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The General Records Schedules

Transmittal 27

National Archives and Records Administration
January 2017

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TO: Heads of Federal agencies

1. What does this document do?

GRS Transmittal 27 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittal 26 in September 2016. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies. We are more than half-way through a 5-year plan to completely rewrite the GRS. With Transmittal 27, 61% of old items are now superseded.

Transmittal 27 introduces a significant change in the way we publish transmittals and indeed the entire GRS. Transmittal 26 included all current schedules: new schedules (with new-to-old crosswalks and Frequently Asked Questions [FAQs]), old schedules annotated for supersession by new schedules, and an old-to-new crosswalk for the entire old GRS. Transmittal 27 includes only schedules newly issued or updated since the last transmittal (with new-to-old crosswalks and FAQs for each).

Users may find the entire set of GRS at <http://www.archives.gov/records-mgmt/grs.html>, both individually and in a [single document](#) containing just schedules (no crosswalks or FAQs). FAQs about the whole GRS and the GRS Update Project no longer appear in new Transmittals. You can still access them at <http://www.archives.gov/records-mgmt/grs.html>.

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

GRS Transmittal 27 publishes five new schedules:

- GRS 2.6 Employee Training Records (DAA-GRS-2016-0014)
- GRS 5.3 Continuity and Emergency Planning Records (DAA-GRS-2016-0004)
- GRS 5.4 Facility, Equipment, Vehicle, Property, and Supply Records (DAA-GRS-2016-0011)
- GRS 5.5 Mail, Printing, and Telecommunication Service Management Records (DAA-GRS-2016-0012)
- GRS 6.4 Public Affairs Records (DAA-GRS-2016-0005)

It also publishes new or updated items in four schedules:

- GRS 1.1 Financial Management and Reporting Records (see question 3)
- GRS 2.5 Employee Separation Records (see question 4)
- GRS 3.1 General Technology Management Records (see question 5)
- GRS 4.2 Information Access and Protection Records (see question 6)

This transmittal also updates the general FAQs on Deviations, clarifying the definition of a deviation to the GRS, and how GRS deviations differ from GRS notifications.

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

We added one new item (001) to cover financial management and reporting administrative records.

4. How has GRS 2.5 changed?

We added two news items (050 and 051) for records created by phased retirement programs.

5. How has GRS 3.1 changed?

We added one new item (001) to cover technology management administrative records.

6. How has GRS 4.2 changed?

We added two new items. Item 001 covers administrative records on FOIA, Privacy Act, and classified documents. Item 180 covers virtual public access library records. Also, we slightly altered titles of items 060, 061, 120, and 121 from what appeared in Transmittal 26 to match the titles under which they were approved in ERA. The new titles alter neither meaning nor coverage of the items.

7. What GRS items does GRS Transmittal 27 rescind?

Many old GRS items are superseded by new GRS items. A few old items, however, have outlived their usefulness and cannot be crosswalked to new items. The table below lists old items newly rescinded by GRS Transmittal 27.

| GRS | Item | Title | Reason |
|-----|------|--|--|
| 10 | 11a | Recordkeeping copies of maintenance manuals for unique or customized aircraft | Only a very few agencies create these records. They relate to agencies' missions and should therefore be scheduled on an agency-specific schedule. |
| 12 | 3b | 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 originating program office | Telegram service in the United States ceased January 27, 2006. The last telegram in the world was sent in India on July 14, 2013. The very short two-month retention of these records means that none should now exist. SF 14 has been discontinued. |
| 14 | 3 | Press Service files | These records appear to no longer exist. |
| 18 | 29a | National Defense Executive Reserve (NDER) case files on reservists | According to FEMA, the National Defense Executive Reserve program has been dormant for the past 5 years and no agency has open programs. For this reason, FEMA suggested that we rescind these items. |
| 18 | 29b | National Defense Executive Reserve case files on individuals whose applications were rejected or withdrawn | |
| 27 | 6 | CIO subject and office records | |

| | | | |
|----|---|-----------------------------------|---|
| 27 | 7 | CIO schedules of daily activities | CIOs are considered high-level officials under Capstone email guidance. It is therefore not appropriate to schedule these records as universally temporary. |
|----|---|-----------------------------------|---|

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

8. How do I cite new GRS items?

When you send records to an FRC for storage, you should cite the records’ legal authority—the “DAA” number—in the “Disposition Authority” column of the table. For informational purposes, please include schedule and item number. For example, “DAA-GRS-2013-0001-0004 (GRS 4.3, item 020).”

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

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

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

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

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

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

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

11. Whom do I contact for further information?

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

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

A handwritten signature in black ink, appearing to read "D S Ferriero", with a long horizontal flourish extending to the right.

DAVID S. FERRIERO
Archivist of the United States

GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

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

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

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, 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 |
|------|---|---|------------------------|
| 001 | <p>Financial management and reporting administrative records. Records related to managing financial activities and reporting. Records include:</p> <ul style="list-style-type: none"> • correspondence • subject files • feeder reports • workload management and assignment records | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p> | DAA-GRS-2016-0013-0001 |
| 010 | <p>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.</p> <p>Financial transaction records include those created in the course of procuring goods and services,</p> | <p>Official record held in the office of record.</p> <p>Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if</p> | DAA-GRS-2013-0003-0001 |

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January 2017

General Records Schedule 1.1

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

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January 2017

General Records Schedule 1.1

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

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January 2017

General Records Schedule 1.1

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

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January 2017

General Records Schedule 1.1

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

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Transmittal No. 27
January 2017

General Records Schedule 1.1

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

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Transmittal No. 27
January 2017

General Records Schedule 1.1

| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|--|--|---|------------------------|
| | | business use. | | |
| 060 | <p>Contract appeals case files. Records of contract appeals arising under the Contracts Dispute Act. Includes:</p> <ul style="list-style-type: none"> • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers | Temporary. Destroy 1 year after final resolution, but longer retention is authorized if required for business use. | DAA-GRS-2016-0001-0003 | |
| 070 | <p>Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.</p> | <p>Records of suspensions and debarments for violation of the Drug-Free Workplace Act.</p> | Temporary. Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use. | DAA-GRS-2016-0001-0004 |
| 071 | | <p>Records of all other suspensions and debarments and all approved vendors and bidders.</p> | Temporary. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use. | DAA-GRS-2016-0001-0005 |

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

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

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

Revised January 2017

INTRODUCTION

1. What is the purpose of GRS 1.1?

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

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

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

CHANGES FROM THE OLD GRS

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

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

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

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

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

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

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

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

QUESTIONS RELATED TO ITEM 010

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

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

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

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

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

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

QUESTION RELATED TO ITEM 011

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

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

QUESTIONS RELATED TO ITEM 012

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

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

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

The FAR Implementation Team, which drafted the update to the FAR published in the *Federal Register* on December 4, 2015, requested that we add this item. The FAR update contains directions to dispose of these materials “in accordance with agency procedures” (80 FR 75913). That instruction is consistent

with this item's disposition to destroy "when no longer required for business use." So, yes, this item's disposition meshes with the FAR.

QUESTIONS RELATED TO ITEM 013

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

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

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

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

QUESTION RELATED TO ITEM 020

14. 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.

QUESTION RELATED TO ITEM 030

15. 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.

GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that *may* be contained in these files. They do not mean to convey that all of these records *must* be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.

| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|--|--|---|------------------------|
| 010 | <p>Separation program management records. Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:</p> <ul style="list-style-type: none"> • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends | Records not specific to an agency separation initiative. | Temporary. Destroy when no longer required for business use. | DAA-GRS-2014-0004-0001 |
| 011 | | Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. | Temporary. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use. | DAA-GRS-2014-0004-0002 |
| 020 | <p>Individual employee separation case files. Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records | Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use. | DAA-GRS-2014-0004-0003 | |

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| | <ul style="list-style-type: none"> • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see “Record of employee leave,” item 040 of this schedule, for record copy) retained for agency use <p>• Exclusion: Records required to be filed in employee’s OPF are excluded from this item.</p> | | |
| 030 | <p>Records documenting capture of institutional and specialized knowledge. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p>Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p> | Temporary. Destroy when no longer required for business use. | DAA-GRS-2014-0004-0004 |
| 040 | <p>Individual employee separation records required to be placed in separating employee’s OPF. As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:</p> <ul style="list-style-type: none"> • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary | File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate. | |
| 050 | <p>Phased retirement administrative records. Records related to managing the program, including:</p> <ul style="list-style-type: none"> • procedural guidance on program administration • informational/marketing/publicizing materials • general correspondence | Temporary. Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer | DAA-GRS-2016-0007-0001 |

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January 2017

General Records Schedule 2.5

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|-----|--|--|------------------------|
| | <ul style="list-style-type: none">• reports to OPM• memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations• documentation of program structure and details as uniquely instituted by agency <p>Exclusion: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.</p> | retention is authorized if required for business use. | |
| 051 | <p>Phased retirement individual case files. Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none">• application for immediate retirement• evidence of eligibility• reviews/recommendations by supervisor and others• notice of approval or disapproval• retirement benefit estimates• annuity calculations• phased retirement agreement• records documenting knowledge transfer activities• confidentiality agreement with mentees• action/project plans and logs• correspondence <p>Note: Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020.</p> <p>Exclusion: This item does not cover records held at OPM concerning staff at other agencies.</p> | <p>Temporary. Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0007-0002 |

SUPERSEDED

| New GRS | | | | Old GRS | | | |
|---------|----------|--------------------------|--------------------------------------|----------|----------|---------------------------------|------------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 2.5 | 010 | Superseded or obsolete | DAA-GRS-2014-0004-0001 | 1 | 17b2 | Superseded or obsolete | NC1-64-77-10 item 17b2 |
| | | | | 2 | 28 | Upon OPM acceptance | N1-GRS-92-4 item 28 |
| 2.5 | 011 | 2 years | DAA-GRS-2014-0004-0002 | 1 | 17b1 | 2 years | NC1-64-77-10 item 17b1 |
| | | | | 2 | 28 | Upon OPM acceptance | N1-GRS-92-4 item 28 |
| 2.5 | 020 | 1 year after separation | DAA-GRS-2014-0004-0003 | 1 | 39 | 1 year | NC1-64-77-7 item 21b |
| | | | | 2 | 9b | 3 years | N1-GRS-92-4 item 9b |
| 2.5 | 030 | No longer needed | DAA-GRS-2014-0004-0004 | New item | | | |
| 2.5 | 040 | File on left side of OPF | N/A. Filing instruction. | 2 | 9a | File on right [sic] side of OPF | N1-GRS-92-4 item 9a |
| 2.5 | 050 | 3 years | DAA-GRS-2016-0007-0001 | New item | | | |
| 2.5 | 051 | 1 year | DAA-GRS-2016-0007-0002 | New item | | | |

Frequently Asked Questions (FAQs) about GRS 2.5, Employee Separation Records

Revised January 2017

INTRODUCTION

1. What is the purpose of GRS 2.5?

This schedule provides disposition authority for records agencies create and receive in the course of processing employee departures from the Federal workforce and in the course of managing a separation program (including administrative tasks to carry out agency initiatives designed to decrease the workforce). With one exception, items in this schedule relate to records generally maintained by agency human resources offices. The exception is item 030, which covers records generally maintained outside of human resources offices

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

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

GENERAL QUESTION

3. Why does this schedule not include an item for Official Personnel Folders (OPFs)? What happens with them when employees move to a different agency or leave Federal employment?

Although OPFs are disposed of as part of the employee separation process, OPFs are created when employees enter Federal service, and agencies place most records in them while employees are in the active workforce. For that reason, an item in GRS 2.2, Employee Management Records, covers OPFs from an employee's entry into the Federal workforce through separation. In general, OPFs follow Federal employees when they move from one agency to another; when they leave Federal service, their personnel office sends their OPF to the National Personnel Records Center within 30 days of separation.

4. Why are you removing an item that was in the old GRS?

We are changing the item rather than completely removing it, but to do so we must formally remove the old item and replace it with a new one. GRS 2, item 9a, "Record of employee leave, such as SF 1150, prepared upon transfer or separation," was a filing instruction that included a now-invalid disposal authority. By removing item 9a, we are rescinding the disposal authority portion. The filing instruction, which is still valid, is now in Item 040 of this schedule. See question 10 for more information on the difference between filing instructions and disposal authority.

QUESTIONS RELATED TO ITEM 010

5. Why are Items 010 and 011 not merged into a single item?

Records in item 010 are entirely administrative — created as the agency responds to a separation request initiated by a staff member at any point in time. Agencies create records in item 011 as the result of an agency initiative -- a program specifically intended to reduce the agency's work force. These records document agency decisions, how the agency made them, and how it carried them out. Agency initiatives have clear start and end dates and therefore we can base disposition of the records on those dates.

6. Why has the disposition of SF-2807 changed from “destroy upon receipt of official OPM acceptance of annual summary” to the generic “destroy when no longer required for business use”?

Technological developments have changed the business purpose of SF-2807 since we last updated the schedule for employee separation records in 1992. OPM historically built Federal workforce statistics from annual summaries of separations, cobbled together by each agency from various SFs-2807 they prepared over the course of a year. Electronic systems that accomplish the same goals more universally and more efficiently have replaced this paper process. Therefore, an agency that created the form can destroy it when that agency no longer needs the form.

Also, please note that old GRS 2, item 28, listed only SF-2807 (register for reporting Civil Service Retirement System [CSRS] separations). It covered SF-3103 (register for reporting Federal Employment Retirement System [FERS] separations) only by inference. New items 010 and 011 explicitly cover both.

QUESTION RELATED TO ITEM 011

7. What programs are included in “specific agency separation initiatives”?

Pages nested at OPM's website, <http://www.opm.gov/policy-data-oversight/workforce-restructuring/>, discuss various types of separation initiatives.

QUESTIONS RELATED TO ITEM 030

8. Why is item 030 a separate item and not just a bullet in item 020?

We created these separate items because the records in item 020 and item 030 cover different kinds of records, are created by different offices for different purposes, and have different retention periods. They thus do not lend themselves to being grouped and handled together. Each agency's human resources office creates and maintains records in item 020 for personnel and benefits purposes. The retention period reflects the length of time an agency would normally need these records for business use. Records in item 030 concern information departing staff members provide to their offices about their programs, functions, and work, for continuity purposes. Those offices maintain these records themselves. The item's open-ended retention period reflects the varying value these records may have from agency to agency, office to office, and even staff member to staff member.

9. Does item 030 mean that the records a separated employee leaves behind can be destroyed when no longer needed by that employee's office?

No. Records a separated employee leaves behind are the property of the office for which the employee worked, and should be retained under schedules applicable to the subject matter. Item 030 covers only

records newly created in the process of trying to capture knowledge a departing employee may hold just in his or her head.

QUESTIONS RELATED TO ITEM 040

10. How can I file SF 1150 on the “left side of the folder” if the Official Personnel File (OPF) is electronic?

A paper OPF is a single folder with two sides: “left side” for temporary records and “right side” for permanent documents. E-folders in the eOPF—“temporary” and “permanent”—replicate the paper folder sides and are actually called “folder sides.” An item in GRS 2.2 provides disposal authority for “left side” records.

11. Why does item 040 not have a disposition authority?

Item 040 is not a disposition instruction but, rather, a filing instruction. A disposition instruction declares records either permanent or temporary and includes a disposition authority. A filing instruction does not declare records permanent or temporary and does not include authority to dispose of records; it simply instructs on where to file them.

QUESTION RELATED TO ITEM 051

12. Does the bullet “records documenting knowledge transfer activities” include records a departing employee leaves behind?

No. The bullet covers documentation of knowledge transfer *activities*. This may be nothing more than an acknowledgment from the departing employee’s supervisor that knowledge transfer has taken place. The bullet does not mean to imply that all records containing that knowledge are retained by the agency’s human resources office. In many cases, the reason there is a need to transfer knowledge before an employee leaves is because the knowledge is in the employee’s mind only; records resulting from such knowledge transfer are covered by item 030. Exit interviews conducted for purposes of knowledge transfer with an employee in phased-retirement status are also covered by item 030. Records a separated employee leaves behind are the property of the office for which the employee worked, and should be retained under schedules applicable to the subject matter.

GENERAL RECORDS SCHEDULE 2.6: Employee Training Records

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|------------------------|
| 010 | <p>Non-mission employee training program records.</p> <p>Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020. Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content • other course materials, such as presentations and videos • student, class, or instructor evaluations <p>Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p> | <p>Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0014-0001 |
| 020 | <p>Ethics training records.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> • administration of new employee ethics orientations. annual, and other types of ethics training • agency's annual written plans • notices about training requirements and course offerings | <p>Temporary. Destroy when 6 years old or when superseded, whichever is later, but longer retention is</p> | DAA-GRS-2016-0014-0002 |

| | | | | |
|-----|--|---|--|------------------------|
| | <ul style="list-style-type: none"> rosters of employees required to attend and verification of training completed instructor guides, handbooks, handouts and other materials | | authorized if required for business use. | |
| 030 | <p>Individual employee training records. Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:</p> <ul style="list-style-type: none"> completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors) Individual Development Plans (IDPs) mentoring or coaching agreements <p>Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.</p> | | Temporary. Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use. | DAA-GRS-2016-0014-0003 |
| 040 | <p>Senior Executive Service Candidate Development Program (SESCDP). SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p> | <p>Program records. Records documenting program scope, policies, planning, budget, and curriculum planning.</p> | Temporary. Destroy when no longer needed for business use. | DAA-GRS-2016-0014-0004 |
| 041 | | <p>Case records on SESCO DP participants. Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p> | Temporary. Destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCO DP, but longer retention is authorized if required for business use. | DAA-GRS-2016-0014-0005 |

| New GRS | | | | Old GRS | | | |
|---------|-----|------------------------------|------------------------|----------|------|---------|-------------------------------------|
| 2.6 | 010 | 3 years | DAA-GRS-2016-0014-0001 | 1 | 29a1 | 5 years | NC1-64-77-10, item 30b1 |
| | | | | 1 | 29a2 | 3 years | NC1-64-77-10, item 30b2 |
| | | | | 1 | 29b | 5 years | NC1-64-77-10, item 30c (in part) |
| | | | | 21 | 3 | 1 year | NC1-GRS-81-9, item I-3 |
| | | | | 21 | 9 | 1 year | NC1-GRS-81-9, item III-1 |
| | | | | 21 | 14 | 1 year | NC1-GRS-81-9, item IV-1 |
| | | | | 21 | 17 | 1 year | NC1-GRS-81-9, item IV-4 |
| 2.6 | 020 | 6 years | DAA-GRS-2016-0014-0002 | 25 | 8a | 6 years | N1-GRS-01-1, item 8a |
| | | | | 25 | 8b | 6 years | N1-GRS-01-1, item 8b |
| 2.6 | 030 | 3 years or 1 year | DAA-GRS-2016-0014-0003 | 1 | 29b | 5 years | NC1-64-77-10, item 30c (in part) |
| 2.6 | 040 | No longer needed | DAA-GRS-2016-0014-0004 | New Item | | | |
| 2.6 | 041 | Upon certification or 1 year | DAA-GRS-2016-0014-0005 | New Item | | | |

Frequently Asked Questions (FAQs) about GRS 2.6, Employee Training Records

January 2017

INTRODUCTION

1. What is the purpose of GRS 2.6?

This schedule provides disposition authority for records about designing, developing, and implementing non-mission-related employee training within Federal agencies.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 2.6 differ from the old General Records Schedules?

There are four main differences between the items in the old GRS 1 for employee training records (items 29a1, 29a2, and 29b) and this new GRS 2.6:

- A. Agencies can apply the new GRS to military personnel and contractor training, which was excluded from GRS 1.
- B. GRS 2.6, item 020, provides disposition for non-mission-related syllabi and training materials created by or for an agency. By contrast, GRS 1, item 29a1, excluded training materials created by an agency.
- C. GRS 1, item 29b, covered records related to employee training only when offered by other Government agencies or non-Government institutions. GRS 2.6, item 030, includes records on individual employee training participation regardless of who offers the training.
- D. GRS 2.6 includes new items for the Senior Executive Service Candidate Development Program (SESCDP).

