
24	5b	Files Related to Maintaining the Security of Systems and Data - IT risks, etc.	1 year	3.2	010
24	6a	User Identification, Profiles, Authorizations, and Password Files - Systems requiring special accountability	6 years	3.2	031
24	6b	User Identification, Profiles, Authorizations, and Password Files - Routine systems	See GRS 20, item 1c	3.2	030
24	7	Computer Security Incident Handling, Reporting, and Follow-up Records	3 years	3.2	020
24	8a	IT Operations Records - Workload schedules, etc.	1 year	3.1	020
24	8b	IT Operations Records - Problem reports, etc.	1 year	3.1	020
24	8c	IT Operations Records - Operations reports, etc.	3 years	3.1	020
24	9a	Financing of IT Resources and Services - Agreements	3 years	3.1	020
24	9b	Financing of IT Resources and Services - Files related to managing third-party services	3 years	3.1	020
24	9c	Financing of IT Resources and Services - allocate charges, track payments	3 years	3.1	020
24	10a	IT Customer Service Files - Providing help desk information	1 year	No change	
24	10b	IT Customer Service Files - Logs, reports & other files	1 year	No change	
24	11a	IT Infrastructure Design and Implementation Files - Not implemented	1 year	3.1	010
24	11b	IT Infrastructure Design and Implementation Files - Implemented	5 years	3.1	010
24	11c	IT Infrastructure Design and Implementation Files - Installation and testing	3 years	3.1	010
24	12	RESERVED		No change	
24	13a1	PKI Records - PKI Administrative Records - FBCA Cas	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	3.2	060
24	13a2	PKI Records - PKI Administrative Records - Other Cas	7 years, 6 months to 20 years, 6 months	3.2	061
24	13b	PKI Records - Transaction specific records	7 years, 6 months to 20 years, 6 months	3.2	062

Frequently Asked Questions (FAQs) about the General Records Schedules

1. What are the General Records Schedules (GRS)?

The General Records Schedules (GRS) are issued by the Archivist of the United States to provide agencies with disposition authority for records common to several or all agencies of the Federal Government. "The GRS" refers to the entire set of schedules, but "GRS" is also commonly used to refer to a single schedule within the whole. These schedules authorize, after specified periods of time, the destruction of temporary records or the transfer of permanent records to the National Archives of the United States (NARA). (36 CFR 1227.10)

2. What are the "New General Records Schedules"?

The New General Records Schedules are schedules that are the product of NARA's 5-year project to update and revise the GRS. This project came out of OMB/NARA M-12-18, Managing Government Records Directive, and is being carried out by the GRS Team in the Office of the Chief Records Officer at NARA.

The new schedules will eventually completely replace the old GRS chapters with an organizational structure based on functional areas. New General Records Schedules are identifiable by their X.X number, as opposed to the old Chapter X identifier. Eventually, the entire old GRS will be replaced with new schedules organized as follows. Schedules bearing "DAA" numbers are published in this Transmittal. All other schedules are still pending.

Administrative Support Functions

- 1.0 Finance
  - 1.1 General Financial Management Records (DAA-GRS-2013-0003)
  - 1.2 Grant and Cooperative Agreement Records (DAA-GRS-2013-0008)
  - 1.3 Budgeting Records
- 2.0 Human Resources
  - 2.1 Employee Acquisition Records
  - 2.2 Employee Management Records
  - 2.3 Employee Relations Records
  - 2.4 Employee Compensation and Benefits Records
  - 2.5 Employee Separation Records
  - 2.6 Employee Training Records
  - 2.7 Employee Health and Safety Records
  - 2.8 Employee Ethics Records
- 3.0 Technology
  - 3.1 General Technology Management Records
  - 3.2 Information Systems Security Records (DAA-GRS-2013-0006)