GENERAL QUESTIONS

4. Why doesn't GRS 2.6 include mission-related training?

Agencies must submit their own schedules for records associated with mission activities (such as law enforcement, wilderness preservation, and aeronautics engineering) because the value of the records varies. For example, NASA has scheduled the records of astronaut training as permanent (N1-255-94-3) but the Federal Reserve System's Training Bureau scheduled its Law Enforcement Unit mission-specific training records as temporary (N1-82-12-1).

5. Why doesn't GRS 2.6 specifically include Learning Management Systems (LMSs)?

GRS 2.6 covers employee training records, so it schedules most content in an LMS, including course content, class tracking, individual development plans, and data reporting. However, financial information related to paying for courses, purchasing course material, paying outside vendors, or paying for training travel is included under GRS 1.1, which covers financial management and reporting records.

QUESTION RELATED TO ITEM 010

6. What is the difference between registration forms and employee attendance records (item 010) and individual training records like certificates (item 030)?

The records described in items 010 and 030 document different things. Item 010 covers records specific to a particular class, such as registration forms (who intends to come) and attendance records (who actually came). By contrast, individual training records (item 030) document training a single employee takes or plans (including Individual Development Plans (IDPs)). Agencies are also more likely to report registration and attendance records to the Office of Personnel Management (OPM) than individual employee training records.

7. Why are there 2 different disposition instructions--Destroy when three years old, or three years after superseded or obsolete?

Item 010, employee training (non-mission, non-ethics), covers a broad range of records that can necessitate different retention periods.

For example, some records may have a short-term business use, but the agency may retain them for reference purposes, such as promotional material created to notify employees what courses are being offered. Once courses are completed, there is no longer a business need to advertise the course. But the agency may want to retain the promotional material as a reference. Since this material has not been superseded or obsolete, it should be destroyed when three years old.

However, this series also includes records that should not be destroyed merely because they are three years old, such as planning documents, skills assessments, or course material. These documents may be updated periodically when needed or every four years; a three-year retention period could therefore be premature. As a result, agencies should retain records of this sort until three years after they are superseded or obsolete.

QUESTION RELATED TO ITEM 020

8. What do I do with training material created by an outside vendor?

Disposition of vendor-created training materials depends on whether the vendor creates the material specifically for the agency under a contract, or whether the vendor provides the material as a service the agency has purchased access to (such as Skillport). If the vendor develops training material outside the agency specifically for the agency, the agency is likely to own the finished product, making it a Federal record which the GRS may then cover. If the agency is purchasing access to a set of general training materials or resources provided by a vendor and the agency does not own or have rights to the material, then those materials are non-record and the GRS does not cover them.

QUESTION RELATED TO ITEM 030

9. Why do we exclude academic transcripts, professional licenses, and civil service exams?

Academic transcripts, professional licenses, and civil service exams are evidence of training, but not training received in the course of one's Federal employment. Rather, they are generally prerequisites to being hired for a particular position. These documents are generally included in the long-term section of an employee's Official Personnel Folder (OPF). Licenses may need to be retained or renewed, but this process also falls outside the scope of item 030's coverage ("training required by all or most Federal agencies"). Professional recertification and license renewal is often governed by boards entirely outside the Federal Government. When agencies do sponsor specialized training toward professional credentials, they must schedule these records independently.

QUESTION RELATED TO ITEMS 040 and 041

10. What is the Senior Executive Service Candidate Development Program (SESCDP)?

The Civil Service Reform Act of 1978 established the Senior Executive Service (SES) to provide a Government-wide, mobile corps of managers within Federal agencies. The Senior Executive Service Candidate Development Program (SESCDP) is a succession management tool and OPM-approved training program designed to develop executive core qualifications.

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 |
|------|--|---|--|------------------------|
| 001 | <p>Technology management administrative records. Records on day-to-day, routine information technology management. Records include:</p> <ul style="list-style-type: none"> • correspondence • subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making • data calls • operational and managerial guidance to organizational segments of the agency <p>Exclusion: This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule.</p> | | <p>Temporary. Destroy when 5 years old, but longer retention is authorized if needed for business use.</p> | DAA-GRS-2016-0013-0002 |
| 010 | <p>Information technology development project records.</p> | <p>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:</p> <ul style="list-style-type: none"> • 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. | <p>Temporary. Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.</p> | DAA-GRS-2013-0005-0006 |

SUPERSEDED

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|---|--|------------------------|
| | <p>Includes records such as:</p> <ul style="list-style-type: none"> • 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 <p>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.</p> <p>Note: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p> | | |
| 011 | <p>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:</p> <ul style="list-style-type: none"> • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: <ul style="list-style-type: none"> ○ Privacy Threshold Analyses (PTAs) ○ Privacy Impact Assessments (PIAs) | <p>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</p> | DAA-GRS-2013-0005-0007 |

SUPERSEDED

SUPERSEDED

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|--|---|------------------------|
| | <ul style="list-style-type: none"> ○ Security Plan ○ 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 <p>Exclusion: This item does not apply to system data or content.</p> <p>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.</p> <p>Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.</p> | required for business use. | |
| 012 | <p>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.</p> | Temporary. Delete when related master file or database has been | DAA-GRS-2013-0005-0008 |

SUPERSEDED

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|--|--|------------------------|
| | <p>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.</p> <p>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.</p> <p>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.</p> | deleted, but longer retention is authorized if required for business use. | |
| 020 | <p>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.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites: <ul style="list-style-type: none"> ○ reviews ○ site visit reports ○ trouble reports ○ equipment service histories ○ reports of follow-up actions ○ 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 | Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. | DAA-GRS-2013-0005-0004 |

SUPERSEDED

SUPERSEDED

Transmittal No. 27
January 2017

General Records Schedule 3.1

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|--|-------------------------|-----------------------|
| | <ul style="list-style-type: none">• 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<ul style="list-style-type: none">○ measures of benchmarks○ performance indicators○ critical success factors○ error and exception reporting○ self-assessments○ performance monitoring○ management reports• website administration<ul style="list-style-type: none">○ frames○ templates○ style sheets○ site maps○ codes that determine site architecture○ change requests○ site posting logs○ clearance records○ requests for correction of incorrect links or content posted○ requests for removal of duplicate information○ user logs○ search engine logs○ audit logs• records to allocate charges and track payment for software and services | | |

SUPERSEDED

SUPERSEDED

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|---|---|------------------------|
| | <p>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.</p> <p>Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.</p> | | |
| 030 | <p>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:</p> <ul style="list-style-type: none"> • 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 <p>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.</p> <p>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.</p> <p>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.</p> | <p>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.</p> | DAA-GRS-2013-0005-0005 |
| 040 | <p>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:</p> | <p>Temporary. Destroy 5 years after the project/activity/</p> | DAA-GRS-2013-0005-0010 |

SUPERSEDED

SUPERSEDED

Transmittal No. 27
January 2017

General Records Schedule 3.1

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|--|--|-----------------------|
| | <ul style="list-style-type: none">• 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• data measuring or estimating impact and compliance <p>Note: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.</p> | transaction is completed or superseded, but longer retention is authorized if required for business use. | |

SUPERSEDED

SUPERSEDED

| Item | Records Title/Description | Disposition Instruction | Disposition Authority | |
|------|---|--|---|------------------------|
| 050 | <p>Data administration records.</p> <p>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 includes any documentation related to electronic</p> | <p>Documentation necessary for preservation of permanent electronic records.</p> <p>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:</p> <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications <p>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.</p> <p>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.</p> | <p>Permanent.</p> <p>Transfer to the National Archives with the permanent electronic records to which the documentation relates.</p> | DAA-GRS-2013-0005-0002 |
| 051 | <p>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</p> <p>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</p> <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p> <ul style="list-style-type: none"> • software operating manuals • data standards | <p>Temporary.</p> <p>Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention</p> | DAA-GRS-2013-0005-0003 | |

SUPERSEDED

Transmittal No. 27
January 2017

General Records Schedule 3.1

| Item | Records Title/Description | Disposition Instruction | Disposition Authority |
|------|---|--|-----------------------|
| | <p>records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.</p> <ul style="list-style-type: none">• table and dependency descriptions• taxonomies• schemas• registries• source code• physical data model• logical data model | is authorized if required for business use | |

SUPERSEDED

| New GRS 3.1 | | | | Old GRS | | | |
|-------------|----------|-------------------------------------|--------------------------------------|----------|----------|-------------------------------------|-----------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 3.1 | 001 | 5 years | DAA-GRS-2016-0013-0002 | New Item | | | |
| 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 |

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

September 2014

INTRODUCTION

1. What is the purpose of GRS 3.1?

This schedule provides 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.

GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

This schedule covers records created in the course of agencies (1) responding to requests for access to Government information and (2) protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|------------------------|
| 001 | <p>FOIA, Privacy Act, and classified documents administrative records.</p> <p>Records on managing information access and protection activities. Records include:</p> <ul style="list-style-type: none"> • correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification, control, and accounting for classified documents • associated subject files • feeder and statistical reports <p>Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.</p> | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p> | DAA-GRS-2016-0013-0003 |
| 010 | <p>General information request files.</p> <p>Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.</p> | <p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p> | DAA-GRS-2013-0007-0001 |
| 020 | <p>Access and disclosure request files.</p> <p>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:</p> <ul style="list-style-type: none"> • granting the request in full • granting the request in part • denying the request for any reason including: <ul style="list-style-type: none"> ○ inability to fulfill request because records do not exist ○ inability to fulfill request because request inadequately describes records ○ inability to fulfill request because search or reproduction fees are not paid | <p>Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0002-0001 |

SUPERSEDED

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|------------------------|
| | <ul style="list-style-type: none"> • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal <p>Includes:</p> <ul style="list-style-type: none"> • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) <p>Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.</p> <p>Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p> | | |
| 030 | <p>Information access and protection operational records.</p> <p>Information access and protection tracking and control records.</p> <p>Includes:</p> <ul style="list-style-type: none"> • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files | <p>Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0002-0002 |
| 031 | <p>Access control records.</p> <p>Includes:</p> <ul style="list-style-type: none"> • safe and padlock combinations • names or other personal identifiers of individuals who know combinations • comparable data used to control access into classified document containers | <p>Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p> | DAA-GRS-2013-0007-0020 |

SUPERSEDED

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| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|--|-------------------------------|
| 032 | <p>Records relating to classified or controlled unclassified document containers. Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.</p> <p>Note: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p> | <p>Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0002-0003</p> |
| 040 | <p>Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR. Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:</p> <ul style="list-style-type: none"> • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records • forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files | <p>Temporary. Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later; but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0002-0004</p> |
| 050 | <p>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. Includes:</p> <ul style="list-style-type: none"> • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent | <p>Temporary. 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.</p> | <p>NC1-64-77-1 item 27</p> |

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| Item | Records Description | | Disposition Instruction | Disposition Authority |
|------|--|--|--|-------------------------------|
| 060 | <p>Erroneous release records. 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. Includes:</p> <ul style="list-style-type: none"> • requests for information • copies of replies | <p>Records filed with the record-keeping copy of the erroneously released records.</p> | <p>Temporary. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p> | <p>DAA-GRS-2015-0002-0001</p> |
| 061 | | <p>Records filed separately from the record-keeping copy of the released records.</p> | <p>Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2015-0002-0002</p> |
| 070 | <p>Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.</p> <p>Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p> | | <p>Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2013-0007-0006</p> |
| 080 | <p>Legal and regulatory compliance reporting records. Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.</p> | <p>Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</p> <p>Legal citation: OMB M-07-16.</p> | <p>Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2013-0007-0022</p> |
| 081 | | <p>All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</p> | <p>Temporary. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2013-0007-0023</p> |

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| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|--|---|---|----------|
| 090 | <p>Privacy Act amendment request files.</p> <p>Files relating to an individual’s request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual’s request for review of an agency’s refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:</p> <ul style="list-style-type: none"> • requests to amend and to review refusal to amend • copies of agency’s replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials | <p>Temporary. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.</p> | DAA-GRS-2013-0007-0007 | |
| 100 | <p>Automatic and systematic declassification review program records.</p> <p>Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.</p> | <p>Temporary. Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.</p> | DAA-GRS-2013-0007-0008 | |
| 110 | <p>Fundamental classification guidance review files.</p> <p>Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9.</p> <p>Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).</p> | <p>Temporary. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.</p> | DAA-GRS-2013-0007-0011 | |
| 120 | <p>Classified information nondisclosure agreements.</p> <p>Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth</p> | <p>Records maintained in the individual’s official personnel folder.</p> | <p>Apply the disposition for the official personnel folder.</p> | |
| 121 | | <p>Records maintained separately from the</p> | <p>Temporary. Destroy when 50</p> | DAA-GRS- |

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| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|------------------------|
| | <p>by executive orders governing security classification.</p> <p>individual's official personnel folder.</p> <p>Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).</p> | years old. | 2015-0002-0003 |
| 130 | <p>Personally identifiable information extracts. System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p>Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."</p> | Temporary. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate. | DAA-GRS-2013-0007-0012 |
| 140 | <p>Personally identifiable information extract logs. Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p> | Temporary. Destroy when business use ceases. | DAA-GRS-2013-0007-0013 |
| 150 | <p>Privacy Act System of Records Notices (SORNs). Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).</p> | Temporary. Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use. | DAA-GRS-2016-0003-0002 |

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| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|---|---|---|------------------------|
| 160 | <p>Records analyzing Personally Identifiable Information (PII). Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p> | <p>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs). Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p> | <p>Temporary. Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0003-0003 |
| 161 | | <p>Records of Privacy Impact Assessments (PIAs).</p> | <p>Temporary. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0003-0004 |
| 170 | <p>Computer matching program notices and agreements. Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.</p> | <p>Temporary. Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0003-0005 | |
| 180 | <p>Virtual public access library records. Records published by an agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:</p> <ul style="list-style-type: none"> final concurring and dissenting opinions and orders agencies issue when adjudicating cases | <p>Temporary. Destroy when no longer needed.</p> | DAA-GRS-2016-0008-0001 | |

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| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|-------------------------|-----------------------|
| | <ul style="list-style-type: none">• statements of policy and interpretations the agency adopts but does not publish in the <i>Federal Register</i>• administrative staff manuals and instructions to staff that affect a member of the public• copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times• indexes of agency major information systems• descriptions of agency major information and record locator systems• handbooks for obtaining various types and categories of agency public information <p>Exclusion: This item refers only to copies an agency publishes on line for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.</p> <p>Not media neutral. Applies to electronic records only.</p> | | |

SUPERSEDED

| New GRS 4.2 | | | | Old GRS | | | |
|-------------|----------|---|--------------------------------------|----------|-----------------|--|------------------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 4.2 | 001 | 3 years | DAA-GRS-2016-0013-0003 | 14 | 15 | 2 years | N1-GRS-98-2, item 12 |
| | | | | 14 | 26 | 2 years | N1-GRS-98-2, item 13 |
| | | | | 18 | 1 | 2 years | GRS 18, 1960, item 2 |
| 4.2 | 010 | 90 days | DAA-GRS-2013-0007-0001 | 14 | 1 | 3 months | N1-GRS-98-2, item 10 |
| | | | | 14 | 2 | 3 months | GRS 14 (1952), items 2 and 3 |
| | | | | 23 | 7, first bullet | When no longer needed | N1-GRS-04-5, item 1 |
| 4.2 | 020 | 6 years | DAA-GRS-2016-0002-0001 | 14 | 11a1 | 2 years | NC1-64-77-1, item 16a1 |
| | | | | 14 | 11a2a | 2 years | NC1-64-77-1, item 16a2a |
| | | | | 14 | 11a2b | 6 years or 3 years or with related records | NC1-64-77-1, item 16a2b |
| | | | | 14 | 11a3a | 6 years | NC1-64-77-1, item 16a3a |
| | | | | 14 | 11a3b | 6 years or 3 years or with related records | NC1-64-77-1, item 16a3b |
| | | | | 14 | 12a | 6 years or 3 years | N1-GRS-87-4, item 17a |
| | | | | 14 | 21a1 | 2 years | NC1-64-77-1, item 25a1 |
| | | | | 14 | 21a2a | 2 years | NC1-64-77-1, item 25a2a |
| | | | | 14 | 21a2b | 4 years or 3 years or with related records | NC1-64-77-1, item 25a2b |
| | | | | 14 | 21a3a | 5 years | NC1-64-77-1, item 25a3a |
| | | | | 14 | 21a3b | 4 years or 3 years or with related records | NC1-64-77-1, item 25a3b |
| | | | | 14 | 31a1 | 2 years | N1-GRS-87-7, item 31a1 |
| | | | | 14 | 31a2a | 2 years | N1-GRS-87-7, item 31a2a |
| | | | | 14 | 31a2b | 4 years or with related records | N1-GRS-87-7, item 31a2b |
| | | | | 14 | 31a3a | 5 years | N1-GRS-87-7, item 31a3a |
| | | | | 14 | 31a3b | 4 years or with related records | N1-GRS-87-7, item 31a3b |
| | | | | 14 | 31c | When requested docs are declassified or destroyed | N1-GRS-87-7, item 31c |
| | | | | 14 | 32a | 4 years | N1-GRS-87-7, item 32a |
| 4.2 | 020 | 6 years | DAA-GRS-2013-0007-0002 | | | | |
| 4.2 | 030 | 2 years | DAA-GRS-2016-0002-0002 | 14 | 34 | 2 years | N1-GRS-98-2, item 14 |
| | | | | 14 | 35 | 2 years | N1-GRS-98-2, item 15 |
| | | | | 18 | 2 | 2 years | GRS 18 (1960), item 3 |
| | | | | 18 | 3 | 2 years | GRS 18 (1960), item 4 |
| | | | | 18 | 4 | 2 years | GRS 18 (1960), item 5 |
| | | | | 18 | 6 | 2 years | GRS 18 (1960), item 7 |
| | | | | 4.2 | 030 | 2 years | DAA-GRS-2013-0007-0003 |
| 4.2 | 031 | Superseded or obsolete | DAA-GRS-2013-0007-0020 | 18 | 7a | Superseded by new form | GRS 18 (1960), item 8 |
| 4.2 | 032 | 90 days | DAA-GRS-2016-0002-0003 | 18 | 7b | 3 months | N1-GRS-93-1, item 7b |
| | | | | 4.2 | 032 | 90 days | DAA-GRS-2013-0007-0021 |
| 4.2 | 040 | 5 years | DAA-GRS-2016-0002-0004 | 14 | 13a | 5 years | NC1-64-76-3, item 11a |
| | | | | 14 | 13b | 5 years | NC1-64-76-3, item 11b |
| | | | | 14 | 24a | 5 years | NC1-64-77-1, item 28a |
| | | | | 14 | 24b | 5 years | NC1-64-77-1, item 28b |
| | | | | 14 | 33a | 5 years | N1-GRS-87-7, item 33a |
| | | | | 14 | 33b | 5 years | N1-GRS-87-7, item 33b |
| | | | | 18 | 5a | 5 years | GRS 18 (1960), item 6a |
| | | | | 18 | 5b | Related document downgrade, transfer, or destruction | GRS 18 (1960), item 6b |
| 4.2 | 040 | 5 years | DAA-GRS-2013-0007-0004 | | | | |
| 4.2 | 050 | No change. NC1-64-77-1 item 27 remains current. | | 14 | 23 | 5 years | NC1-64-77-1 item 27 |
| 4.2 | 060 | 6 years or with related records | DAA-GRS-2015-0002-0001 | 14 | 36a | 6 years or with related records | N1-GRS-89-2, item 1a |
| 4.2 | 061 | 6 years | DAA-GRS-2015-0002-0002 | 14 | 36b | 6 years | N1-GRS-89-2, item 1b |
| 4.2 | 070 | 2 years | DAA-GRS-2013-0007-0006 | 14 | 14 | 2 years | N1-GRS-98-2, item 11 |
| | | | | 14 | 25 | 2 years | N1-GRS-89-4, item 1 |
| 4.2 | 080 | 5 years | DAA-GRS-2013-0007-0022 | 27 | 4 | 5 years | N1-GRS-04-4, item 4 |
| 4.2 | 081 | 2 years | DAA-GRS-2013-0007-0023 | New item | | | |
| 4.2 | 090 | 4 years | DAA-GRS-2013-0007-0007 | 14 | 22a | 4 years or with related records | NC1-64-77-1, item 26a |
| | | | | 14 | 22b | 4 years or 3 years or with related records | NC1-64-77-1, item 26b |
| | | | | 14 | 22c | 3 years or with related records | NC1-64-77-1, item 26c |
| 4.2 | 100 | 30 years | DAA-GRS-2013-0007-0008 | New item | | | |
| 4.2 | 110 | 5 years | DAA-GRS-2013-0007-0011 | New item | | | |
| 4.2 | 120 | Apply disposition of OPF | None; old item is rescinded. | 18 | 25b | Apply disposition of OPF | N1-GRS-95-1 item 1b |
| 4.2 | 121 | 50 years | DAA-GRS-2015-0002-0003 | 18 | 25a | 70 years | N1-GRS-95-1 item 1a |
| 4.2 | 130 | 90 days | DAA-GRS-2013-0007-0012 | New item | | | |
| 4.2 | 140 | No longer needed | DAA-GRS-2013-0007-0013 | New item | | | |
| 4.2 | 150 | 2 years | DAA-GRS-2016-0003-0002 | New item | | | |
| 4.2 | 160 | 3 years | DAA-GRS-2016-0003-0003 | New item | | | |
| 4.2 | 161 | 3 years | DAA-GRS-2016-0003-0004 | New item | | | |
| 4.2 | 170 | Superseded or 2 years | DAA-GRS-2016-0003-0005 | New item | | | |
| 4.2 | 180 | No longer needed | DAA-GRS-2016-0008-0001 | New item | | | |

Frequently Asked Questions (FAQs) about GRS 4.2, Records of Information Access and Protection

Revised January 2017

GENERAL

1. What is the purpose of GRS 4.2?

This schedule provides disposition authority for records agencies create in the course of (1) responding to requests for access to Government information, and (2) protecting information that is classified, controlled unclassified, or contains personal data whose protection is required by law.