- 4.0 Information Management
  - 4.1 Records and Information Management Records (DAA-GRS-2013-0002)
  - 4.2 Information Access and Protection Records (DAA-GRS-2013-0007)
  - 4.3 Input Records, Output Records, and Electronic Copies (DAA-GRS-2013-0001)
  - 4.4 Library & Special Collections Records
- 5.0 General Operations Support
  - 5.1 General Administrative Records
  - 5.2 Operational Planning Records
  - 5.3 Travel and Transportation Records
  - 5.4 Facilities, Fleet and Equipment Records
  - 5.5 Mail and Telecommunications Services Records
  - 5.6 Security Records
  - 5.7 Management Controls and Oversight Records
  - 5.8 Internal Help Desk Services Records

Mission Support Functions

- 6.0 Mission Support
  - 6.1 Email Accounts Managed Under a Capstone Approach
  - 6.2 Federal Advisory Committee Records
  - 6.X Mission Planning and Performance Records
  - 6.X Public Affairs Records
  - 6.X Legal Support Records
  - 6.X Legislative and Congressional Relations Records
- 7.0 Policy and Regulation
  - 7.1 Policy and Guidance Development Records
  - 7.2 Regulatory Creation and Publication Records
- 8.0 Regulatory Compliance and Enforcement
  - 8.1 Inspections and Auditing Records
  - 8.2 Standard Setting/Reporting Guideline Development Records
  - 8.3 Permits and Licensing Records
- 9.0 Research and Development
  - 9.1 Research and Development Records

3. Is there a NARA glossary of terms and definitions related to the GRS?

There is no glossary of terms specifically related to the GRS. Terms and definitions relevant to the GRS can be found in 36 CFR 1220.18. The FAQs for an individual new GRS may contain definitions specific to that schedule.

4. When must agencies apply the GRS?

There are situations in which agencies must apply a GRS and situations in which an agency may either apply a GRS or request a deviation (36 CFR 1227.12). These situations are:

If...	...then...
the particular GRS states that its provisions must be followed without exception	your agency must follow the disposition instructions in the GRS, regardless of whether your agency has existing schedules. Your agency may not request a deviation from a GRS that states the provisions must be followed without exception.
the particular GRS allows agencies to use existing agency schedules	your agency may follow the disposition instructions in either the GRS or the existing agency schedule, but it must follow the same disposition instructions throughout the agency and instruct its staff to do so. **If an agency chooses to follow its own schedule, it must notify NARA within 120 days after NARA has issued the new or revised GRS.** Notification may be submitted via e-mail to GRS_Team@nara.gov.
your agency does not have existing schedules covering records scheduled by a GRS	your agency must follow the disposition instructions of the GRS.
your agency requires a different retention period to meet its business needs	it must submit a records schedule in accordance with 36 CFR 1225 and a justification for the deviation.
your agency does not create or maintain the records covered by the particular GRS	no action is required.

5. Where can I find additional information on the General Records Schedules?

Additional information about the GRS can be found on the GRS web page or in other GRS-related FAQs. Questions may also be sent to the GRS Team at GRS_Team@nara.gov.

Frequently Asked Questions (FAQs) about the GRS Update Project

GENERAL ISSUES

1. How does OMB/NARA M-12-18, Managing Government Records Directive, affect this effort, or how does this effort fit into the Directive?

OMB/NARA M-12-18, Managing Government Records Directive, requires that NARA revise, update, and expand the GRS by December 31, 2017. The GRS Update Project is the effort to meet that mandate by revising the existing schedules and adding new content.

NARA recognizes that the Directive requires agencies to submit schedules for all unscheduled paper and other non-electronic records by December 31, 2016, and that this deadline may, at times, result in agencies scheduling records that ultimately end up covered by a new GRS as well. Unfortunately, NARA cannot condense its GRS update project timeframe to adjust for this because of the scope of the project. NARA apologizes for the inconvenience, but recommends agencies continue to follow their own scheduling timeline to meet their Directive requirements, rather than wait on a future GRS update.

2. How will the new GRS be different from the current GRS?

Agencies should see the following changes in the new GRS:

- A new structure: the GRS will be completely reorganized along functional lines.
- More streamlined items: we are aggregating previously scheduled records as well as some new records whenever retention requirements allow. The new GRS, as a result, contains a number of big-bucket items.
- General updating: we are revising records descriptions and retention to reflect current business practices and rescinding items that are no longer needed.
- More flexible retention periods: new disposition instructions for temporary records establish retention parameters (usually a minimum retention periods), allowing for agencies to set retention periods based on their own business needs without having to request approval from NARA. This will also aid agencies looking to include GRS items in big buckets—they will be able to extend retention periods without NARA approval. This will also provide more clarity as to when a retention period is fixed and cannot be deviated from without significant justification.
- Additional clarity: FAQs and other implementation aides for individual schedules help interpret and implement the GRS.
- New content is included in updated items to reflect current business practices. For instance, records created by credit card purchasing make their debut in the GRS with Transmittal 23 (GRS 1.1). New content is also planned as entirely new schedules in future transmittals, such as executive records—records commonly created or maintained by high-level officials—and mission planning and performance records.

3. Will the new GRS include new record content?

The new GRS may include new record series related to the functions mapped to the current GRS. We are also planning to add some completely new functional areas to the GRS, such as Public Affairs Records and Legal Records, but inclusion of these records will depend on whether series are ultimately appropriate for a GRS. Because new content takes more time to research and verify, some of the proposed new schedules may not be completed by December 31, 2017.

4. Are any legacy GRS items being retired?

Disposition items no longer needed are rescinded from the GRS as new schedules replace old ones. For instance, "telegrams filed in support of telegraph bills," added to the GRS in 1977, make their exit with Transmittal 23. NARA makes the rescissions known by issuing transmittal memos sent out via RM Communication and posted on the GRS website.

5. Why do the new schedules no longer match up with the original GRS Restructuring Plan item list?

The GRS Team used *The New GRS: A Plan for Restructuring and Updating the General Records Schedules* (September 2012) as a fluid framework to map the older GRS authorities to functional lines of business (LOB) based in part on the Federal Enterprise Architecture (FEA). These functions and sub-functions were not meant to be the actual buckets under which records would be aggregated and scheduled. The functions and sub-functions only identified the general structure for the new GRS and the organizational structure of the published version of the GRS. During the schedule research and writing phases, the GRS Team found the need to make changes to the original restructuring plan.

THE GRS UPDATE PROCESS

6. Does NARA update the entire GRS at one time or in parts? When will the GRS be updated again?

The GRS is actually multiple schedules—1 through 27. These schedules have, over the years, been updated individually in whole or in part, but never has the whole compendium been updated at once. The new GRS is also comprised of multiple schedules and like its predecessor will be updated in parts. In Fiscal Year 2013, the GRS Team started a five-year process of updating the GRS. As new schedules are released they will replace parts of the old GRS. Superseded items will be clearly marked in each new GRS Transmittal until the entire old GRS has been replaced. Once the five-year revision project is complete, the GRS Team will continue with periodic updates and revisions of the GRS as needed.

7. How does NARA inform agencies of new GRS updates?

NARA has multiple ways to keep agencies aware of GRS updates. NARA issues new schedules through GRS Transmittals distributed via RM Communications to agency records management staff. NARA also posts updates on its GRS web page. New schedules are published online; both as individual schedules in the Records Control Schedules online repository, and as incorporated with other schedules in GRS Transmittals. The GRS Team has given, and will continue to give, regular updates on the project during NARA's Bimonthly Records and Information Discussion Group (BRIDG) meetings, to which representatives from all agencies are invited.

8. Does NARA solicit agency participation in developing new GRSs?

The GRS Team works closely with agencies to gather information about processes, their related records, and business needs for those records. We solicit agency input in a variety of ways, such as focus groups, and approach some agencies specifically based on their subject matter expertise. We are always looking for new ways to get agency input on new schedules. If you have thoughts about a particular schedule, please contact us at GRS_Team@nara.gov.

THE NEW SCHEDULES

9. Why do the new schedules have flexible disposition instructions such as "when no longer needed" or "longer retention is authorized if required for business use"?