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

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

3. How does GRS 4.2 differ from the old GRS?

This schedule merges all Freedom of Information Act (FOIA), Privacy Act (PA), and Mandatory Declassification Review (MDR) request records—18 separate items from GRS 14—into a single item (020). In the old GRS, these 18 items covered individual types of requests and agencies retained the documents for various periods, depending on the type of response. This system required many items to cover all contingencies. A unified single item better lends itself to electronic recordkeeping, which is how most agencies currently maintain records documenting information requests from the public.

Records covered in this schedule that have never before appeared in the GRS include: automatic and systematic declassification review program records (item 100), classification guidance review records (item 110), personally identifiable information (PII) extracts and logs (items 130 and 140), Privacy Act systems of records notices (SORNs, item 150), records analyzing PII (items 160 and 161), and computer matching program notices and agreements (item 170).

4. Why did you rescind some old GRS items?

We rescinded GRS 14, items 11b, 12b, 21b, 31b, and 32b with the publication of GRS 4.2. These items covered records requested under FOIA, PA, and MDR that agencies remove from their original location and re-file as part of the access request record. In our discussions with agencies, we found none that remove requested records from their original locations. GRS 4.2, item 020, leaves requested records scheduled by their original authority (*copies* may be filed and scheduled with the access request record). We therefore do not need separate items covering a situation that does not exist.

We also rescinded GRS 18, item 25b. A disposition instruction declares records either permanent or temporary and includes a disposition authority. A filing instruction does not declare records permanent or temporary and does not include authority to dispose of records; it simply instructs on where to file them. GRS 18, item 25b was a filing instruction whose "disposition authority" was meaningless as it

neither directed the records' permanent retention nor destruction. By removing item 25b, we rescind the disposal authority. The filing instruction, which is still valid, is now in item 120 of this schedule.

5. Why do the disposition instructions include different "DAA" numbers?

Most new General Records Schedules are processed through the Electronic Records Archives (ERA) as a single series of items. The bulk of GRS 4.2 was processed in ERA under "job number" DAA-GRS-2013-0007, but items 060, 061 and 121 were later added under DAA-GRS-2015-0002. Still later additions and alterations were accomplished under job numbers DAA-GRS-2016-0002 and DAA-GRS-2016-0003. The disposal authorities you see for these three items are not typographical errors.

QUESTION RELATED TO ITEM 020

6. Why does item 020 aggregate so many items from the old GRS?

The old GRS included variable retention periods of 2, 3, 5, or 6 years. The schedule based these periods on whether the agency granted (in full or in part), denied, or was unable to fill the request, or whether the requester appealed/adjudicated the agency's response. In our discussions with agencies, we learned that agencies do not separate these files this way, and prefer to have a standard retention period. The statute of limitations for appealing agency responses is six years, so the new GRS establishes the common retention period to comply with that statute of limitations. This retention period ensures that agencies retain records as long as a requester has the right to challenge or appeal either a denial or the adequacy of a positive response, thereby making sure agencies still have the records if the requester wins the appeal. Making the retention period common to all the aggregated items also simplifies electronic recordkeeping since agencies need not segregate case files into smaller units based on the way the file closed.

Agencies that find their business processes would work more smoothly with the former GRS retention periods can write an agency-specific schedule requesting an exception to the GRS.

QUESTION RELATED TO ITEM 030, 031, and 032

7. Items 030, 031, and 032 are related to each other topically and are all retained for very short periods of time. Why aren't they merged into one item with a unified retention period?

The original draft of this schedule did merge these into one item with a 2-year retention period. Some agencies objected, noting that the then-current GRS showed some of the records as disposable when superseded or obsolete; requiring a 2-year retention period for such items (when the records might become obsolete much sooner) was an unwarranted burden. We agreed, and reworked the list of records into three smaller items linked directly to the minimum amount of time for which agencies should have a strictly business use for the records. If an agency, for its convenience, wishes to collapse items 030, 031, and 032 into a unified item with a single retention period, it can do so because we authorize longer retention for all three items if required for business use.

QUESTION RELATED TO ITEM 060

8. Erroneous release records were retained for 6 years in the old GRS. Now they are retained until the released records are destroyed. Why?

Agencies now almost always file documentation of erroneous release of records with the erroneously-released records rather than in a separate series of all erroneous release cases divorced from the records they concern. This gives context both to the documentation about the release and to the original records themselves. It also allows the agencies to “remember” an erroneous release as long as the records survive. Because of this practice and the benefits that arise from it, we have tied the retention period of erroneous release information to the released records so that they will survive as long as the associated records.

QUESTION RELATED TO ITEM 090

9. Privacy Act amendment request records used to be scheduled for various lengths of time linked to the manner in which the case was closed: particularly, whether court adjudication was involved. Why are these items now collapsed into one item?

The retention period for the three old GRS items in question did depend on how the case closed: GRS 14, item 22a (per approved disposition for record being amended, or 4 years after agency's agreement to amend, whichever is later); item 22b (per approved disposition for record being amended, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later); and item 22c (per approved disposition for record being amended, or 3 years after final adjudication by courts, whichever is later). The disposal instruction for the new item (destroy with the records for which amendment was requested or 4 years after close of case—final determination by agency or final adjudication, whichever applies—whichever is later) actually retains every one of these variants. “Destroy with the records for which amendment was requested” is the most frequently used option.

QUESTION RELATED TO ITEM 120

10. Why is there no disposition authority for this item?

The disposition instruction for this item (classified information nondisclosure agreements maintained in the individual’s official personnel folder) is really a filing instruction telling agencies to file the records in the OPF; therefore, it does not include disposal authority. See question 4, paragraph 2, for information on the difference between disposition and filing instructions.

QUESTION RELATED TO ITEM 121

11. Why is this item’s retention so drastically reduced?

The previous 70-year retention period originated from Director of Central Intelligence Directive (DCID) 6/1 (November 4, 2003), which applied only to agencies in the Intelligence Community. Intelligence Community Directive 703, “Protection of Classified National Intelligence, Including Sensitive Compartmented Information,” rescinded DCID 6/1 on June 21, 2013. Directive 703 does not include specific retention period requirements for nondisclosure agreements. So we are applying the 50-year retention period specified in 32 CFR 2001.80(d)(2)(vii). The Office of the Director of National Intelligence concurred with 50 years.

QUESTIONS RELATED TO ITEMS 150, 160, AND 161

12. Why does this schedule not cover Privacy Act Statements (PASs)?

The Privacy Act requires agencies to tell individuals providing personal information destined for a system of records about how the agency will use that information and to whom the agency will disclose it. The vehicle for this is a PAS. This schedule does not cover PASs because they are not stand-alone documents or a records series in themselves. Rather, agencies tend to incorporate them into the very forms on which agencies ask individuals to enter data. They generally appear as part of a form's "small print," often at the bottom of the page.

13. May I consider the SORNs and PIAs posted on my agency's web pages as the record copy covered by this item?

The GRS is agnostic on where, how, and by whom records are retained. An agency may choose to retain its record copy of active SORNs and PIAs on its external or internal web pages. An agency should determine as part of its policies and procedures where and how it keeps recordkeeping copies.

QUESTION RELATED TO ITEM 150

14. Why must I retain a copy of a System of Records Notice (SORN) when I can always get it from the Federal Register, where it is a permanent record?

This item covers not only a copy of the SORN itself, but also significant background material showing its development. These records have continuing business use as long as a SORN is in effect.

QUESTION RELATED TO ITEM 161

15. Does this item cover internal Privacy Impact Assessments (PIAs)—those about information collection from agency employees—as well as PIAs about information collection from the public?

Yes. The item description covers all PIAs, regardless of whether the agency collects the information from the public or from the subset of the public known as agency employees. OMB guidance memo M-03-22, "Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002," indicates agencies must use the same stringent measures to protect information about both the public and agency employees. Therefore, this item also includes PIAs concerning systems of records in which agencies collect PII from their employees.

QUESTION RELATED TO ITEM 170

16. What is the OMB "Final Guidance" to which this item refers?

OMB guidance on Computer Matching Agreements appears in several documents, some of them post-dating the 1989 document bearing the word "final" in its title. See:

- Final Guidance interpreting the Provisions of Public Law 100-503, published in the *Federal Register* (54 FR 25818, June 19, 1989)
- OMB Circular A-130, Appendix I (which, as of August 2016, is in the process of being revised and moved to Circular A-108)

- The Computer Matching and Privacy Protection Amendments of 1990 and the Privacy act of 1974, published in the *Federal Register* (56 FR 18599, April 23, 1991)
- Privacy Act of 1974: Revised Supplemental Guidance for Conducting Matching Programs, published in the *Federal Register* (47 FR 21656, May 19, 1982)

GENERAL RECORDS SCHEDULE 5.3: Continuity and Emergency Planning Records

This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

This schedule does not include the following:

- external emergency planning records related to providing emergency response and recovery services to the public
- records related to high-level Government-wide Continuity of Government (COG) planning
- emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes
- records related to a national disaster or incident response

These records may be of permanent value and must be scheduled on an agency-specific records schedule.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|--|-------------------------------|
| 010 | <p>Continuity planning and related emergency planning files. Records may include:</p> <ul style="list-style-type: none"> • records on continuity and emergency planning administrative and operational activities: <ul style="list-style-type: none"> ○ briefing materials and presentations ○ status reports ○ informational papers ○ files documenting policy or plan development, including policy studies ○ procedures, operational manuals, and related development records ○ implementation guidance ○ related correspondence ○ Memorandum (s) of Understanding ○ Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to: <ul style="list-style-type: none"> ○ Continuity of Operations (COOP) plans ○ Devolution Plans ○ Occupant Emergency Plans (OEP) ○ Emergency Action Plans (EAP) ○ Facility Emergency Action Plans (FEAPS) | <p>Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0004-0001</p> |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|-------------------------|-----------------------|
| | <ul style="list-style-type: none"> ○ Records Emergency Plans (REMT) ○ Disaster Recovery Plans (DRP) ○ Pandemic Influenza Plans ● records on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ instructions to members participating in tests ○ staffing assignments ○ records of tests of communications and facilities ● evaluative reports on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ result reports ○ readiness reports ○ risk and vulnerability assessments ○ site evaluations and inspections ○ corrective action plans ○ after action reports/improvement plans <p>Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p>Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</p> <p>Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</p> <p>Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</p> | | |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|---|------------------------|
| 020 | <p>Employee emergency contact information. Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.</p> <p>Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers.</p> | <p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.</p> | DAA-GRS-2016-0004-0002 |

| New GRS | | | | Old GRS | | | |
|---------|----------|---|--------------------------------------|----------|----------|-----------|-----------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 5.3 | 010 | 3 years | DAA-GRS-2016-0004-0001 | 18 | 26 | 2 years | GRS 18, 1960, item 27 |
| | | | | 18 | 27 | 3 years | NC1-GRS-81-1 item 1b |
| | | | | 18 | 28 | 3 years | NC1-GRS-81-1 item 4 |
| 5.3 | 020 | Superseded, obsolete, separation or transfer | DAA-GRS-2016-0004-0002 | New Item | | | |

Frequently Asked Questions (FAQs) about GRS 5.3, Continuity and Emergency Planning Records

January 2017

INTRODUCTION

1. What is the purpose of GRS 5.3?

This schedule provides disposition authority for records about Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 5.3 differ from the old General Records Schedules?

GRS 5.3 replaces emergency planning items that were previously found in GRS 18. It clarifies that Continuity of Operations (COOP) planning records are part of emergency planning and updates the GRS to reflect how this business process is currently being carried out in Federal agencies.

The other significant change is that we have removed the requirement that agencies schedule as permanent emergency plans and emergency planning reports of operations tests (consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans). These records were originally appraised as permanent in 1981 as documentation of emergency planning programs in agencies. Agency emergency planning, however, is a routine, administrative activity that generally does not result in permanent records. As indicated in Note 1 to item 010, an agency may submit a schedule for these records if it believes they warrant permanent preservation, especially in cases where plans were acted upon.

4. Why is NARA rescinding GRS 18, items 29a and 29b, National Defense Executive Reserve (NDER) case files?

The National Defense Executive Reserve (NDER) program was administered by the Federal Emergency Management Agency (FEMA). FEMA informed us that this program is defunct and no agencies have open NDER programs. As agencies no longer create or maintain these records, we are rescinding these items.

DEFINITION OF TERMS USED IN THIS SCHEDULE

5. What is “Continuity of Operations (COOP)”?

COOP is an effort within individual executive departments and agencies to ensure that Primary Mission Essential Functions (PMEFs) continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies. COOP is defined in the National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) and the National Continuity Policy Implementation Plan (NCPPI). See <https://www.fema.gov/guidance-directives>.

6. What is the relationship of COOP to emergency planning?

COOP is a part of overall emergency planning. Emergency planning in Federal agencies also includes other types of emergency plans. Item 010 lists the following other types of emergency plans: Devolution Plans, Occupant Emergency Plans (OEP), Emergency Action Plans (EAP), Facility Emergency Action Plans (FEAPS), Records Emergency Plans (REP), Disaster Recovery Plans (DRP), and Pandemic Influenza Plans.

QUESTION RELATED TO ITEM 010

7. In the disposition instruction, what is meant by “whichever is applicable”?

The statement “whichever is applicable” in the disposition instruction means to use whichever trigger is more appropriate for the records. Thus, if the records do not become superseded or obsolete, they should be destroyed when 3 years old. However, if the records do become superseded or obsolete, they should be destroyed 3 years after that point.

GENERAL RECORDS SCHEDULE 5.4: Facility, Equipment, Vehicle, Property, and Supply Records

This schedule covers records Federal agencies create and receive while managing, operating, and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocating space and managing supply stock.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------------------|---|---|------------------------|
| 010 | <p>Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:</p> <ul style="list-style-type: none"> • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence <p>Exclusion 1: Records of aircraft operations (item 110 in this schedule covers these).</p> <p>Exclusion 2: Records of supply and property procurement (GRS 1.1, item 010 covers these).</p> <p>Exclusion 3: Requisition and supply records of the General Services Administration’s GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies’ mission so they must schedule the records separately).</p> | <p>Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0011-0001 |
| Ownership | | | |
| 020 | <p>Real property ownership records. Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise.</p> | <p>Temporary. Transfer to new owner after unconditional sale or Government release of</p> | DAA-GRS-2016-0011-0002 |

| Item | Records Description | Disposition Instruction | Disposition Authority | |
|---------------------------------|--|--|--|------------------------|
| | <p>Exclusion 1: Records relating to property acquired prior to January 1, 1921 (agencies must schedule these separately).</p> <p>Exclusion 2: Reports of Excess Real Property (Standard Form 118) and associated real property case files (agencies must schedule these separately).</p> | conditions, restrictions, mortgages, or other liens. | | |
| 030 | <p>Vehicle and equipment ownership records and operation manuals. Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.</p> | Temporary. Transfer with vehicle or item to new owner or destroy when item is excessed, as appropriate. | DAA-GRS-2016-0011-0003 | |
| 040 | <p>Excess personal property, equipment, and vehicle records. Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:</p> <ul style="list-style-type: none"> • excess property inventories and lists • lists and other records identifying approved receivers of excess property • donation receipts • destruction certificates • documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence <p>Exclusion: Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).</p> | Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. | DAA-GRS-2016-0011-0004 | |
| Facilities and equipment | | | | |
| 050 | <p>Facility design, engineering, and construction records. Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including</p> | Draft, preliminary, intermediate, working, and contract negotiation drawings. | Temporary. Destroy when superseded, or when project terminates, as appropriate. | DAA-GRS-2016-0011-0005 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|--|
| 051 | <p>office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes:</p> <ul style="list-style-type: none"> • site maps and surveys • plot plans • structural drawings • architectural renderings • electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings • exterior delivery of utilities drawings • materials plans and drawings • minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams • construction progress photographs • construction inspection reports • equipment location plans • paint plans and samples • furniture design and layout drawings and plans • space occupancy plans <p>Exclusion 1: Records documenting financial management of construction contracts (GRS 1.1, item 010 covers these).</p> <p>Exclusion 2: Records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value).</p> | <p>Final and as-built drawings, plans, and designs; and all other records.</p> | <p>Temporary. Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate.</p> <p>DAA-GRS-2016-0011-0006</p> |

| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|--|---|---|-------------------------------|
| 060 | <p>Facility design, engineering, and construction operations records. Records documenting operational support of facility design, engineering, and construction projects. Includes:</p> <ul style="list-style-type: none"> • project requests and approvals • meeting agendas, minutes, and other records • budget and cost working files • task, punch, and action item lists • work logs • progress reports and presentation materials • related correspondence and notes | <p>Temporary. Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0011-0007</p> | |
| 070 | <p>Facility, space, and equipment inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:</p> <ul style="list-style-type: none"> • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules | <p>Records documenting facility structure and long-term maintenance.</p> | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0011-0008</p> |
| 071 | <p>Note: Agencies that contract out facility management may wish to retain records longer than this item’s disposition instruction to document contract performance.</p> <p>Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).</p> | <p>Records tracking completion of custodial and minor repair work.</p> | <p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0011-0009</p> |
| 080 | <p>Housing rental and lease records. Applications, leases, renewals, assignments, termination notices, and related documents regarding Federally owned and operated housing facilities.</p> | <p>Temporary. Destroy 3 years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.</p> | <p>DAA-GRS-2016-0011-0010</p> | |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|---|--|--|------------------------|
| Vehicle maintenance and inspection records | | | |
| 090 | <p>Land vehicle and water vessel inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes:</p> <ul style="list-style-type: none"> • work orders, service and repair requisitions, and logs • descriptions of provided service and repair, and related papers <p>Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).</p> | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized.</p> | DAA-GRS-2016-0011-0011 |
| 100 | <p>Aircraft inspection, maintenance, and modification records. Records documenting general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding:</p> <ul style="list-style-type: none"> • servicing, manufacturing, rebuilding and testing equipment • classifying material's condition status • preventive maintenance • aircraft or equipment configuration and material alteration • logistics services <p>Includes records such as:</p> <ul style="list-style-type: none"> • technical and non-technical correspondence • maintenance manuals • documentation of mechanical defects and evidence of repair • annotated manuals or manuals different from those the manufacturer issued • bulletins directing specific inspections and records of action • logbooks • diagnostic checkouts • spot check inspections • maintenance requests <p>Exclusion 1: Maintenance manuals of unique or customized aircraft must be scheduled by the agency.</p> <p>Exclusion 2: Records of the Air Force, Navy, Army, and Federal Aviation Administration must be scheduled by those agencies.</p> | <p>Temporary. Destroy 6 years after disposing of aircraft or removing equipment from inventory, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0011-0013 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|---|--|--|------------------------|
| Vehicle and equipment operations and use records | | | |
| 110 | <p>Vehicle and heavy equipment operator records. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.</p> <p>Exclusion: Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).</p> | Temporary. Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner. | DAA-GRS-2016-0011-0014 |
| 120 | <p>Aircraft flight operations records. Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs, destinations, and passengers; flight orders; flight plans; load manifests; dispatch releases; flight logs; and similar records.</p> <p>Exclusion: Records of the Air Force, Navy, Army, and Federal Aviation Administration must be scheduled by those agencies.</p> | Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. | DAA-GRS-2016-0011-0015 |
| 130 | <p>Aircraft operational support records. Records documenting logistical support to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes:</p> <ul style="list-style-type: none"> • comments on regulations • directives and other records regarding logistics • management improvement reports • cost reduction reports • requests for substantive information regarding logistics • aircraft inventories | Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use. | DAA-GRS-2016-0011-0016 |
| 140 | <p>Vehicle and vessel accident and incident records. Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including:</p> <ul style="list-style-type: none"> • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • <i>copies</i> of investigative reports (see Exclusion for original investigative reports) | Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use. | DAA-GRS-2016-0011-0017 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|-------------------------|-----------------------|
| | Exclusion: Original formal accident and incident investigation records (covered under GRS 5.6). | | |

| New GRS 5.4 | | | | Old GRS | | | |
|-------------|----------|---|----------------------------------|----------|-------------|------------------------|------------------------|
| GRS No. | Item No. | Retention | ERA Number/Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 5.4 | 010 | 3 years | DAA-GRS-2016-0011-0001 | 3 | 4a | 2 years | NC1-64-77-5 item 5a |
| | | | | 3 | 4b | 1 year | NC1-64-77-5 item 5b |
| | | | | 3 | 8a | 2 years | NC1-64-77-5 item 9a |
| | | | | 3 | 8b | 6 months | NC1-64-77-5 item 9b |
| | | | | 3 | 9a | 2 years | NC1-64-77-5 item 10a |
| | | | | 3 | 9b | 2 years | NC1-64-77-5 item 10b |
| | | | | 3 | 9c | 2 years | NC1-64-77-5 item 10c |
| | | | | 10 | 1 | 2 years | GRS 10, 1952, item 1 |
| | | | | 10 | 4 | 3 years | GRS 10, 1952, item 4 |
| | | | | 11 | 1 | 2 years | N1-GRS-96-1, item 1c |
| | | | | 11 | 2a | 2 years | GRS 11, 1952, item 2a |
| | | | | 11 | 2b1 | 2 years | GRS 11, 1952, item 2b1 |
| | | | | 11 | 2b2 | 1 year | GRS 11, 1952, item 2b2 |
| | | | | 11 | 3 | 2 months | GRS 11, 1952, item 3 |
| | | | | 15 | 1 | 2 years | GRS 15, 1953, item 1 |
| | | | | 15 | 3 | 2 years | GRS 15, 1953, item 3 |
| 15 | 6 | 3 years | GRS 15, 1953, item 6 | | | | |
| 5.4 | 020 | Transfer to new owner | DAA-GRS-2016-0011-0002 | 3 | 1a | 10 years | Authority not found |
| | | | | 3 | 1b | Transfer to new owner | Authority not found |
| | | | | 4 | 4 (in part) | Transfer to new owner | Authority not found |
| 5.4 | 030 | Transfer to new owner or destroy if excessed | DAA-GRS-2016-0011-0003 | New item | | | |
| 5.4 | 040 | 3 years | DAA-GRS-2016-0011-0004 | 4 | 1 | 2 years | GRS 4, 1952, item 4 |
| | | | | 4 | 2 | 3 years | GRS 4, 1952, item 5 |
| | | | | 10 | 6 | 4 years | NARA memo 10/20/1955 |
| 5.4 | 050 | Superseded or obsolete or project termination | DAA-GRS-2016-0011-0005 | 17 | 5 | Superseded or obsolete | N1-GRS- 98-2 item 26 |
| 5.4 | 051 | Superseded or obsolete or transfer to new owner | DAA-GRS-2016-0011-0006 | 4 | 4 (in part) | Transfer to new owner | Authority not found |
| | | | | 17 | 3 | Superseded or obsolete | N1-GRS-98-2 item 24 |
| | | | | 17 | 4 | | N1-GRS-98-2 item 25 |
| | | | | 17 | 6 | | N1-GRS-98-2 item 27 |
| | | | | 17 | 8 | | N1-GRS-98-2 item 28 |
| | | | | 17 | 9 | | N1-GRS-98-2 item 29 |
| 17 | 10 | N1-GRS-98-2 item 30 | | | | | |
| 5.4 | 060 | 5 years | DAA-GRS-2016-0011-0007 | New item | | | |
| 5.4 | 070 | 3 years | DAA-GRS-2016-0011-0008 | 15 | 2a | 3 years | GRS 15, 1953, item 2a |
| | | | | 15 | 2b | 3 years | GRS 15, 1953, item 2b |
| 5.4 | 071 | 90 days | DAA-GRS-2016-0011-0009 | 11 | 5 | 3 months | GRS 11, 1952, item 5 |

| New GRS 5.4 | | | | Old GRS | | | |
|-------------|-----|---------|------------------------|---------|------------------|-----------------------------------|-------------------------------|
| 5.4 | 080 | 3 years | DAA-GRS-2016-0011-0010 | 15 | 4 | 3 years | GRS 15, 1953, item 4 |
| | | | | 15 | 5a | Upon vacancy | GRS 15, 1953, item 5a |
| | | | | 15 | 5b | 3 years | GRS 15, 1953, item 5b |
| | | | | 15 | 7a | 1 year | GRS 15, 1953, item 7a |
| | | | | 15 | 7b | 2 years | GRS 15, 1953, item 7b |
| 5.4 | 090 | 3 years | DAA-GRS-2016-0011-0011 | 10 | 2a | 3 months | GRS 10, 1952, item 2a |
| | | | | 10 | 2b | 1 year | GRS 10, 1952, item 2b |
| | | | | 10 | 3 | 3 years | GRS 10, 1952, item 3 |
| 5.4 | 100 | 6 years | DAA-GRS-2016-0011-0013 | 10 | 11b (in part) | 6 years or superseded or obsolete | N1-GRS-04-6 item 3b (in part) |
| | | | | 10 | 12 | 6 years | N1-GRS-04-6 item 4 |
| 5.4 | 110 | 3 years | DAA-GRS-2016-0011-0014 | 10 | 7 | 3 years | Authority not found |
| 5.4 | 120 | 3 years | DAA-GRS-2016-0011-0015 | 10 | 9 | 2 years | N1-GRS-04-6 item 1 |
| | | | | 10 | 10 | 6 years | N1-GRS-04-6 item 2 |
| 5.4 | 130 | 6 years | DAA-GRS-2016-0011-0016 | 10 | 11b (in part) | 6 years or superseded or obsolete | N1-GRS-04-6 item 3b (in part) |
| 5.4 | 140 | 3 years | DAA-GRS-2016-0011-0017 | 10 | 5 | 6 years | GRS 10, 1952, item 5 |

Frequently Asked Questions (FAQs) about GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records

January 2017

INTRODUCTION

1. What is the purpose of GRS 5.4?

This schedule provides disposition authority for records agencies create and receive in the course of managing their physical plant and equipment; land, water, and air fleet; and supply chain.

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

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

GENERAL QUESTIONS

3. This schedule supersedes a great number of items from numerous different old schedules. Why are you merging so many disparate items and subjects into this one schedule?

This schedule supersedes 50 items scattered among an unusually large number of old schedules: GRS 3, 4, 10, 11, 15, and 17. Our plan for revising the GRS includes organizing the new schedules by function rather than subject. While the records concern disparate topics—buildings, landscape, furniture, machinery, equipment, vehicles (land, water, and air), and supply stock—they all relate to the same function: the agency's work processes of operating, managing, and maintaining its overall physical or "hard" footprint. As a result, we are bringing them together into one GRS based on that function.

4. Why are you rescinding GRS 10, item 11a?

NARA called into question whether GRS 10, item 11a, Recordkeeping copies of maintenance manuals for unique or customized aircraft, belong in the GRS because they could only be created by a very few agencies.

QUESTION RELATED TO ITEM 010

5. Why does this item exclude General Services Administration (GSA) Global Supply requisition and supply records and Defense Logistics Agency (DLA) military supply records?

As noted in the item's Exclusion 3, these are program records of agencies whose mission is supply. The GRS does not cover agency mission records; agencies must schedule such records. Also, 40 U.S.C. 501(a)(2) states that the Department of Defense can opt out of GSA procurement processes. A 1971 agreement between GSA and DLA sorted out which agency supplies which goods to military establishments, based on whether the goods are deemed "military" in nature. For instance, reams of paper are not "military" but ammunition is. For this reason, these GSA and DLA records have agency-specific requirements that also make them inappropriate for a GRS.

QUESTIONS RELATED TO ITEM 020

6. The old GRS authorized agencies to destroy some land title records ten years after unconditionally selling the property. Why does this item require agencies to transfer those same records to the new owner instead?

Local government—usually the county in which the land is situated—creates, maintains, and is the legal custodian of records that legally establish land ownership and title succession. But sometimes county records are incomplete. Some courthouses burn. Deeds—for whatever reason—may not be recorded. In these and other instances, landowner-held records may prove rich supplements to or substitutions for missing county records.¹ Once the Federal Government releases land to another owner, its title records lose their legal value for the Federal Government, and eventually informational value, too. But there is no good reason for the Federal Government to destroy these records when the new or subsequent owners, as the new stewards of the land, may have business use for them.

7. What is a Report of Excess Real Property?

Standard Form (SF) 118, Report of Excess Real Property, is not (despite the name “report”) a summary of completed work, but rather a notice of work about to begin. An SF-118 is the starting point for disposing of federally owned land and buildings. It is part of a real property disposition case file.

8. Why are records of real property disposition not covered by this item (Exclusion 2)?

This item covers only very specific documents about real property *ownership*, not real property *disposition*. Major shifts in the Federal Government’s literal footprint often result in changes in the property’s disposition—such as disposing of land divested by the Government under the military Base Realignment and Closure (BRAC) work of 2005 and similar earlier efforts. Disposing of real property by sale and donation is often the subject of national or local controversy. National notoriety generally produces records appraised as having permanent value. Other records have lasting informational value to only a small geographic locale, which might be best served by donating the records to a local historical society or similar organization. We might therefore assess those records as temporary, with disposition instructions to donate them to that organization. Still other records may prove to have research value to nobody and we would assess them as temporary, with instructions to destroy. As a result, we cannot treat land disposition records consistently as a single series with identical value under all circumstances. They are therefore not appropriate to include in the GRS.

9. My agency has a schedule for real property disposition case files. Does this item supersede it?

No. As discussed in question 8, this item covers only very specific documents about real property *ownership*, not real property *disposition*. Real property disposition records merit unique appraisal.

¹ A celebrated example is the Daniel Boone National Forest which assembled a rich trove of land ownership records when the Forest was established over a 9-county area largely by direct purchase of land from private individuals in the 1930s. Manuscript grant and purchase records dating in some cases from the 1830s document decades-old land transactions never recorded at county courthouses in efforts to dodge tax assessments.

10. My agency has a schedule to permanently retain real property disposition case files. My files incorporate the records item 020 says are temporary (abstract or certificate of title). Can I transfer these temporary records to NARA as part of the permanent files?

Only permanent records should be sent to the National Archives (NARA). If your real property disposition file has simply been incorporated into your ownership file for the same land/building, you should remove the temporary ownership records prior to proposing to transfer the permanent disposition records to NARA. The GRS instructs you to send these ownership records—abstract or certificate of title—to the new owner of the land for good reasons (see the response to question 6). These records should not still be in the files you transfer to NARA.

QUESTION RELATED TO ITEM 030

11. Why don't you include vehicle title in the list of covered records?

We do not include vehicle title as a covered record because it does not have the same disposition instruction as the other records. State law requires the seller to give a vehicle title to the new owner in the sale or release process. The GRS has no authority either to require transfer of a vehicle title, or to authorize its destruction.

QUESTIONS RELATED TO ITEMS 050 AND 051

12. The GRS has never included records of facility construction before. Why are you doing it now?

Construction is in the purview of many agencies; therefore, it is a business process common to many Federal agencies and is appropriate to include in a GRS. Some construction records—those concerning contracts—have been part of the GRS since its inception in the 1950s. But construction also creates engineering, design, and non-finance-related construction records whose business and reference value is common across the Government, so we are including them as well.

13. Records in item 051 are kept until a structure is removed from Federal ownership. Some buildings the Government will never get rid of. Isn't this *de facto* permanent retention?

Agencies should eventually transfer permanent records to the National Archives. By contrast, agencies retain temporary records only as long as required by statute or needed for business use. The business use of records described in item 051 may stretch over many decades, but still ends with demolition of the structure to which the records relate. But, Exclusion 2 makes clear that records documenting buildings of historical, architectural, or technological significance must instead be appraised individually to determine their value, which might be permanent in some cases. These include records on buildings the Government will never intentionally raze and, even if such a building were accidentally destroyed, the records documenting its one-time existence would then be even more valuable.

14. Why would an agency want to keep all construction records until a facility is razed? Isn't that excessive?

These items do not require all construction records to be retained for the life of a facility. Many records exist primarily to document the financial management of the contract(s) under which a building is erected. These are disposable under GRS 1.1, item 010, as noted in Exclusion 1. But other construction

records have enduring value to a physical plant's maintenance crew. As-built drawings often vary significantly from final design drawings, reflecting numerous change orders. As a result, these records are useful for the life of the facility.

15. How can I tell if a building is historically or architecturally significant?

Criteria for establishing a structure's historical or architectural significance are available in the National Register Bulletin 15, "How to Apply the National Register Criteria for Evaluation," published by the National Park Service, which is responsible for the National Register of Historic Places:
<https://www.nps.gov/nr/publications/bulletins/pdfs/nrb15.pdf>.

QUESTIONS RELATED TO ITEM 100

16. 14 CFR 91.417 contains a detailed list of records that agencies must retain and transfer with an aircraft when selling it. Why are these records not included in the GRS, citing 14 CFR 91.417 as the legal authority?

The records 14 CFR 91.417 requires agencies to transfer with an aircraft upon sale fall into two categories. The first is certain maintenance records: "Copies of the forms prescribed by §43.9(d) of this chapter for each major alteration to the airframe and currently installed engines, rotors, propellers, and appliances." The GRS covers these records under item 100. The second category is time-specific records that cannot be compiled as a discrete series until very near the date of sale: "total time in service of the airframe, each engine, each propeller, and each rotor; the current status of life-limited parts of each airframe, engine, propeller, rotor, and appliance; the time since last overhaul of all items installed on the aircraft which are required to be overhauled on a specified time basis; the current inspection status of the aircraft, including the time since the last inspection required by the inspection program under which the aircraft and its appliances are maintained; and the current status of applicable airworthiness directives (AD) and safety directives." A GRS item for records an agency creates and compiles for the sole purpose of immediate transfer outside of agency ownership would be pointless. The GRS also does not cite 14 CFR 91.417 as a legal authority because, in keeping with GRS policy, we reference CFR and U.S. Code citations only if they directly address the length of time agencies must maintain the records.

17. In the Disposition Instruction for item 100, what does "disposing of aircraft" mean?

For purposes of this disposition instruction, "disposing of aircraft" means either its destruction or its sale, donation, or other permanent transfer to a non-Federal entity.

QUESTION RELATED TO ITEMS 100, 110, AND 120

18. Why do items 100 and 120 exclude records of the Air Force, Navy, Army, and Federal Aviation Administration, and item 110 exclude records of vehicles designed for military use?

Aircraft (items 100 and 120), when they exist at all in the inventory of most Federal agencies, are small planes used primarily for quick executive travel. Aircraft used by military branches and FAA are more likely to be involved with agency mission. A similar situation applies to item 110. Military organizations' fleets contain many commonly used vehicles such as cars and trucks, and records relating to such vehicles are covered by item 110. But the sole purpose of some vehicles (for example, amphibious

assault vehicles) is intertwined with agency mission. They are therefore excluded from item 110. Mission records are always scheduled by the creating agency.

QUESTION RELATED TO ITEM 140

19. How does this item relate to the very similar GRS 5.6, item 100, Accident and incident records?

Many vehicle accidents are likely to create records in both the office that manages the fleet and the office that deals with investigations. This item (GRS 5.4, item 140) schedules the former, and, when GRS 5.6 is issued, its item 100 will cover the latter. These files may contain many records in common, but agencies retain them to document different business functions. For that reason, we have assigned them different retention periods based on agency need for the records.

GENERAL RECORDS SCHEDULE 5.5: Mail, Printing, and Telecommunication Service Management Records

This schedule covers records related to:

- organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service
- administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies
- administering printing/binding/duplicating services

This schedule specifically excludes certain records from coverage:

- objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item's subject matter content)
- records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010)
- information technology (IT) records (covered under GRS 3.1)
- unique agency publications produced by a printing service (the publishing agency must schedule these records)
- records documenting agency programs that provide printing services (*e.g.* the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (*e.g.* the Armed Forces Radio and Television Service) (those agencies must schedule these records)

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|------------------------|
| 010 | <p>Mail, printing, and telecommunication services administrative and operational records.</p> <p>Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes:</p> <ul style="list-style-type: none"> • agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use • records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment • telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data • records documenting allocation, distribution, and use of telephone calling cards • statistical reports on mail and package shipment volume and costs | <p>Temporary. Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0012-0001 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|--|------------------------|
| | <ul style="list-style-type: none"> • related correspondence <p>Exclusion: Agreements used to support payment vouchers (GRS 1.1, item 010 covers these)</p> | | |
| 020 | <p>Mail, printing, and telecommunication services control records. Records of general day-to-day communication service administration and specific transmission tracking. Includes:</p> <ul style="list-style-type: none"> • records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages • messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity • reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment • records that document requisitioning and receiving stamps and postage meter balances • documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger • staff and office directories the agency uses to ensure correct mail and package delivery • printing requisitions, work orders, samples, manuscript clearances, and related documents • mailing and contact lists a mailroom or similar office manages • telephone message registers and logs <p>Exclusion 1: United States Postal Service records tracking shipment, <i>etc.</i> (first bullet) and reports of loss, <i>etc.</i> (third bullet). USPS must schedule these separately.</p> <p>Exclusion 2: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these)</p> <p>Exclusion 3: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)</p> | <p>Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0012-0002 |
| 030 | <p>Metered mail records. Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.</p> | <p>Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0012-0003 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|------------------------|
| 040 | Lost, destroyed, or damaged shipment records. Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement. | Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use. | DAA-GRS-2016-0012-0004 |

| New GRS 5.5 | | | | Old GRS | | | |
|-------------|----------|----------------------------------|----------------------------------|---------|----------|-------------------|------------------------------|
| GRS No. | Item No. | Retention | ERA Number/Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 5.5 | 010 | 3 years | DAA-GRS-2016-0012-0001 | 12 | 2a | 2 years | NC1-64-77-9, item 2a |
| | | | | 12 | 2b | 3 years | NC1-64-77-9, item 2b |
| | | | | 12 | 2d2 | 1 year or 3 years | NC1-64-77-9, item 2d2 |
| | | | | 12 | 2e | 2 years | NC1-64-77-9, item 2e |
| | | | | 12 | 4 | 3 years | N1-GRS-96-4 |
| | | | | 13 | 1 | 2 years | GRS 13, 1952, item 2 |
| | | | | 13 | 2b | 3 years | GRS 13, 1952, item 3b |
| | | | | 13 | 6 | 2 years | GRS 13, 1952, item 7 |
| 5.5 | 020 | 1 year or superseded or obsolete | DAA-GRS-2016-0012-0002 | 9 | 4b | 1 year | N1-GRS-91-3, item 4b |
| | | | | 12 | 1 | 2 months | NC1-64-77-9, item 1 |
| | | | | 12 | 2c | 1 year | NC1-64-77-9, item 2c |
| | | | | 12 | 3a | 6 months | NC1-64-77-9, item 3a |
| | | | | 12 | 5a | 1 year | N1-GRS-87-2, item 1a |
| | | | | 12 | 5b | 1 year | N1-GRS-87-2, item 1b |
| | | | | 12 | 5c | 1 year | N1-GRS-87-2, item 1c |
| | | | | 12 | 6a | 1 year | NC1-64-77-9, item 6a |
| | | | | 12 | 6b | 6 months | NC1-64-77-9, item 6b |
| | | | | 12 | 6c | 6 months | NC1-64-77-9, item 6c |
| | | | | 12 | 6d | 1 year | NC1-64-77-9, item 6d |
| | | | | 12 | 6e | 1 year | NC1-64-77-9, item 6e |
| | | | | 12 | 6f | 6 months | NC1-64-77-9, item 6f |
| | | | | 12 | 6g | 1 year | NC1-64-77-9, item 6g |
| | | | | 12 | 6h | 5 months | NC1-64-77-9, item 6h |
| | | | | 12 | 8 | 3 years | NC1-64-77-9, item 8--in part |
| | | | | 13 | 2a | 1 year | GRS 13, 1952, item 3a |
| 13 | 3 | 1 year | GRS 13, 1952, item 4 | | | | |
| 5.5 | 030 | 6 years | DAA-GRS-2016-0012-0003 | 12 | 7 | 6 years | NC1-64-77-9, item 7 |
| 5.5 | 040 | 6 years | DAA-GRS-2016-0012-0004 | 9 | 2 | 6 years | N1-GRS-91-3, item 2 |

Frequently Asked Questions (FAQs) about GRS 5.5, Mail, Printing, and Telecommunication Service Management Records

January 2017

INTRODUCTION

1. What is the purpose of GRS 5.5?

This schedule provides disposition authority for records agencies create and receive in the course of administering and operating mail rooms, printing/duplication services, and radio/telecommunication services.