The flexible GRS authorities set parameters for retention periods, rather than specific lengths, so that agencies have some latitude in implementing the GRS for their programs. Agencies may establish fixed retention periods within those parameters without further NARA approval. Agencies may also create big-bucket items for records within the flexible GRS retention parameters without requesting approval by NARA.

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

The agency may continue to use fixed disposition instructions suited to RMAs as long as the instructions fit within the parameters of GRS disposition instructions and the agency cites the GRS authority. If the agency-schedule fixed disposition instructions do not fit within the parameters of the new GRS disposition instructions, the agency may use its existing schedules by notifying the GRS Team within 120 days of the new GRS issuance (if the GRS permits). If the

agency finds the new GRS authority covers records not previously scheduled by the agency and its business needs require fixed disposition instructions outside the parameters of the new GRS, the agency may request a deviation from the GRS by submitting a new schedule.

11. Why does the GRS include items for copies of records? Aren't copies "non-record" material?

Some copies of records are used in the course of agency business to make decisions or take action. These, even though they are copies, are also Federal records and the new GRS schedules them. For example, a program office may initiate and track a case file and send a copy to another program office to support the second office's mandate. The agency then has two copies of the case file fulfilling different program directives, and both are Federal records. Other copies are kept only for convenience of reference. Those are *non-records* and for that reason are not mentioned in the GRS.

PROJECT TIMELINE

12. Why will it take five years to complete this project?

The revision project isn't a matter of updating a single schedule. While the GRS Team will build upon current schedules, each new schedule must be built fresh from the ground up. We reexamine old authorities to see if they are still relevant, investigate current business practices to identify new records series that need to be added, solicit and incorporate agency input as much as possible, and analyze all this information to create more comprehensive schedules. We are also committed to building new schedules on the bucket model wherever useful. It is not a small task. It's comparable to an agency updating and revising its entire records manual after 20 years, but even more complicated; rather than looking at records in just one agency, we seek to accommodate all agencies.

13. How long will it take for the GRS Team to finish and issue each new GRS schedule?

The GRS Team estimates it takes about 24 months to draft, review, and issue a new GRS schedule. Depending on the complexity of the schedule and review or other variables, the scheduling process for a particular schedule may be shorter or longer than that estimate.

Frequently Asked Questions (FAQs) about the Impact of the New GRS on Agencies

IMPACT ON AGENCY RECORDS SCHEDULING

1. Should an agency proceed with scheduling records that are going to be covered by a GRS?
If an agency needs disposition authorities ahead of the GRS timetable, it should go ahead and schedule the records. There is no guarantee that new record series proposed for the GRS will ultimately be included. Many factors may either delay certain series or prevent their inclusion in a GRS.

2. Will NARA stop accepting agency-submitted schedules, or processing schedules already in the queue, in anticipation of a pending new GRS?

NARA continues to accept and process agency schedules even if the records may be covered by a pending GRS. An agency may also withdraw a submitted schedule, or an item on a schedule, at any time. If you have questions about when a GRS is scheduled to be revised please contact the GRS Team at GRS_Team@nara.gov.

3. Do new GRS items supersede agency-specific disposition authorities?

According to 36 CFR 1227.12, agencies *must* use a new or revised GRS only when the GRS states that the provisions must be followed without exception. In all other cases, if your agency has an existing schedule and the new or revised GRS permits use of existing agency-specific schedules, you may choose to follow either your agency-specific disposition instruction or the GRS. If your agency chooses to follow its own schedule, you must notify NARA at GRS_Team@nara.gov within 120 days of the issuance of the new or revised GRS.

4. If the new GRS does not meet an agency's disposition needs what should the agency do?

If the agency already has an approved agency schedule and the GRS permits the use of existing agency schedules, the agency may choose to use its own schedule, notifying NARA at GRS_Team@nara.gov of its intent within 120 days of the new or revised GRS issuance. If an agency does not have an approved schedule for the records and the new or revised GRS allows for deviations, the agency may request a deviation from the GRS by submitting a schedule to NARA that explains why a deviation is necessary for the agency's records. Please keep in mind that as long as the agency disposition instruction is within the parameters set by the GRS a deviation request is not required.