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

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

GENERAL QUESTIONS

3. Why does this schedule combine records of disparate communication methods, such as hard-copy mail, telephone, and radio, into unified items? Aren't these records fundamentally different?

Communication methods may differ and message formats may be wildly divergent. But at root, they all accomplish the same business process: they transmit information from point A to point B. What unifies these records is that they all relate to the same function: managing services that transmit information.

4. Why does this schedule specifically exclude actual information relayed by hard copy mail, packages, and telephone, email, text, or radio messages?

This schedule does not cover messages agencies send or receive by various communication services because agencies should be scheduling the messages themselves under schedule items covering messages' subject matter. GRS 5.5 covers records of how the agency manages the means of transmitting information (think: envelope) but does not cover the information itself (what is inside the envelope).

5. Why are records of agencies that provide printing and radio/broadcasting services as part of their mission activities not covered by this schedule?

A few agencies of the Federal Government—the Government Printing Office, the Bureau of Engraving and Printing, and Armed Forces Radio and Television Service are primary examples—provide communication services as their mission. Agencies must always schedule mission records in agency-specific schedules. This GRS covers records agencies create in the process of consuming communication services rather than those created in providing those services.

6. Why are you rescinding GRS 12, item 3b?

GRS 12, item 3b, covered “copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message *maintained by communications offices or centers*” (emphasis added). This description boils down to hard copy telegraph messages retained by the office whose only part in the process was tapping dots and dashes to formulate a telegram or decoding incoming dots and dashes to print a telegram. Western Union ceased telegram service in the United States on January 27, 2006. The last telegram in the world was sent in India on July 14, 2013. The very short two-month retention of these records means that none should now exist. None will ever again be created and the SF 14 no longer exists. So there is no longer a need to include this item in the GRS.

QUESTION RELATED TO ITEM 010

7. The disposition instruction gives two variant retention calculations to be used “as appropriate.” How do I determine what is “appropriate”?

Some records covered by this item concern agreements, which have start and end dates. The retention for these records is 3 years after the agreement ends by expiration or cancellation. Records not linked to an agreement may be destroyed when simply 3 years old. Both instructions reflect a common records management ground rule: the retention clock starts ticking only when a record is closed. Countdown to destruction is on hold while a record is active, so the appropriate instruction is the one that applies to the kind of closure involved.

QUESTION RELATED TO ITEMS 010 and 020

8. What’s the difference between “telephone and mobile device use records” (item 010) and “telephone message registers and logs” (item 020)?

“Telephone and mobile device use records” (item 010, third bullet) document use of a particular instrument; the phone bill is one common example. “Telephone message registers and logs” (item 020, last bullet) are records of messages taken over the phone by third parties and forwarded to those with a need to know, or notes and logs a recipient makes to track their telephone messages. These registers and logs generally apply to multiple telephones.

QUESTIONS RELATED TO ITEM 020

9. Why does the crosswalk show GRS 12, item 8, as only partially superseded by this item? What else supersedes it?

Superseded GRS 12, item 8, “Postal Irregularities File,” covered “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.” Retention: 3 years after investigation completion. Despite this item being in GRS 12, “Communications Records,” its true function is investigative. Therefore, many of these records will be covered by item 050 of GRS 5.6 (Security Records) when it is issued.

Mailrooms create records documenting incidents of mishandled mail. Some incidents are minor and may require no more attention than re-delivery to the correct address or apology for late delivery. Other incidents—particularly if intentional mishandling is suspected—may be passed along to an investigative office. Mailrooms must retain *some* information about these more serious incidents in

order to completely document their own business. Under item 020, a mailroom may choose to destroy records of all incidents—regardless of severity—when 3 years old, thus using the same retention as superseded GRS 12, item 8. The investigative office to which the mailroom forwarded a copy of an incident case file retains records documenting the investigative work for 6 years under GRS 5.6, item 050. When different offices retain identical documents for different business purposes, they may require different retention.

10. Why are records tracking shipment, etc. (item’s first bullet), and reports of loss, etc. (third bullet), not covered by this item if held by the United States Postal Service (USPS)?

Tracking mail and package shipments and investigating reported losses are mission functions of the USPS. The GRS does not cover agency mission-specific records; the USPS must schedule records documenting its mission under an agency-specific schedule.

QUESTION RELATED TO ITEM 030

11. Why are metered mail records kept for so much longer than other mail control records, which are covered by item 020?

Metered mail records document an agency’s financial activity. We do not include them in GRS 1.1 because they relate more to the communication line of business than the financial management line of business. But because they are eligible for audit just like any other record documenting an agency’s finances, they must be retained for 6 years just like auditable records in GRS 1.1, item 010.

QUESTION RELATED TO ITEM 040

12. This item cites the Government Losses in Shipment Act. Why isn’t the Act shown as a legal citation, as is done in so many other GRS items?

The GRS cites the Code of Federal Regulations, the United States Code, and Public Laws as “legal citations” only when the law specifically addresses records retention. The Government Losses in Shipment Act (40 U.S.C. 17301-17309) describes in detail the process whereby shipment damages are requested and adjudicated, but says nothing about how quickly a claim must be filed, or how long records must be retained after final adjudication. Since the U.S. Code is silent on these questions, item 040 sets retention to match the statute of limitations for commencing legal action in a contract dispute with the Federal Government (28 U.S. Code 2401(a)). The statute of limitations, however, does not technically apply to claims regarding shipping damages because their final arbiter is not the courts, but rather, the Secretary of the Treasury (40 U.S.C.17304). We have nevertheless set the retention for records covered by item 040 to sync with the statute of limitations because the business process of pursuing settlement is essentially identical regardless of who adjudicates the case.

GENERAL RECORDS SCHEDULE 6.4: Public Affairs Records

This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest.

Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|-------------------------------|
| 010 | <p>Public affairs-related routine operational records. Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:</p> <ul style="list-style-type: none"> • logistics, planning, and correspondence records for routine conferences and events • correspondence and records on speakers and speaking engagements, including biographies • case files and databases of public comments (related to public affairs activities only) | <p>Temporary. Destroy when 3 years old, or no longer needed, whichever is later.</p> | <p>DAA-GRS-2016-0005-0001</p> |
| 020 | <p>Public correspondence and communications not requiring formal action. Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:</p> <ul style="list-style-type: none"> • comments the agency receives but does not act upon or that do not require a response, such as: <ul style="list-style-type: none"> ○ write-in campaigns ○ personal opinions on current events or personal experiences ○ routine complaints or commendations ○ anonymous communications ○ suggestion box comments ○ public correspondence addressed to another entity and copied to the agency or that the agency receives in error ○ comments posted by the public on an agency website that do not require response or that the agency does not collect for further use • communications from the public that the agency responds to but takes no formal action on • agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting | <p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-0005-0002</p> |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|------------------------|
| | <p>Note 1: For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010.</p> <p>Note 2: The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.</p> <p>Exclusion 1: Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.</p> <p>Exclusion 2: Public comments that the agency takes action on or uses to take action are not covered by this GRS.</p> | | |
| 030 | <p>Public affairs product production files. Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:</p> <ul style="list-style-type: none"> • news clippings • marketing research • copies of records used for reference in preparing products • research notes • printers galleys • drafts and working copies (see Exclusion 3) • preparatory or preliminary artwork or graphics • bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4) • clearances related to release of products (see Exclusion 5 and 6) <p>Note: Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item.</p> <p>Exclusion 1: Final products such as speeches, publications, educational materials, agency histories,</p> | Temporary. Destroy when no longer needed for business use. | DAA-GRS-2016-0005-0003 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|------------------------|
| | <p>mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.</p> <p>Exclusion 2: This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.</p> <p>Exclusion 3: This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.</p> <p>Exclusion 4: This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.</p> <p>Exclusion 5: Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.</p> <p>Exclusion 6: This item does not cover clearances for release of information related to declassification review.</p> | | |
| 040 | <p>Routine media relations records. Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:</p> <ul style="list-style-type: none"> • requests and responses for interviews • requests and responses for information or assistance for media stories • daily or spot news recordings or videos available to local radio and TV stations • notices or announcements of media events • public service announcements • copies or articles created by the agency for publication in news media | Temporary. Destroy when no longer needed for business use. | DAA-GRS-2016-0005-0004 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|------------------------|
| | <p>Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.</p> | | |
| 050 | <p>Routine audiovisual records. Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.</p> <p>Note: Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.</p> | <p>Temporary. Destroy when 2 years old but longer retention is authorized if required for business use.</p> | DAA-GRS-2016-0005-0006 |

| New GRS | | | | Old GRS | | | |
|---------|----------|------------------|--------------------------------------|----------|-------------|------------------------|------------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 6.4 | 010 | 3 years | DAA-GRS-2016-0005-0001 | New Item | | | |
| 6.4 | 020 | 90 days | DAA-GRS-2016-0005-0002 | 14 | 5 (in part) | 3 months | GRS 14, 1952, item 5 |
| 6.4 | 030 | No longer needed | DAA-GRS-2016-0005-0003 | 14 | 4 | 1 year | Unknown |
| | | | | 14 | 6 | Superseded or obsolete | Unknown |
| | | | | 17 | 1 | No longer needed | N1-GRS-88-5, item 1 |
| | | | | 21 | 6 | No longer needed | N1-GRS-98-2, item 35 |
| | | | | 21 | 7 | No longer needed | N1-GRS-81-9, item II-3 |
| | | | | 21 | 8 | No longer needed | N1-GRS-98-2, item 36 |
| | | | | 21 | 16 | Immediately | N1-GRS-81-9, item IV-3 |
| 21 | 24 | Immediately | N1-GRS-81-9, item V-3 | | | | |
| 6.4 | 040 | No longer needed | DAA-GRS-2016-0005-0004 | 21 | 26 | 6 months | N1-GRS-98-2, item 42 |
| 6.4 | 050 | 2 years | DAA-GRS-2016-0005-0006 | 21 | 1 | 1 year | N1-GRS-98-2, item 32 |
| | | | | 21 | 5 | 1 year | N1-GRS-98-2, item 34 |
| | | | | 21 | 20 | 2 years | N1-GRS-98-2, item 41 |
| | | | | 21 | 28 | With related records | N1-GRS-81-9, item VI-1 |

Frequently Asked Questions (FAQs) about GRS 6.4, Public Affairs Records

January 2017

INTRODUCTION

1. What is the purpose of GRS 6.4?

This schedule provides disposition authority for records about activities Federal agencies perform in connection with public and media interactions. These records can be created anywhere in an agency, but are often held in locations such as the public affairs or communications office.

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

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

CHANGES FROM THE OLD GRS

3. How does GRS 6.4 differ from the old General Records Schedules?

GRS 6.4 brings together items from GRS 14, 17, and 21. Of particular note, it replaces a number of items in GRS 21, Audiovisual Records, with items based on function rather than the format of the records. Moreover, GRS 6.4, item 030, combines a variety of records that were previously scheduled individually across the three above-mentioned GRS. These are all records related to developing public relations materials.

Item 020 of this schedule expands GRS 14, item 5 (Commendation/Complaint Correspondence Files), to include additional types of communications received from the public that do not require agency action, including comments received on social media platforms.

4. Why is NARA rescinding GRS 14, item 3, for Press Service Files?

The team of agency representatives that helped develop GRS 6.4 indicated that these records no longer exist as described in GRS 14. Instead, news service updates are received by email. Therefore, agencies can manage these records as part of their email management instead.

QUESTIONS RELATED TO ITEM 020

5. What are "routine complaints or commendations"?

Routine complaints and commendations come from the public on an ad-hoc basis--in other words, they are not solicited--and do not require any further action from the agency.

6. This item includes agency postings on social media accounts as well as comments received on an agency website. How can an agency dispose of these records if it does not have the ability to do so?

NARA recognizes that agencies often cannot destroy comments or posts on social media, which is why the schedule notes that it applies only if the agency captures those records. NARA does not expect agencies to destroy social media records that they do not control. However, agencies do need to manage their social media records. NARA provides guidance on managing social media records in [NARA Bulletin 2014-02](#).

7. Why does this item cover comments agencies *do not* act on, but does not cover comments that agencies *do* act on?

Comments not acted upon have limited business value and are generally quickly sidelined. Comments that spur agencies to action have both significant business value and potential historical value. As such, they cannot be universally declared either permanent or temporary, so are not included in the GRS.

QUESTION RELATED TO ITEM 030

8. Why does Exclusion 1 omit common records such as speeches, publications, and agency histories from Item 030?

Many records created under the public affairs function are of permanent value or the value is unclear until they are individually appraised. We are currently not adding clearly permanent records to the GRS and records of unclear value would not be appropriate for the GRS anyway. Instead, we will be providing a guide for scheduling other records related to the Public Affairs function that are not covered by the GRS.

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

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

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

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

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

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

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

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

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

1. Official Personnel Folders (OPFs).

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

a. Transferred employees.

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.
Superseded by GRS 2.5, item 011 (DAA-GRS-2014-0004-0002)~~

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

- c. All other correspondence and forms.

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 supersession 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 devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes.

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. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**~~

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

b. ~~Employee training.~~

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

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

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

a. Administrative Grievance Files (5 CFR 771).

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

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. **Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)**~~

40. Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.

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.~~
Rescinded per GRS Transmittal 24 (see GRS 2.5, item 040)

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

Items 10 through 12. Reserved.

DEDUCTIONS, ALLOTMENTS, AND ELECTRONIC FUNDS TRANSFERS

13. Tax Files.

a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

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. **Superseded by GRS 2.5, items 010 (DAA-GRS-2014-0004-0001) and 011 (DAA-GRS-2014-0004-0002)**~~

Items 29 through 30. Reserved.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

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

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

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

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

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

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

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers.

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

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

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

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

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

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

a. ~~Records relating to property acquired after December 31, 1920, other than abstract or certificate of title. Superseded by GRS 5.4, item 020 (DAA-GRS-2016-0011-0002)~~

b. ~~Abstract or certificate of title. Superseded by GRS 5.4, item 020 (DAA-GRS-2016-0011-0002)~~

[**NOTE:** ~~Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of a Standard Form (SF) 115 to NARA.~~]

2. ~~General Correspondence Files.~~

~~Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)~~

3. ~~Routine Procurement Files~~

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

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

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

- ~~(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
- ~~(2) Transactions dated earlier than July 3, 1995.~~
- ~~(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000 **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
- ~~(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
- ~~b. Obligation copy. **Rescinded per GRS Transmittal 23**~~
- ~~c. Other copies of records described above used by component elements of a procurement office for administrative purposes. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**~~
- ~~d. Data Submitted to the Federal Procurement Data System (FPDS). **Superseded by GRS 1.1, item 013 (DAA-GRS-2016-0001-0002)**~~
- 4. ~~Supply Management Files.~~

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

 - ~~a. Copies received from other units for internal purposes or for transmission to staff agencies. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**~~
 - ~~b. Copies in other reporting units and related working documents. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**~~
- 5. ~~Solicited and Unsolicited Bids and Proposals Files.~~
 - ~~a. Successful bids and proposals. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~b. Solicited and unsolicited unsuccessful bids and proposals.~~
 - ~~(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
 - ~~(2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.~~

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

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

~~c. Canceled solicitations files.~~

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

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

~~d. Lists or card files of acceptable bidders. Superseded by GRS 1.1, item 070 (DAA-GRS-2016-0001-0004) and item 071 (DAA-GRS-2016-0001-0005)~~

~~6. Public Printer Files.~~

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

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

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

~~7. Non personnel Requisition File.~~

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

~~8. Inventory Requisition File.~~

~~Requisitions for supplies and equipment for current inventory.~~

~~a. Stockroom copy. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~b. All other copies. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~9. Inventory Files.~~

~~a. Inventory lists. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~b. Inventory cards. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**~~

~~10. Telephone Records.~~

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

~~11. Contractors' Payroll Files.~~

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

~~12. Tax Exemption Files.~~

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

~~13. Unsuccessful Grant Application Files.~~

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

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

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

~~15. Contract Appeals Case Files.~~

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

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

~~b. Records created after September 30, 1979. **Superseded by GRS 1.1, item 060 (DAA-GRS-2016-0001-0003)**~~

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

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

17. Small and Disadvantaged Business Utilization Files.

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

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

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

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

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

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

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

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

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

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

1. ~~Property Disposal Correspondence Files.~~

Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for. **Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)**

2. ~~Excess Personal Property Reports.~~ **Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)**

3. ~~Surplus Property Case Files.~~

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

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

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

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

~~Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.~~ **Superseded by GRS 5.4, item 020 (DAA-GRS-2016-0011-0002) and GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

~~[NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]~~

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

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

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

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

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

1. Budget Correspondence Files.

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

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

2. Budget Background Records.

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

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

3. Budget Reports Files.

Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of fiscal year).

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

b. All other reports.

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

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

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

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

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

- * Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.
- * Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA. (GRS 5, 1952, items 1 and 2)]

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

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

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

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

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

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

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

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

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

~~SF 215 — Deposit Ticket
SF 224 — Statement of Transactions
SF 1012 — Travel Voucher
SF 1034 — Public Voucher for Purchases and Services Other Than Personal
SF 1036 — Statement of Certificate and Award
SF 1038 — Advance of Funds Application and Account
SF 1047 — Public Voucher for Refunds
SF 1069 — Voucher for Allowance at Foreign Posts of Duty
SF 1080 — Voucher for Transfer Between Appropriations and/or Funds
SF 1081 — Voucher and Schedule of Withdrawals and Credits
SF 1096 — Schedule of Voucher Deductions
SF 1097 — Voucher and Schedule to Effect Correction of Errors
SF 1098 — Schedule of Canceled Checks
SF 1113 — Public Voucher for Transportation Charges
SF 1129 — Reimbursement Voucher
SF 1143 — Advertising Order
SF 1145 — Voucher for Payment Under Federal Tort Claims Act
SF 1154 — Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
SF 1156 — Public Voucher for Fees and Mileage
SF 1164 — Claim for Reimbursement for Expenditures on Official Business
SF 1166 — Voucher and Schedule of Payments
SF 1185 — Schedule of Undeliverable Checks for Credit to Government Agencies
SF 1218 — Statement of Accountability (Foreign Service Account)
SF 1219 — Statement of Accountability
SF 1220 — Statement of Transactions According to Appropriation, Funds, and Receipt Accounts~~

SF 1221 — Statement of Transactions According to Appropriation, Funds, and Receipt
Accounts (Foreign Service Account)

OF 1114 — Bill of Collection

OF 1114A — Official Receipt

OF 1114B — Collection Voucher

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

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

2. — GAO Exceptions Files.

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

3. — Certificates Settlement Files.

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

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

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

4. — General Fund Files.

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

5. — Accounting Administrative Files.

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

- a. — Files used for workload and personnel management purposes. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

- b. — All other files. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

6. — Federal Personnel Surety Bond Files.

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

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

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

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

~~7. Gasoline Sales Tickets.~~

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

~~8. Telephone Toll Tickets.~~

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

~~9. Telegrams.~~

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

10. Administrative Claims Files.

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

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. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

2. ~~General Accounting Ledgers.~~

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

3. ~~Appropriation Allotment Files.~~

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

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

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

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

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

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

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

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

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

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

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

Correspondence files of units responsible for plant, cost, and stores accounting operations.
Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)

2. ~~Stores Invoice Files.~~

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

3. ~~Stores Accounting Files.~~

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

4. ~~Stores Accounting Background Files.~~

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

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

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

6. ~~Cost Accounting Reports.~~

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

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

7. ~~Cost Report Data Files.~~

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

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

b. ~~Automated records.~~

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

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

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

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

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

- a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.
- b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard-form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.

1- Commercial Freight and Passenger Transportation Files.

- a. ~~Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~
- b. ~~Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account,~~

requiring the voucher to be retained beyond the 6 year retention period. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

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

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

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

~~2. Lost or Damaged Shipments Files.~~

~~Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act. **Superseded by GRS 5.5, item 040 (DAA-GRS-2016-0012-0004)**~~

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

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

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

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

~~4. General Travel and Transportation Files.~~

~~a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**~~

~~b. Accountability records documenting the issue or receipt of accountable documents. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**~~

5. Records Relating to Official Passports. [See notes after item 5c.]

a. Application files.

Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

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. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

2. ~~Motor Vehicle Operating and Maintenance Files.~~

a. ~~Operating records including those relating to gas and oil consumption, dispatching, and scheduling. Superseded by GRS 5.4, item 090 (DAA-GRS-2016-0011-0011)~~

~~b. Maintenance records, including those relating to service and repair. Superseded by GRS 5.4, item 090 (DAA-GRS-2016-0011-0011)~~

~~3. Motor Vehicle Cost Files.~~

~~Motor vehicle ledger and worksheets providing cost and expense data. Superseded by GRS 5.4, item 090 (DAA-GRS-2016-0011-0011)~~

~~4. Motor Vehicle Report Files.~~

~~Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

~~5. Motor Vehicle Accident Files.~~

~~Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness. Superseded by GRS 5.4, item 140 (DAA-GRS-2016-0011-0017)~~

~~6. Motor Vehicle Release Files.~~

~~Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle. Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)~~

~~7. Motor Vehicle Operator Files.~~

~~Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence. Superseded by GRS 5.4, item 110 (DAA-GRS-2016-0011-0014)~~

~~8. Reserved.~~

~~9. Routine Aircraft Operations.~~

~~Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records. Superseded by GRS 5.4, item 120 (DAA-GRS-2016-0011-0015)~~

~~10. Logistical Support for Flight Operations.~~

~~Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program~~

and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters. **Superseded by GRS 5.4, item 130 (DAA-GRS-2016-0011-0016)**

11. ~~General Aircraft Maintenance and Modifications Records.~~

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

~~a. Recordkeeping copies of maintenance manuals for unique or customized aircraft. **Rescinded per GRS Transmittal 27**~~

~~b. All other records. **Superseded by GRS 5.4, item 100 (DAA-GRS-2016-0011-0013) and GRS 5.4, item 130 (DAA-GRS-2016-0011-0016)**~~

12. ~~Individual Aircraft Maintenance and Airframe Modifications Records.~~

~~Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment. **Superseded by GRS 5.4, item 100 (DAA-GRS-2016-0011-0013)**~~

13. Records Required for Accident/Incident Reports.

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

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. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

2. ~~Agency Space Files.~~

~~Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.~~

a. ~~Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

b. ~~Correspondence with and reports to staff agencies relating to agency space holdings and requirements.~~

(1) ~~Agency reports to the GSA, including Standard Form (SF) 81, Request for Space, and related documents. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

(2) ~~Copies in subordinate reporting units and related work papers. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

3. ~~Directory Service Files.~~

~~Correspondence, forms, and other records relating to the compilation of directory service listings. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

4. Credentials Files.

Identification credentials and related papers.

- a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

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. **Superseded by GRS 5.4, item 071 (DAA-GRS-2016-0011-0009)**~~

GENERAL RECORDS SCHEDULE 12

Communications Records

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

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

1. ~~— Messenger Service Files.~~

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

2. ~~— Communication General Files.~~

a. ~~— Correspondence and related records pertaining to internal administration and operation.~~
Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)

b. ~~— Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.~~ **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

c. ~~— Telecommunications statistical reports including cost and volume data.~~ **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

d. ~~— Telecommunications voucher files.~~

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

(2) ~~— Records relating to installation, change, removal, and servicing of equipment.~~
Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)

- e. — Copies of agreements with background data and other records relating to agreements for telecommunications services. **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

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

- a. — Message registers, logs, performance reports, daily load reports, and related and similar records. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**
- b. — Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office. **Rescinded per GRS Transmittal 27**

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

4. — Telephone Use (Call Detail) Records.

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records. **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

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

5. — Post Office and Private Mail Company Records.

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

- a. — Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**
- b. — Application for registration and certification of declared value mail. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**
- c. — Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail. **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

6. ~~Mail and Delivery Service Control Files.~~

- a. ~~Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- b. ~~Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds). Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- c. ~~Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers). Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- d. ~~Statistical reports and data relating to handling of mail and volume of work performed. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- e. ~~Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- f. ~~Records of and receipts for mail and packages received through the Official Mail and Messenger Service. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- g. ~~General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~
- h. ~~Locator cards, directories, indexes, and other records relating to mail delivery to individuals. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~

7. ~~Metered Mail Files.~~

~~Official metered mail reports and all related papers. Superseded by GRS 5.5, item 030 (DAA-GRS-2016-0012-0003)~~

8. ~~Postal Irregularities File.~~

~~Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

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

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

1. ~~Administrative Correspondence Files.~~

~~Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents. Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)~~

2. ~~Project Files.~~ [See note after item 2b.]

~~Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.~~

a. ~~Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)~~

b. ~~Files pertaining to planning and other technical matters. Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)~~

~~[NOTE: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed. (NC1-GRS-81-5, items 1a and 1b)]~~

3. ~~Control Files.~~

~~Control registers pertaining to requisitions and work orders.~~ **Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002)**

4. Mailing Lists.

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

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.~~ **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

1. ~~Information Requests Files.~~

~~Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature. Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)~~

2. ~~Acknowledgment Files.~~

~~Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply. Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)~~

3. ~~Press Service Files.~~

~~Press service teletype news and similar materials. Rescinded per GRS Transmittal 27~~

4. ~~Information Project Files.~~

~~Information service project case files maintained in formally designated information offices.
Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)~~

5. Commendation/Complaint Correspondence Files.

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records. **Superseded in part by GRS 6.4, item 020 (DAA-GRS-2016-0005-0002)**

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. **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**~~

Items 7 through 10. Reserved.

11. ~~FOIA Requests Files.~~

~~Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~(1) Granting access to all the requested records. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Request not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(b) Request appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

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

~~(a) Request not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~(b) Request appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**~~

~~b.— Official file copy of requested records. Rescinded per GRS Transmittal 24~~

~~12. FOIA Appeals Files.~~

~~Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~a.— Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein). Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~b.— Official file copy of records under appeal. Rescinded per GRS Transmittal 24~~

~~13. FOIA Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

~~a.— Registers or listing. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~b.— Other files. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~14. FOIA Reports Files.~~

~~Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level. Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)~~

~~15. FOIA Administrative Files.~~

~~Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)~~

~~16 through 20. Reserved.~~

~~21. Privacy Act Requests Files.~~

~~Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.~~

~~a.— Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~(1) Granting access to all the requested records. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~(a) Requests not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(b) Requests appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

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

~~(a) Requests not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~(b) Requests appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~b. Official file copy of requested records. Rescinded per GRS Transmittal 24~~

~~22. Privacy Act Amendment Case Files.~~

~~Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).~~

~~a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)~~

~~b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials. Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)~~

~~c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)~~

~~23. Privacy Act Accounting of Disclosure Files. Now GRS 4.2, item 050 (NC1-64-77-1 item 27)~~

~~24. Privacy Act Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.~~

a.—Registers or listings. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

b.—Other files. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**

25. Privacy Act Reports Files.

Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels. **Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)**

26. Privacy Act General Administrative Files.

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. **Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)**

27 through 30. Reserved.

31. Mandatory Review For Declassification Requests Files.

Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a.—Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1)—Granting access to all the requested records. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

(2)—Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a)—Request not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

(b)—Request appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

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

(a)—Request not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

(b)—Request appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)**

b.—Official file copy of requested records. **Rescinded per GRS Transmittal 23**

~~c. Sanitizing instructions. Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~32. Mandatory Review for Declassification Appeals Files.~~

~~Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein). Superseded by GRS 4.2, item 020 (DAA-GRS-2016-0002-0001)~~

~~b. Official file copy of records under appeal. Rescinded per GRS Transmittal 24~~

~~33. Mandatory Review for Declassification Control Files.~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

~~a. Registers or listing. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~b. Other files. Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)~~

~~34. Mandatory Review for Declassification Reports Files.~~

~~Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office. Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)~~

~~35. Mandatory Review for Declassification Administrative Files.~~

~~Records relating to the general agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including notices, memoranda, correspondence, and related records. Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)~~

~~36. Erroneous Release Files.~~

~~Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.~~

~~a. Files that include the official file copy of the released records. Superseded by GRS 4.2, item 060 (DAA-GRS-2015-0002-0001)~~

- b. ~~Files that do not include the official file copy of the released records.~~ **Superseded by GRS 4.2, item 061 (DAA-GRS-2015-0002-0002)**

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

1. ~~Housing General Correspondence Files.~~

Correspondence files pertaining to the maintenance and management of housing projects.
Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)

2. ~~Housing Maintenance and Repair Files.~~

Maintenance and repair records for individual units.

a. ~~Summary card or ledger record.~~ **Superseded by GRS 5.4, item 070 (DAA-GRS-2016-0011-0008)**

b. ~~Work orders, requisitions, and related papers involved in repair and maintenance work.~~
Superseded by GRS 5.4, item 070 (DAA-GRS-2016-0011-0008)

3. ~~Housing Management Files.~~

Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

4. ~~Housing Lease Files.~~

Copies of leases, renewals, termination notices, and related documents. **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**

5. ~~Housing Assignment and Vacancy Card Files.~~

a. ~~Individual tenant cards. **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**~~

b. ~~Individual housing unit cards. **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**~~

6. ~~Housing Inventory Files.~~

Furnishing inventory files, pertaining to items included in furnished units. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

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

a. ~~Rejected application files. **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**~~

b. ~~All others. **Superseded by GRS 5.4, item 080 (DAA-GRS-2016-0011-0010)**~~

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of a Standard Form (SF) 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

1. Administrative Issuances. [See note after item 1b.]
 - a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)
 - b. Case files related to (a) above that document aspects of the development of the issuance.

Destroy when issuance is destroyed. (NC1-GRS-81-5 item 3d)

[NOTE: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA. (NC1-64-77-8 items 1a & 2a)]

2. ~~Records Disposition Files.~~

~~Descriptive inventories, disposal authorizations, schedules, and reports.~~

a. ~~Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.~~

(1) ~~SF 115s that have been approved by NARA. Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)~~

(2) ~~Other records. Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)~~

b. ~~Routine correspondence and memoranda. Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)~~

3. ~~Forms Files.~~

a. ~~One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form. Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)~~

b. ~~Background materials, requisitions, specifications, processing data, and control records. Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)~~

4. ~~Records Holdings Files.~~

~~Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.~~

a. ~~Records held by offices that prepare reports on agency-wide records holdings. Rescinded per GRS Transmittal 24~~

b. ~~Records held by other offices. Rescinded per GRS Transmittal 24~~

5. Project Control Files.

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed. (NC1-64-77-8 item 7)

6. Reports Control Files.

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued. (NC1-GRS-80-7 item 1)

~~7. Records Management Files.~~

~~Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. **Superseded by GRS 4.1, items 020 (DAA-GRS-2013-0002-0007) and 030 (DAA-GRS-2013-0002-0008)**~~

8. Reserved.

~~9. Feasibility Studies.~~

~~Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system. **Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0007)**~~

~~10. Microform Inspection Records.~~

~~a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**~~

~~b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**~~

11. IRM Triennial Review Files.

Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old. (N1-GRS-87-15 item 1)

12. Information Collection Budget Files.

Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old. (N1-GRS-87-16 item 1)

13. Documents Published in the Federal Register. [See note after item 13b.]

- a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old. (N1-GRS-87-17 item 1a)

- b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old. (N1-GRS-87-17 item 1b)

[NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition. (N1-GRS-87-17 item 1 Note)]

14. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such

as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded. (N1-GRS-91-5 item 1a)

b. Management control plans.

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

Destroy when superseded. (N1-GRS-91-5 item 1b)

c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Cut off closed files annually. Destroy after next review cycle. (N1-GRS-91-5 item 1c)

d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

Cut off closed files annually. Destroy after next reporting cycle. (N1-GRS-91-5 item 1d)

[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA. (N1-GRS-91-5 item 1d)]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed. (N1-GRS-98-2 item 23)

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.
(N1-GRS-91-5 item 1f1)

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

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.
(N1-GRS-91-5 item 1f2)

[**NOTE:** Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to **copies** maintained as internal reviews.]

GENERAL RECORDS SCHEDULE 17

~~Cartographic, Aerial Photographic, Architectural, and Engineering Records~~

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives and Records Administration (NARA) before applying the disposition instructions in this schedule.

1. ~~Cartographic Records Prepared During Intermediate Stages of Publication.~~

Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map. **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

2. ~~Reserved.~~

3. ~~Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.~~

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

4. ~~Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.~~ **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

5. ~~Contract Negotiation Drawings.~~

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air

conditioning projects; or drawings superseded by final working/as built drawings. **Superseded by GRS 5.4, item 050 (DAA-GRS-2016-0011-0005)**

6. ~~Space Assignment Plans.~~

Outline floor plans indicating occupancy of a building. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

7. ~~Reserved.~~

8. ~~Engineering Drawings of Routine Minor Parts.~~

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

9. ~~Drawings Reflecting Minor Modifications.~~

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

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

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings. **Superseded by GRS 5.4, item 051 (DAA-GRS-2016-0011-0006)**

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting a Standard Form (SF) 115 to NARA. (N1-GRS-88-5 item 10 Note)]

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

~~CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS~~

~~Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.~~

1. ~~Classified Documents Administrative Correspondence Files. [See note after this item.]~~

~~Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule. **Superseded by GRS 4.2, item 001 (DAA-GRS-2016-0013-0003)**~~

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

2. ~~Document Receipt Files.~~

~~Records documenting the receipt and issuance of classified documents. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**~~

3. ~~Destruction Certificates Files.~~

~~Certificates relating to the destruction of classified documents. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**~~

4. ~~Classified Document Inventory Files.~~

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

5. ~~Top Secret Accounting and Control Files.~~

a. ~~Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**~~

b. ~~Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. **Superseded by GRS 4.2, item 040 (DAA-GRS-2016-0002-0004)**~~

6. ~~Access Request Files.~~

Requests and authorizations for individuals to have access to classified files. **Superseded by GRS 4.2, item 030 (DAA-GRS-2016-0002-0002)**

7. ~~Classified Document Container Security Files. [See note after item 7b.]~~

a. ~~Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. **Superseded by GRS 4.2, item 031 (DAA-GRS-2013-0007-0020)**~~

b. ~~Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet. **Superseded by GRS 4.2, item 032 (DAA-GRS-2016-0002-0003)**~~

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. Security and Protective Services Administrative Correspondence Files. [See note after this item.]

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

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. **Superseded by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)**~~

- ~~b. If maintained in the individual's official personnel folder. **Rescinded by GRS Transmittal 24**~~

EMERGENCY PLANNING RECORDS

~~Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.~~

~~26. Emergency Planning Administrative Correspondence Files. [See note after this item.]~~

~~Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**~~

~~[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]~~

~~27. Emergency Planning Case Files. [See notes after this item.]~~

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**

~~[NOTES: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115. (Implied in NC1 GRS 81.1 item 1a)]~~

~~28. Emergency Operations Tests Files.~~

~~Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports. **Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**~~

29. National Defense Executive Reserve (NDER) Case Files.

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

a. Case files on reservists. **Rescinded per GRS Transmittal 27**

b. Case files on individuals whose applications were rejected or withdrawn. **Rescinded per GRS Transmittal 27**

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and for specified paper, microform, or other hard copy records that are integrally related to the electronic records.

This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 1a (in part), 2a, and 16 of this schedule apply to hard copy records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for the referenced electronic records whatever the medium in which such programs and documentation exist.

This schedule has been revised to expand the authority agencies have to apply previously approved schedules to electronic records; grant broader authority to agencies to dispose of hard copy records that have been converted to an electronic format; and provide disposition instructions for ad hoc printouts and for documentation associated with permanent electronic records. Additionally, because copies of system security records are now covered by GRS 24, item 5, a cross reference has been provided for item 11b to that effect. The items affected by the revisions to this GRS 20 schedule are 2, 3, 3.1, 11, and 16.

Electronic versions of most records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.

- a. ~~Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records. **Superseded by GRS 3.1, items 010 (DAA-GRS-2013-0005-0006), 011 (DAA-GRS-2013-0005-0007), and 020 (DAA-GRS-2013-0005-0004)**~~
- b. ~~Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~
- c. ~~Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**~~

2. ~~Input/Source Records.~~

- a. ~~Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).~~
 - (1) ~~Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format. **Rescinded 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 050 (DAA-GRS-2013-0006-0007)**

b. File identical to records authorized for disposal in a NARA-approved records schedule. **Superseded by GRS 3.2, item 051 (DAA-GRS-2013-0006-0008)**

9. Finding Aids (or Indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

10. Special Purpose Programs:

Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. **Superseded by GRS 3.1, item 012 (DAA-GRS-2013-0005-0008)**

11. Documentation:

a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.

(1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule. **Superseded by GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)**

(2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule. **Superseded by GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)**

b. Copies of records relating to system security. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

12. Downloaded and Copied Data:

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal. **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

c. Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

~~13. Word Processing Files.~~

~~Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**~~

~~14. Electronic Mail Records.~~

~~Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**~~

~~15. Electronic Spreadsheets.~~

~~Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.~~

~~a. When used to produce hard copy that is maintained in organized files. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**~~

~~b. When maintained only in electronic form. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**~~

~~16. Hard copy printouts created to meet ad hoc business needs.~~

~~Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs. Excluded are printouts created to satisfy established reporting requirements (e.g., a statistical report produced quarterly in accordance with an agency directive). **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**~~

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA) Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, "Recovery of Precious Metals."