5. Are the new GRSs mandatory?

The GRSs are mandatory, but unless an item or schedule says that it must be followed without exception, an agency may request a deviation to a GRS by submitting a schedule to NARA with a

justification for the deviation. This rule applies to permanent GRS items as well. However, please keep in mind that while an agency may request a deviation, NARA may not agree to approve it, especially for permanent records.

IMPACT ON RECORDS IN FEDERAL RECORDS CENTERS

6. Should agencies continue to use existing GRS items to transfer records to the Federal Record Centers (FRCs) or other storage facilities and the NARA custodial units even though the items are being revised?

Yes. If NARA determines existing GRS disposition or retention instructions are in significant conflict with proposed GRS revisions, it will inform agencies not to destroy the affected records until the GRS changes are approved and ready for implementation. This information will be distributed via the GRS web page and an RM Communications email to agencies.

7. Is there a plan in place for NARA to provide the FRCs with the new GRS retention requirements for records in storage?

The FRC Program is an internal stakeholder in the GRS restructuring process and is kept well-informed about disposition changes affecting records in storage. The GRS Team provides the FRC Program with copies of the crosswalks for mapping new GRS disposition authorities to superseded ones. However, these crosswalks cover only records retired by agencies under old GRS authorities. Agencies need to notify the Federal Records Center Program (FRCP) of any agency- schedule retention requirements that are superseded by new GRS items, including revised manual citations, if applicable.

8. Will my agency be charged for the mass data changes that result from new GRS authorities superseding old GRS ones?

No. Your agency will not be charged because mass data changes are a baseline service provided by the FRCP to agencies, and the changes are paid for in the initial processing fee for each transfer. The FRCP will automatically make updates to new GRS disposal authorities for records center holdings coded under superseded GRS disposal authorities in the Archives and Records Centers Information System (ARCIS). Agencies incorporating new GRSs into their comprehensive records schedules, and desiring mass data changes to ARCIS, will need to inform the FRC Program of revisions in the retention period or item numbering within their comprehensive agency schedule.

Frequently Asked Questions (FAQs) about General Records Schedule Deviations

1. What is a deviation from the GRS?

A deviation from the GRS occurs when an agency uses a retention period for records different from the retention period authorized by the GRS. Deviations are of two types: those that require NARA approval and those that do not.

DEVIATIONS THAT REQUIRE NARA APPROVAL

2. Under what circumstances does a deviation require NARA approval?

NARA approval is required when an agency needs to deviate from the GRS and does not have an existing NARA-approved agency schedule for the records.

3. Why would an agency seek to deviate from a current GRS?

Situations where an agency might request a deviation are illustrated by these not-exhaustive examples of actual requests:

a. Extending retention period for Personnel Awards (old GRS 1/item12a) from 2 years to 10 years because the agency has frequent need to refer back to these records for employee promotions.
b. Merging GRS items to create a new retention period of 4 years, thus extending the current retention periods ranging from 3 months to 3 years, for Motor Vehicle Maintenance/ Operations, Costs and Reports Files (old GRS 10/items 2, 3, and 4). This deviation was requested because the agency's business practice is to maintain these records as a single system of records.
c. Extending retention period from 3 months to 4 years for Complaint Correspondence files (old GRS 14/item 5) because this agency reviews these letters for possible patterns that may have investigatory value.
d. Reducing retention period for Badging and Access Control Data (old GRS 18/item 17b) from 2 years to 6 months because the agency determined it had no business need to retain the records for the entire GRS retention period.

4. How does an agency request to deviate from a current GRS when it does not have an already approved agency records schedule for the records?

An agency must submit a proposed records schedule to request the use of a disposition other than that approved in a GRS. The agency-submitted schedule must cite each GRS item from which the agency wants to deviate, identify the agency schedule item that supersedes it, and provide a justification for the deviation. This applies whether the records are scheduled in the GRS as temporary or permanent. Some GRS items, such as accountable officer records, require additional concurrence from other oversight agencies such as GAO. Please contact the GRS Team at GRS_Team@nara.gov if you have questions about whether a request requires additional agency review as the current list of oversight agencies is in flux.