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

STILL PHOTOGRAPHY

1. ~~Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency. Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)~~

2. Personnel Identification or Passport Photographs.

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. Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)~~

4. ~~Reserved.~~

GRAPHIC ARTS

5. ~~Viewgraphs.~~ **Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)**

6. ~~Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics.~~ **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

7. ~~Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.~~ **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

8. ~~Line Copies of Graphs and Charts.~~ **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

MOTION PICTURES

9. ~~Films Acquired from Outside Sources for Personnel and Management Training.~~ **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

10. ~~Reserved.~~

11. Routine Surveillance Footage.

Destroy when 6 months old. (N1-GRS-98-2, item 37)

12. ~~Routine Scientific, Medical, or Engineering Footage.~~ **Rescinded per GRS Transmittal 26**

13. ~~Reserved.~~

VIDEO RECORDINGS

14. ~~Programs Acquired from Outside Sources for Personnel and Management Training.~~ **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

15. ~~Reserved.~~

16. ~~Rehearsal or Practice Tapes.~~ **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

17. ~~Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency. (These include "role play" sessions, management and supervisory instruction, etc.)~~ **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

18. Routine Surveillance Recordings.

Destroy when 6 months old. (N1-GRS-98-2, item 39)

19. ~~Routine Scientific, Medical, or Engineering Recordings.~~ **Rescinded per GRS Transmittal 26**
20. ~~Recordings that Document Routine Meetings and Award Presentations.~~ **Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)**
21. ~~Reserved.~~

AUDIO (SOUND) RECORDINGS

22. Recordings of Meetings Made Exclusively for Note Taking or Transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. [See note after this item.]

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.~~ **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

25. ~~Reserved.~~

26. ~~Daily or Spot News Recordings Available to Local Radio Stations on a Call in Basis.~~ **Superseded by GRS 6.4, item 040 (DAA-GRS-2016-0005-0004)**

27. ~~Reserved.~~

RELATED DOCUMENTATION

28. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records. **Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)**

29. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

GENERAL RECORDS SCHEDULE 23

Records Common to Most Offices within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

1. Office Administrative Files. [See note after this item.]

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

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;~~
Bullet superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)
- * Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
- * 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. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

~~9. Finding Aids (or Indexes).~~

~~Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records. GRS 20 superseded by GRS Transmittal 24.~~

1. Oversight and Compliance Files.

~~Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.~~

- a. ~~Performance measurements and benchmarks. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~
- b. ~~All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~

2. IT Facility, Site Management, and Equipment Support Services Records.

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.~~

~~Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

3. IT Asset and Configuration Management Files.

a. ~~Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.~~

~~Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

b. ~~Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~

(1) ~~Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)~~

(2) ~~Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

4. System Backups and Tape Library Records.

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

(1) ~~Incremental backup tapes. Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)~~

(2) ~~Full backup tapes. Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)~~

b. ~~Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

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

- a. ~~System Security Plans and Disaster Recovery Plans. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
- b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
6. ~~User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.~~
 - a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records. Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)~~
 - b. ~~Routine systems, i.e., those not covered by item 6a. Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)~~
7. ~~Computer Security Incident Handling, Reporting and Follow-up Records. Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)~~
8. ~~IT Operations Records.~~
 - a. ~~Workload schedules, run reports, and schedules of maintenance and support activities. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
9. ~~Financing of IT Resources and Services.~~
 - a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - b. ~~Files related to managing third party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING~~

~~records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

10. IT Customer Service Files.

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

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. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~

b. ~~All other records. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~

2. ~~Financial Disclosure Reporting Files.~~

~~Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.~~

a. ~~Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.~~

(1) ~~SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected. **Superseded by GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)**~~

(2) ~~All other SF 278s. **Superseded by GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)**~~

b. ~~Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.~~

(1) ~~OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)**~~

(2) ~~All other OGE Form 450s and OGE Optional Form 450-As. **Superseded by GRS 2.8, items 071 (DAA-GRS-2014-0005-0012) and 072 (DAA-GRS-2014-0005-0013)**~~

c. ~~Alternative or additional financial disclosure reports and related records.~~

(1) ~~Reports for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 080 (DAA-GRS-2014-0005-0014)**~~

(2) ~~All other alternative or additional financial disclosure reports. **Superseded by GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)**~~

3. ~~Ethics Agreement Records.~~

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- * ~~Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.~~
- * ~~Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.~~
- * ~~Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3). **Superseded by GRS 2.8, items 100 (DAA-GRS-2014-0005-0017) and 101 (DAA-GRS-2014-0005-0018)**~~

4. ~~Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.~~

~~Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution. **Superseded by GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)**~~

5. ~~Non-Federally Funded Travel Files.~~

- a. ~~Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties. **Superseded by GRS 2.8, item 030 (DAA-GRS-2014-0005-0003)**~~
- b. ~~Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel. **Superseded by GRS 2.8, item 031 (DAA-GRS-2014-0005-0004)**~~

6. ~~Ethics Program Review Files.~~

~~Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.~~

- a. ~~OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~
- b. ~~All other records produced during OGE program reviews, including notes and background materials. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~

7. ~~Annual Agency Ethics Program Questionnaire Files.~~

- a. ~~Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~
- b. ~~All other records related to responses to annual agency ethics program questionnaires. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~

8. ~~Ethics Program Employee Training and Education Files.~~

- a. ~~Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records. **Superseded by GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)**~~
- b. ~~Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters. **Superseded by GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)**~~

9. ~~Ethics Program Procedures Files.~~

~~Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~

GENERAL RECORDS SCHEDULE 26

Temporary Commissions, Boards, Councils and Committees

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term “commission” is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the Code of Federal Regulations (CFR) and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA’s transfer requirements for permanent records. See 36 CFR Sections: 1228.266 – Audiovisual Records; 1228.268 – Cartographic and Architectural Records; 1228.270 – Electronic Records; 1230.026 – Microform Records

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

1. Internal Agency Committees

a. Internal agency committees unrelated to an agency’s mission

Committees established by an agency for facilitative or operational purposes unrelated to the agency’s mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, *e.g.* committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

Any files created and/or maintained by the committee

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.]~~

~~a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as~~

- ~~• original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components~~
- ~~• agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed~~
- ~~• one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files~~
- ~~• correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission~~
- ~~• substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data)~~
- ~~• questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically)~~
- ~~• records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act~~

- documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and
- documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records. **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002))**

[NOTE: Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.]

b. ~~Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as~~

- ~~correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]~~
- ~~audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events~~
- ~~other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and~~
- ~~extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred.]

[NOTE: Administrative records generated by an advisory committee — records relating to budget, personnel, supply or similar housekeeping or facilitation functions — may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support.]

c. ~~Web site records.~~

~~(1) Electronic version of web site(s). **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005))**~~

~~(2) Design, management, and technical operation records. **Rescinded by GRS Transmittal 24**~~

~~(3) Electronic version of content records duplicated in textual series of commission records. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

~~[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records.]~~

~~3. Committee Records Not Maintained by the Sponsor or Secretariat~~

~~Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. **Rescinded by GRS Transmittal 24**~~

~~[NOTE: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~[NOTE: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~4. Committee Management Records~~

~~Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (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.~~

~~**(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006))**~~

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

~~[NOTE: Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting a SF 115 to NARA.]~~

GENERAL RECORDS SCHEDULE 27

Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management.~~ This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA. **GRS 20 was entirely superseded by GRS Transmittal 24.**

1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[**Note:** This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[**Note:** Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

4. ~~Legal and Regulatory Compliance Records~~

~~Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. **Superseded by GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)**~~

5. CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[**Note:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. ~~CIO Subject and Office Records~~

~~Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency. **Rescinded per GRS Transmittal 27**~~

~~[**Note:** Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere.]~~

7. ~~Schedules of Daily Activities~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems. **Rescinded per GRS Transmittal 27**~~

~~[**Note:** This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]~~

GRS 27, Records of the Chief Information Officer

Implementation Guide

| ITEM TITLE | TYPES OF RECORDS |
|--|--|
| <p>1. Information Technology (IT) Program Planning Records</p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p> | <p>Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records.</p> <p>[Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]</p> |
| <p>2. Enterprise Architecture Records</p> <p>Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p> | <p>Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency’s baseline or target enterprise architecture (EA).</p> <p>[Note: An “iteration” would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.]</p> <p>[Note: This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.]</p> |
| <p>3. IT Capital Investment Records</p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p> | <p>Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency’s capital investment portfolio; and related clearance and review records.</p> <p>[Note: Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, “Financing of IT Resources and Services,” covers many such records.]</p> |

| | |
|--|--|
| <p>4. Legal and Regulatory Compliance Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p> | <p>Records of agency-wide compliance with Federal laws and regulations governing information resources management.</p> |
| <p>5. CIO Committee Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p> | <p>Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> <p>[Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]</p> |
| <p>6. CIO Subject and Office Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p> | <p>Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above.</p> <p>[Note: Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, "Files Related to Maintaining the Security of Systems and Data."]</p> |
| <p>7. Schedules of Daily Activities</p> <p>Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.</p> | <p>Official calendars, appointment books, schedules, logs, and diaries.</p> <p>[Note: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]</p> |

**Frequently Asked Questions about General Records Schedule 27,
*Records of the Chief Information Officer***

1. To whom does General Records Schedule 27 apply?

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

2. Does this schedule describe all of the records of Federal CIOs?

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

3. How does this schedule differ from GRS 20, *Electronic Records*, and GRS 24, *Information Technology (IT) Operations and Management Records*?

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

4. How does GRS 27/4, “Legal and Regulatory Compliance Records,” differ from GRS 24/1, “Oversight and Compliance Files”?

GRS 27/4 covers CIO records that document an agency’s compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office’s or a system’s compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

5. Does this schedule cover records related to IT security?

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, “Legal and Regulatory Compliance Records.” However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, “Files Related to Maintaining the Security of Systems and Data.” Records related to specific security breaches or incidents are covered by GRS 24/7, “Computer Security Incident Handling, Reporting and Follow-up Records.”

6. Does this schedule cover system data?

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency’s mission must be scheduled individually by submission of an SF 115 to the National Archives.

7. Do records have to be arranged in these categories?

No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

8. Is this schedule only for paper records?

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

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| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|---|-----------------|-------------|
| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|---|-----------------|-------------|
| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|---|-----------------|-------------|
| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|--|-----------------|-------------|
| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|---|-----------------|-------------|
| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|--|-----------------|-------------|
| 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 |

| <u>SF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|--|-----------------|-------------|
| 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

| <u>OF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|--|-----------------|-------------|
| 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 |

| <u>OF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|--|-----------------|-------------|
| 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 |