DEVIATIONS THAT DO NOT REQUIRE NARA APPROVAL

5. What action must an agency take to deviate from a new GRS and continue using its own previously approved disposition instructions?

If an agency chooses to follow its own schedule instead of a new or newly revised GRS, and if the new GRS does not state that it must be followed without exception (see question 8), the agency must notify NARA within 120 days of the issuance of the new or revised GRS. Notification should be sent to GRS_Team@nara.gov with the subject heading "<Agency name> GRS Notification." The body of the email should include:

Agency name
Name of requester and/or point of contact (POC)
Requester/POC email address and telephone number
NARA Disposition Authority (job and item number or DAA item number)
Agency manual citation (manual name/number, item number)
Title of the record series or system of records or bucket schedule item

INFORMATION APPLICABLE TO ALL DEVIATIONS, BOTH THOSE THAT REQUIRE NARA APPROVAL AND THOSE THAT DO NOT

6. Can an agency deviate from the GRS without submitting a schedule or requesting a deviation?

Yes, under the following circumstances:

a. When an agency is aggregating GRS items without changing the GRS retention period
b. When the GRS disposition is open-ended and the agency wishes to have a more specific retention period, as long as it falls within the parameters established by the GRS. See also question 9, below.

c. When an agency seeks only to temporarily extend the retention period. Per 36 CFR 1226.18a, agencies may temporarily retain records approved for destruction beyond their NARA-approved retention period if special circumstances (such as a records freeze or hold) alter the normal administrative, legal, or fiscal value of the records. How to request a records freeze is detailed in the Freeze Process Overview/FAQ on NARA's web site.

7. When is a deviation from the GRS not allowed?

Agencies must use the GRS and cannot request deviations when a GRS states that its provisions must be followed without exception.

8. A GRS disposition instruction is open-ended, stating that records *must* be kept for a certain period of time but *may* be kept even longer to meet agency business needs. My agency either already has or wants a more specific disposition instruction than allowed by the GRS. Does my agency need to notify NARA that it will use its own schedule or request a deviation via a new schedule?

Examples of an open-ended disposition include "Destroy when no longer needed" or "Destroy when no longer needed for business use, or audit requirements, or to fulfill legal requirements." Open-ended dispositions may also contain a specific time period for destruction of records (e.g., "Destroy when 6 years old") and include wording like "or when no longer needed for business use, whichever is later" or "Longer retention is authorized if required for business use." Such disposition instructions are designed as open-ended to meet the needs of more agencies, while still establishing basic requirements for destruction of the records.

When the GRS disposition is open-ended, an agency may issue its own more specific disposition instructions, provided that these instructions meet the requirements of the GRS disposition. The agency does not need to request a deviation or otherwise notify NARA. For example, if the GRS disposition is "Destroy when no longer needed," the agency may set a disposition of "Destroy when 3 years old." The agency might choose such a disposition when it decides that it would not need any of the records beyond 3 years.

9. Where do I go for more information?

For questions related to this FAQ or the GRS Transmittal, please contact NARA's GRS Team at GRS_Team@nara.gov. For questions related to scheduling records for a deviation from the GRS,

please contact your agency's appraisal archivist. A list of appraisal archivists by agency can be found at http://www.archives.gov/records-mgmt/appraisal/work-group-all.html.

Checklist for Implementing the GRS

The purpose of this optional checklist is to assist agencies to implement a new General Records Schedule (GRS) when one is issued. Agencies may use this tool, in full or in part, as they need when updating agency materials on records disposition. Such materials may include comprehensive schedules, bucket schedules, or disposition manuals. Questions about GRS implementation may be addressed to the GRS Team at GRS_Team@nara.gov.

When NARA issues a new GRS transmittal, an agency should:

☐ 1. Identify old GRS items in its comprehensive disposition manual that are superseded by any new GRS items. Use the new to old crosswalks for each new schedule, included in the GRS Transmittal, to aid in this process.

☐ 2. Identify agency-specific authorities that are covered by new GRS items.

☐ 3. Determine whether it is necessary to revise the agency's comprehensive disposition manual to conform to new GRS item(s).

- If the GRS item states that it is mandatory and must be followed without exception, the agency must follow the GRS and cannot use an agency authority, even if previously approved by NARA. The agency must update its agency comprehensive disposition manual with the new GRS disposition authority.
- If agency-specific schedule disposition instructions fall within the parameters of the new GRS disposition instructions, update the agency-specific schedule with the new GRS disposition authority.
  - The agency may define cutoff instructions and set retention periods different from the GRS ones and still cite the new GRS disposition authority—as long as the agency instructions and retention periods fall within the parameters of the new GRS flexible disposition instructions. For instance, if the GRS retention instruction is "destroy 3 years after program closure, but longer retention is authorized if required for business use," the agency may choose to specify destruction 6 years after program closure and still cite the GRS item as the authority, if the agency has a business need for longer retention.
- If the agency-specific schedule disposition instructions do not fall within the parameters of the GRS disposition instruction, the agency has two options:
  - If the new GRS disposition instruction is appropriate for the records, revise the agency-specific disposition instructions in accordance with the new GRS authority.
  - If the new GRS disposition instruction does not meet agency needs, the agency may use its current disposition rather than the GRS one, but must inform NARA within 120 days of its intention to do so. Send notification to GRS_Team@nara.gov with the subject heading "<Agency name> GRS Notification." In the body of the email, include:

  - agency name;
  - name of requester and/or point of contact (POC);
  - requester/POC email address and telephone number;
  - NARA SF-115 or DAA number and item number;
  - agency manual number and item number; and
  - title of the record series or system of records or bucket schedule item
- If the agency has unscheduled records covered by the new GRS item, the agency may choose between the following two options for the unscheduled records:
  - If the agency determines that the new GRS disposition instructions meet its business needs for the records, the agency should add the GRS item to its agency comprehensive disposition manual.
  - If the agency determines that it needs disposition instructions outside the parameters of the new GRS instructions, the agency must submit to NARA a schedule requesting a deviation from the GRS. Note that unless explicitly prohibited, an agency may request to deviate from the new GRS for permanent as well as temporary records.

☐ 4. Make changes to the agency's comprehensive disposition manual as needed. Keep track of changes to inform the Federal Records Center Program (FRCP) or storage service providers and agency staff.

☐ 5. Issue comprehensive records disposition manuals updated to conform to new GRS items through the agency's policy process.
- Consider vetting the proposed changes with concerned stakeholders such as affected program offices, General Counsel, Inspector General, and others designated as part of the agency policy approval process.
- Submit new schedules or change transmittals through the agency directive approval process.
- Prepare schedules and/or manual for normal agency distribution (e.g., through publication on the agency intranet or Internet).

☐ 6. Communicate changes in the agency schedule and/or records management manual to agency staff.
- Consider rolling out training with the issuance of new agency-specific schedules.

☐ 7. Identify changes in agency schedules resulting from new GRS items that affect agency records stored in FRCs or other agency records storage facilities, as appropriate.

☐ 8. Inform the FRC account manager and/or other storage service provider of changes to agency comprehensive records disposition manuals, as applicable.
- NARA will provide the FRC program with crosswalks from old to new GRS items. Transfers using existing GRS citations will be updated in ARCIS by the FRCP. The

agency needs to inform the FRCP of alterations to agency-specific schedule authorities and/or comprehensive records disposition manuals affecting records stored in an FRC in order to accomplish any other required ARCIS updates.

- Contact information for agency FRCP account managers can be found at http://www.archives.gov/frc/acct-reps.html.
- NARA does not provide GRS crosswalks to commercial records storage facilities. If an agency stores records at such a facility, it must inform the service provider of any changes in records retention or disposition.