| <u>OF NUMBER</u> | <u>TITLE</u> | <u>Schedule</u> | <u>Item</u> |
|------------------|--|-----------------|-------------|
| 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 | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|-------------------------------|-----------|----------|---------------|
| 1 | 1a | OPFs - Transferred Employees | To receiving agency | No change | | |
| 1 | 1b | OPFs - Separated Employees | 65 years | No change | | |
| 1 | 2a | Service Record Cards - 1947 and earlier | 60 years | No change | | |
| 1 | 2b | Service Record Cards - 1948 and later | 3 years | No change | | |
| 1 | 3 | Personnel Correspondence Files | 3 years | No change | | |
| 1 | 4a | Offers of Employment Files - Accepted | When appointment is effective | No change | | |
| 1 | 4b1 | Offers of Employment Files - Declined (cert. of eligibles) | Return to OPM | No change | | |
| 1 | 4b2 | Offers of Employment Files - Declined (temp or excepted) | File with application | No change | | |
| 1 | 4b3 | Offers of Employment Files - Declined (all others) | Destroy immediately | No change | | |
| 1 | 5 | Certificate of eligibles Files | 2 years | No change | | |
| 1 | 6 | Employee record cards | Separation of employee | No change | | |
| 1 | 7a1 | Position Classification Files - Standards | Superseded or obsolete | No change | | |
| 1 | 7a2a | Position Classification Files - Standards development: case | 5 years | No change | | |
| 1 | 7a2b | Position Classification Files - Standards development: review | 2 years | No change | | |
| 1 | 7b | Position Classification Files - PDs | 2 years | No change | | |
| 1 | 7c1 | Position Classification Files - Classification survey reports | 3 years | No change | | |
| 1 | 7c2 | Position Classification Files - Inspections and audits | Superseded or obsolete | No change | | |
| 1 | 7d1 | Position Classification Files - Classification appeals | 3 years | No change | | |
| 1 | 7d2 | Position Classification Files - Cert. of classification | When position is abolished | No change | | |
| 1 | 8 | Interview Records | 6 months | No change | | |
| 1 | 9 | Performance Rating Board case files | 1 year | No change | | |
| 1 | 10a | Temporary individual employee records - Left side of OPF | Superseded or obsolete | No change | | |
| 1 | 10b | Temporary individual employee records - INS form I-9 | 3 years | No change | | |
| 1 | 11 | Position ID strips | Superseded or obsolete | No change | | |
| 1 | 12a1 | Employee Awards Files - General within agency | 2 years | No change | | |
| 1 | 12a2 | Employee Awards Files - General outside of agency | 2 years | No change | | |
| 1 | 12b | Employee Awards Files - Length of service/sick leave | 1 year | No change | | |
| 1 | 12c | Employee Awards Files - Letters of commendation | 2 years | No change | | |
| 1 | 12d | Employee Awards Files - Lists/indexes to award nominations | Superseded or obsolete | No change | | |
| 1 | 13 | Incentive awards | 3 years | No change | | |
| 1 | 14a | Notifications of Personnel Actions (SF-50) - Chron file copies in pers offices | 2 years | No change | | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|----------------------------------|-----------|----------|------------------------|
| 1 | 14b | Notifications of Personnel Actions (SF-50) - All other copies in pers offices | 1 year | No change | | |
| 1 | 15 | Does not exist | | No change | | |
| 1 | 16 | Personnel Operations statistical reports | 2 years | No change | | |
| 1 | 17a | Correspondence and forms - Pending personnel actions | Immediate | No change | | |
| 1 | 17b1 | Retention registers and related records used to effect reduction-in-force actions | 2 years | 2.5 | 011 | 2 years |
| 1 | 17b2 | Retention registers and related records from which no reduction-in-force actions have been taken and related records | Superseded or obsolete | 2.5 | 010 | Superseded or obsolete |
| 1 | 17c | All other correspondence and forms | 6 months | No change | | |
| 1 | 18a | Supervisors' Personnel Files | Superseded or obsolete or 1 year | No change | | |
| 1 | 18b | Duplicates of OPF material | 6 months | No change | | |
| 1 | 19 | Non-occupational health records | 6 years | No change | | |
| 1 | 20a | Health Unit Control Files - Logs of visitors, summarized on statistical reports | 3 months | No change | | |
| 1 | 20b | Health Unit Control Files - Logs not summarized | 2 years | No change | | |
| 1 | 21a1 | Employee Medical Folder (EMF) - Longterm transferred employees | See 5 CFR Part 293 Subpart E | No change | | |
| 1 | 21a2 | Employee Medical Folder (EMF) - Longterm separated employees | 75 years or 60 years or 30 years | No change | | |
| 1 | 21b | Employee Medical Folder (EMF) - Temp EMF records | 1 year | No change | | |
| 1 | 21c | Employee Medical Folder (EMF) - Individual employee health file pre-EMF system | 60 years | No change | | |
| 1 | 22 | Statistical summaries re health | 2 years | No change | | |
| 1 | 23a1 | Employee Performance File System Records - Non-SES Employees - Unacceptable performance | 1 year | No change | | |
| 1 | 23a2 | Employee Performance File System Records - Non-SES Employees - Records superseded thru admin or judicial procedure | Superseded | No change | | |
| 1 | 23a3a | Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - Latest rating | To gaining agency or 4 years | No change | | |
| 1 | 23a3b | Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - All other performance plans and ratings | 4 years | No change | | |
| 1 | 23a4 | Employee Performance File System Records - Non-SES Employees - All other performance appraisal records | 4 years | No change | | |
| 1 | 23a5 | Employee Performance File System Records - Non-SES Employees - Supporting documents | 4 years | No change | | |
| 1 | 23b1 | Employee Performance File System Records - SES appointees - SES records superseded thru admin or judicial procedure | Superseded | No change | | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|------------------------------|-----------|----------|-------------------|
| 1 | 23b2a | Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES latest rating | To gaining agency or 5 years | No change | | |
| 1 | 23b2b | Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES all other plans/ratings | 5 years | No change | | |
| 1 | 23b3 | Employee Performance File System Records - SES all other performance appraisals | 5 years | No change | | |
| 1 | 23b4 | Employee Performance File System Records - SES appointees - SES supporting documents | 5 years | No change | | |
| 1 | 24a | Reasonable Accommodation Request Records - General | 3 years | No change | | |
| 1 | 24b | Reasonable Accommodation Request Records - Employee case files | 3 years | No change | | |
| 1 | 24c | Reasonable Accommodation Request Records - Supplemental files | 3 years | No change | | |
| 1 | 24d | Reasonable Accommodation Request Records - Tracking system | 3 years | No change | | |
| 1 | 25a | EEO Records - Discrimination complaints | 4 years | No change | | |
| 1 | 25b | EEO Records - Duplicates of above | 1 year | No change | | |
| 1 | 25c1 | EEO Records - Prelim/bkgd files | 2 years | No change | | |
| 1 | 25c2 | EEO Records - Bkgd to complaints that don't become official discrimination cases | 2 years | No change | | |
| 1 | 25d1 | EEO Records - Compliance reviews re contractor practices | 7 years | No change | | |
| 1 | 25d2 | EEO Records - Compliance reports | 3 years | No change | | |
| 1 | 25e | EEO Records - Employee housing requests | 1 year | No change | | |
| 1 | 25f | EEO Records - Employment statistics re race/sex | 5 years | No change | | |
| 1 | 25g | EEO Records - EEO general | 3 years | No change | | |
| 1 | 25h1 | EEO Records - Affirmative Action Plans: consolidated for whole agency | 5 years | No change | | |
| 1 | 25h2 | EEO Records - Feeder plans | 5 years | No change | | |
| 1 | 25h3 | EEO Records - On-site review of AAP | 5 years | No change | | |
| 1 | 25h4 | EEO Records - Agency copy of AAP annual rept | 5 years | No change | | |
| 1 | 26a | Personnel Counseling Records - Counseling files | 3 years | No change | | |
| 1 | 26b | Personnel Counseling Records - Alcohol and drug abuse program | 3 years | No change | | |
| 1 | 27a | Alternative Dispute Resolution - General files | 3 years | No change | | |
| 1 | 27b | Alternative Dispute Resolution - Case files | 3 years | No change | | |
| 1 | 28a1 | Labor Management Relations Records - General and case files, office of record | 5 years | No change | | |
| 1 | 28a2 | Labor Management Relations Records - All other offices | Superseded or obsolete | No change | | |
| 1 | 28b | Labor Management Relations Records - Arbitration general and case | 5 years | No change | | |
| 1 | 29a1 | Training Records - General, in-house, excluding curriculum | 5 years | 2.6 | 010 | 3 years |
| 1 | 29a2 | Training Records - Background | 3 years | 2.6 | 010 | 3 years |
| 1 | 29b | Training Records - Training by outside opportunities | 5 years | 2.6 | 030 | 3 years or 1 year |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|----------------------------|---------|-----------|---------------|
| 1 | 30a | Administrative Grievance, Disciplinary, & Adverse Action Files - Admin Grievance | 4 to 7 years | | No change | |
| 1 | 30b | Administrative Grievance, Disciplinary, & Adverse Action Files - Adverse & performance based actions | 4 to 7 years | | No change | |
| 1 | 31 | Personal Injury Files | 3 years | | No change | |
| 1 | 32 | Merit Promotion Case Files | 2 years or OPM audit | | No change | |
| 1 | 33a | Examining and Certification Records - Delegated agreements | 3 years | | No change | |
| 1 | 33b | Examining and Certification Records - General correspondence | 1 year | | No change | |
| 1 | 33c | Examining and Certification Records - Change of address/status notes from eligibles | 90 days | | No change | |
| 1 | 33d | Examining and Certification Records - Test material stock control | Superseded or obsolete | | No change | |
| 1 | 33e | Examining and Certification Records - Application record card (OPM 5000A) | 90 days | | No change | |
| 1 | 33f | Examining and Certification Records - Examination announcements | 2 years | | No change | |
| 1 | 33g | Examining and Certification Records - Register of eligibles (OPM 5001-C) | 2 years | | No change | |
| 1 | 33h | Examining and Certification Records - Letters denying eligibility (OPM 4896) | 1 year | | No change | |
| 1 | 33i | Examining and Certification Records - Test answer sheets | 6 months | | No change | |
| 1 | 33j | Examining and Certification Records - Lost/exposed test material | 5 years | | No change | |
| 1 | 33k | Examining and Certification Records - Cancelled or ineligible applications | 1 year | | No change | |
| 1 | 33l1 | Examining and Certification Records - Eligible applications (OF 612 etc) on active register | 90 days | | No change | |
| 1 | 33l2 | Examining and Certification Records - Eligible applications (OF 612 etc) on inactive register | 1 year | | No change | |
| 1 | 33m | Examining and Certification Records - Ineligible applications for positions filled by case | 2 years | | No change | |
| 1 | 33n | Examining and Certification Records - Eligible applications for positions filled by case | 2 years | | No change | |
| 1 | 33o | Examining and Certification Records - Request for prior approval of pers actions (SF 59, OPM 648) | 1 year | | No change | |
| 1 | 33p | Examining and Certification Records - Certificates (SF 39, SF 39A) | 2 years | | No change | |
| 1 | 33q | Examining and Certification Records - Certification request control index | 2 years | | No change | |
| 1 | 33r | Examining and Certification Records - Interagency Placement Program | Termination of eligibility | | No change | |
| 1 | 33s | Examining and Certification Records - DEP control cards | 2 years | | No change | |
| 1 | 33t | Examining and Certification Records - Audit reports | 3 years | | No change | |
| 1 | 34 | Occupational injury/illness Files | 5 years | | No change | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|-----------------------------------|-----------|----------|---------------|
| 1 | 35a | Denied health benefits requests under spouse equity - Not appealed | 3 years | No change | | |
| 1 | 35b1 | Denied health benefits requests under spouse equity - Appealed--successful | Create enrollment file (see note) | No change | | |
| 1 | 35b2 | Denied health benefits requests under spouse equity - Appealed--unsuccessful | 3 years | No change | | |
| 1 | 36a | Federal Workplace Drug Testing Program Files - Test plans/procedures | 3 years | No change | | |
| 1 | 36b | Federal Workplace Drug Testing Program Files - Employee acknowledgement of notice that drug-testing may be necessary in a position | Employee separation | No change | | |
| 1 | 36c | Federal Workplace Drug Testing Program Files - Selection/scheduling | 3 years | No change | | |
| 1 | 36d1 | Federal Workplace Drug Testing Program Files - Collection/handling of specimens record books | 3 years | No change | | |
| 1 | 36d2 | Federal Workplace Drug Testing Program Files - Collection/handling of specimens chain of custody | 3 years | No change | | |
| 1 | 36e1a | Federal Workplace Drug Testing Program Files - Test results: positive: employees | 3 years or employee separation | No change | | |
| 1 | 36e1b | Federal Workplace Drug Testing Program Files - Test results: positive: not employees | 3 years | No change | | |
| 1 | 36e2 | Federal Workplace Drug Testing Program Files - Test results: negative | 3 years | No change | | |
| 1 | 37 | Donated leave Program Case Files | 1 year | No change | | |
| 1 | 38 | Wage survey files | Completion of two more surveys | No change | | |
| 1 | 39 | Retirement assistance files | 1 year | 2.5 | 020 | 1 year |
| 1 | 40 | Handicapped Individuals Appointment Case Files | 5 years | No change | | |
| 1 | 41 | Pay comparability records | 3 years | No change | | |
| 1 | 42a | Alternative Worksite Records - Approved | 1 year | No change | | |
| 1 | 42b | Alternative Worksite Records - Unapproved | 1 year | No change | | |
| 1 | 42c | Alternative Worksite Records - Forms | 1 year | No change | | |
| | | | | | | |
| 2 | 1a | Individual Employee Pay Record - Database version | Update regularly | No change | | |
| 2 | 1b | Individual Employee Pay Record - Individual Pay Record, non-electronic | 56 years | No change | | |
| 2 | 2 | Noncurrent Payroll Files | 15 years | No change | | |
| 2 | 3 | Does not exist | N/A | | | |
| 2 | 4 | Does not exist | N/A | | | |
| 2 | 5 | Does not exist | N/A | | | |
| 2 | 6a | Leave Application Files - If employee initials time card | End of following pay period | No change | | |
| 2 | 6b | Leave Application Files - If employee has not initialed time card | 3 years or GAO audit | No change | | |
| 2 | 7 | Time and Attendance Source Records | 6 years or GAO audit | No change | | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|--------------------------------------|-----------|------------|-----------------------------------|
| 2 | 8 | Time and Attendance Input Records | 6 years or GAO audit | No change | | |
| 2 | 9a | Leave record: Record of employee leave, such as SF 1150, prepared upon transfer or separation | File on right [sic] side of OPF | 2.5 | 040 | File on left side of OPF |
| 2 | 9b | Leave record: Creating agency copy, when maintained | 3 years | 2.5 | 020 | 1 year |
| 2 | 10 | Does not exist | N/A | | | |
| 2 | 11 | Does not exist | N/A | | | |
| 2 | 12 | Does not exist | N/A | | | |
| 2 | 13a | Tax Files - W-4s | 4 years | No change | | |
| 2 | 13b | Tax Files - Agency copy of W-2s | 4 years | No change | | |
| 2 | 13c | Tax Files - Agency copy of W-3s, etc. | 4 years | No change | | |
| 2 | 14a | Saving Bond Purchase Files - Authorization for purchase and Request for Change | Separation of employee | No change | | |
| 2 | 14b | Saving Bond Purchase Files - Bond registration files | 4 months | No change | | |
| 2 | 14c | Saving Bond Purchase Files - Bond receipt and transmittal files | 4 months | No change | | |
| 2 | 15a | Combined Federal Campaign and Other Allotment Authorizations - Authorization for individual allotment | 3 years or GAO audit | No change | | |
| 2 | 15b | Combined Federal Campaign and Other Allotment Authorizations - Other authorizations | 3 years or GAO audit | No change | | |
| 2 | 16 | Thrift Savings Plan Election Form | Separation of employee or superseded | No change | | |
| 2 | 17 | Direct Deposit Sign-up Form | Separation of employee or superseded | No change | | |
| 2 | 18 | Levy and Garnishment Files | 3 years | No change | | |
| 2 | 19 | Does not exist | N/A | | | |
| 2 | 20 | Does not exist | N/A | | | |
| 2 | 21 | Does not exist | N/A | | | |
| 2 | 22a | Payroll System Reports - Error reports, etc. | 2 years | No change | | |
| 2 | 22b | Payroll System Reports - Reports and data used for workload and personnel mgmt | 2 years | No change | | |
| 2 | 22c | Payroll System Reports - Reports providing fiscal info | 3 years or GAO audit | No change | | |
| 2 | 23a | Payroll Change Files - Copies subject to GAO audit | 3 years or GAO audit | No change | | |
| 2 | 23b | Payroll Change Files - All other copies | 1 month | No change | | |
| 2 | 24 | Payroll Correspondence | 2 years | No change | | |
| 2 | 25 | Does not exist | N/A | | | |
| 2 | 26 | Does not exist | N/A | | | |
| 2 | 27 | Does not exist | N/A | | | |
| 2 | 28 | Retirement files | Delete upon OPM acceptance | 2.5 | 010 011 | Superseded or obsolete 2 years |
| 3 | 1a | Real Property Files - Records relating to property acquired after December 31, 1920, other than abstract or certificate of title | 10 years after sale | 5.4 | 020 | Transfer to new owner |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|------------------------------------|-----------|----------|-----------------------|
| 3 | 1b | Real Property Files - Abstract or certificate of title | Transfer to purchaser | 5.4 | 020 | Transfer to new owner |
| 3 | 2 | General Correspondence Files | 2 years | 1.1 | 001 | 3 years |
| 3 | 3a1a | Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions exceeding simplified acquisition threshold and construction contracts exceeding \$2000 | 6 years, 3 months | 1.1 | 010 | 6 years |
| 3 | 3a1b | Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions below simplified acquisition threshold and constructions contracts at or below \$2000 | 3 years | 1.1 | 010 | 6 years |
| 3 | 3a2a | Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000. | 6 years, 3 months | 1.1 | 010 | 6 years |
| 3 | 3a2b | Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize small purchase procedures and all construction contracts under \$2,000. | 3 years | 1.1 | 010 | 6 years |
| 3 | 3b | Routine Procurement Files - Obligation copy | When funds are obligated | Rescinded | | |
| 3 | 3c | Routine Procurement Files - Other copies | Upon termination | 1.1 | 011 | Business use ceases |
| 3 | 3d | Routine Procurement Files - Data submitted to FPDS | 5 years | 1.1 | 013 | 6 years |
| 3 | 4a | Supply Management Files - Copies received from other units | 2 years | 5.4 | 010 | 3 years |
| 3 | 4b | Supply Management Files - Copies in other reporting units an drelated working documents | 1 year | 5.4 | 010 | 3 years |
| 3 | 5a | Solicited and Unsolicited Bids and Proposals Files - Successful bids and proposals | With related contract (see item 3) | 1.1 | 010 | 6 years |
| 3 | 5b1 | Solicited and Unsolicited Bids and Proposals Files - Unsuccessful - Relating to small purchases | 1 year after award or payment | 1.1 | 010 | 6 years |
| 3 | 5b2a | Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - Files separated from contract case files | When related contract is completed | 1.1 | 010 | 6 years |
| 3 | 5b2b | Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - When filed with contract case files | With related contract (see item 3) | 1.1 | 010 | 6 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|---------------------------------------|-----------|------------|-----------------------|
| 3 | 5c1 | Solicited and Unsolicited Bids and Proposals Files - Cancelled solicitations files - formal solicitations canceled prior to award | 5 years | 1.1 | 010 | 6 years |
| 3 | 5c2 | Unopened bids | Return to bidder | 1.1 | 010 | 6 years |
| 3 | 5d | Solicited and Unsolicited Bids and Proposals Files - Lists or card files of acceptable bidders | Superseded or obsolete | 1.1 | 070 | 5 years |
| | | | | 1.1 | 071 | 3 years |
| 3 | 6a | Public Printer Files - Procurement unit copy | 3 years | 1.1 | 010 | 6 years |
| 3 | 6b | Public Printer Files - Accounting copy | 3 years | 1.1 | 010 | 6 years |
| 3 | 7 | Nonpersonal Requisition File | 1 year | 1.1 | 010 | 6 years |
| 3 | 8a | Inventory Requisition File - Stockroom copy | 2 years | 5.4 | 010 | 3 years |
| 3 | 8b | Inventory Requisition File - all other copies | 6 months | 5.4 | 010 | 3 years |
| 3 | 9a | Inventory Files - Inventory lists | 2 years | 5.4 | 010 | 3 years |
| 3 | 9b | Inventory Files - Inventory cards | 2 years | 5.4 | 010 | 3 years |
| 3 | 9c | Inventory Files - Report of survey files etc. | 2 years | 5.4 | 010 | 3 years |
| 3 | 10 | Telephone Records | 3 years | 1.1 | 010 | 6 years |
| 3 | 11 | Contractors' Payroll Files | 3 years | 1.1 | 050 | 3 years |
| 3 | 12 | Tax Exemption Files | 3 years | 1.1 | 010 | 6 years |
| 3 | 13 | Unsuccessful Grant Application Files | 3 years | 1.2 | 021 | 3 years |
| 3 | 14 | Grant Administrative Files | 2 years | 1.2 | 010 | 3 years |
| 3 | 15a | Contract Appeals Case Files - prior to Oct. 1, 1979 | 6 years, 3 mos | Rescinded | | |
| 3 | 15b | Contract Appeals Case Files - after Sep. 30, 1979 | 1 year | 1.1 | 060 | 1 year |
| 3 | 16 | Contractor's Statement of Contingent or Other Fees | Superseded or obsolete | Rescinded | | |
| 3 | 17 | Small and Disadvantaged Business Utilization Files | 3 years | No change | | |
| 3 | 18a | Federal Activities Inventory Reform (FAIR) Act Records - maintained by office having primary responsibility | 6 to 10 years (as selected by agency) | No change | | |
| 3 | 18b | Federal Activities Inventory Reform (FAIR) Act Records - maintained by other offices | 2 years | No change | | |
| | | | | | | |
| 4 | 1 | Property Disposal Correspondence Files | 2 years | 5.4 | 040 | 3 years |
| 4 | 2 | Excess Personal Property Reports | 3 years | 5.4 | 040 | 3 years |
| 4 | 3a | Surplus Property Case Files - more than \$25,000 | 6 years | 1.1 | 010 | 6 years |
| 4 | 3b | Surplus Property Case Files - \$25,000 or less | 3 years | 1.1 | 010 | 6 years |
| 4 | 4 | Real Property Files | Transfer to new owner | 5.4 | 020 or 051 | Transfer to new owner |
| | | | | | | |
| 5 | 1 | Budget Correspondence | 2 years | No change | | |
| 5 | 2 | Budget Background Records | 1 year | No change | | |
| 5 | 3a | Budget Reports Files - Annual report | 5 years | No change | | |
| 5 | 3b | Budget Reports Files - All other reports | 3 years | No change | | |
| 5 | 4 | Budget Apportionment Files | 2 years | No change | | |
| | | | | | | |
| 6 | 1a | Accountable Officers' Files - Originals | 6 years, 3 months | 1.1 | 010 | 6 years |
| 6 | 1b | Accountable Officers' Files - Memorandum or extra copies | 1 year | 1.1 | 011 | Business use ceases |
| 6 | 2 | GAO Exceptions Files | 1 year | Rescinded | | |
| 6 | 3a | Certificates Settlement Files - covering closed account settlements, etc. | 2 years | 1.1 | 010 | 6 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|--|-----------|----------|---------------|
| 6 | 3b | Certificates Settlement Files - covering periodic settlements | Receipt of new certificate | 1.1 | 010 | 6 years |
| 6 | 4 | General Fund Files | 3 years | 1.1 | 010 | 6 years |
| 6 | 5a | Accounting Administrative Files - For workload and personnel management | 2 years | 1.1 | 001 | 3 years |
| 6 | 5b | Accounting Administrative Files - All other files | 3 years | 1.1 | 001 | 3 years |
| 6 | 6a1 | Federal Personnel Surety Bond Files - Official copies - before 1/1/1956 | 15 years | Rescinded | | |
| 6 | 6a2 | Federal Personnel Surety Bond Files - Official copies - after 12/31/1955 | 15 years | Rescinded | | |
| 6 | 6b | Federal Personnel Surety Bond Files - Other | Bond becomes inactive | Rescinded | | |
| 6 | 7 | Gasoline Sales Tickets | 3 years or GAO audit | 1.1 | 010 | 6 years |
| 6 | 8 | Telephone Toll Tickets | 3 years or GAO audit | 1.1 | 010 | 6 years |
| 6 | 9 | Telegrams | 3 years or GAO audit | Rescinded | | |
| 6 | 10a | Administrative Claims Files - Claims against the US | 6 years, 3 months | 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 | 1.1 | 001 | 3 years |
| 7 | 2 | General Accounting Ledgers | 6 years, 3 months | 1.1 | 010 | 6 years |
| 7 | 3 | Appropriation Allotment Files | 6 years, 3 months | 1.1 | 010 | 6 years |
| 7 | 4a | Expenditure Accounting Posting and Control Files - Originals | 3 years | 1.1 | 010 | 6 years |
| 7 | 4b | Expenditure Accounting Posting and Control Files - Copies | 2 years | 1.1 | 010 | 6 years |
| | | | | | | |
| 8 | 1 | Plant, Cost, and Stores General Correspondence Files | 2 years | 1.1 | 001 | 3 years |
| 8 | 2 | Stores Invoice Files | 3 years | 1.1 | 040 | 3 years |
| 8 | 3 | Stores Accounting Files | 3 years | 1.1 | 040 | 3 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|--------------------------|-----------|----------|-------------------------------|
| 8 | 4 | Stores Accounting Background Files | 2 years | 1.1 | 040 | 3 years |
| 8 | 5 | Plant Accounting Files | 3 years | 1.1 | 040 | 3 years |
| 8 | 6a | Cost Accounting Reports - Copies in units receiving reports | 3 years | 1.1 | 040 | 3 years |
| 8 | 6b | Cost Accounting Reports - Copies in reporting units and related work papers | 3 years | 1.1 | 040 | 3 years |
| 8 | 7a | Cost Report Data Files - Ledgers and forms | 3 years | 1.1 | 040 | 3 years |
| 8 | 7b1 | Cost Report Data Files - Automated records - detail cards | 6 months | Rescinded | | |
| 8 | 7b2 | Cost Report Data Files - Automated records - summary cards | 6 months | Rescinded | | |
| 8 | 7b3 | Cost Report Data Files - Tabulations | 1 year | Rescinded | | |
| | | | | | | |
| 9 | 1a | Commercial Freight and Passenger Transportation Files - Original vouchers | 6 years | 1.1 | 010 | 6 years |
| 9 | 1b | Commercial Freight and Passenger Transportation Files - Exclusion to 1a | 10 years | 1.1 | 010 | 6 years |
| 9 | 1c | Commercial Freight and Passenger Transportation Files - Issuing office copies | 6 years | 1.1 | 010 | 6 years |
| 9 | 1d | Commercial Freight and Passenger Transportation Files - Obligation copy | When funds are obligated | 1.1 | 010 | 6 years |
| 9 | 1e | Commercial Freight and Passenger Transportation Files - Unused ticket redemption forms | 3 years | 1.1 | 010 | 6 years |
| 9 | 2 | Lost or Damaged Shipment Files | 6 years | 5.5 | 040 | 6 years |
| 9 | 3a | Noncommercial, Reimbursable Travel Files - Travel administrative office files | 6 years | 1.1 | 010 | 6 years |
| 9 | 3b | Noncommercial, Reimbursable Travel Files - Obligation copies | When funds are obligated | 1.1 | 011 | Business use ceases |
| 9 | 4a | General Travel and Transportation Files - Admin records | 2 years | 1.1 | 001 | 3 years |
| 9 | 4b | General Travel and Transportation Files - Accountability Records | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 9 | 5a | Records Relating to Official Passports - Application files | 3 years | 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 | Does not exist | N/A | | | |
| 9 | 7 | Federal Employee Transportation Subsidy Records | 3 years | No change | | |
| | | | | | | |
| 10 | 1 | Motor Vehicle Correspondence Files | 2 years | 5.4 | 010 | 3 years |
| 10 | 2a | Motor Vehicle Operating and Maintenance Files - Operating records | 3 months | 5.4 | 090 | 3 years |
| 10 | 2b | Motor Vehicle Operating and Maintenance Files - Maintenance records | 1 year | 5.4 | 090 | 3 years |
| 10 | 3 | Motor Vehicle Cost Files | 3 years | 5.4 | 090 | 3 years |
| 10 | 4 | Motor Vehicle Report Files | 3 years | 5.4 | 010 | 3 years |
| 10 | 5 | Motor Vehicle Accident Files | 6 years | 5.4 | 140 | 3 years |
| 10 | 6 | Motor Vehicle Release Files | 4 years | 5.4 | 040 | 3 years |
| 10 | 7 | Motor Vehicle Operator Files | 3 years | 5.4 | 110 | 3 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|-----------------------------------|-----------|------------|-------------------------------|
| 10 | 8 | Does not exist | N/A | | | |
| 10 | 9 | Routine Aircraft Operations | 2 years | 5.4 | 120 | 3 years |
| 10 | 10 | Logistical Support for Flight Operations | 6 years or superseded | 5.4 | 130 | 6 years |
| 10 | 11a | General Aircraft Maintenance and Modification Records - Recordkeeping copies of maintenance manuals for unique or customized aircraft | Permanent | Rescinded | | |
| 10 | 11b | General Aircraft Maintenance and Modification Records - All other records | 6 years or superseded or obsolete | 5.4 | 100 or 130 | 6 years |
| 10 | 12 | Individual Aircraft Maintenance and Airframe Modification Records | 6 years | 5.4 | 100 | 6 years |
| 10 | 13 | Records Required for Accident/Incident Reports | 1 year | No change | | |
| | | | | | | |
| 11 | 1 | Space and Maintenance General Correspondence Files | 2 years | 5.4 | 010 | 3 years |
| 11 | 2a | Agency Space Files - Building plan files, etc. | 2 years | 5.4 | 010 | 3 years |
| 11 | 2b1 | Agency Space Files - Correspondence and reports - Reports to GSA | 2 years | 5.4 | 010 | 3 years |
| 11 | 2b2 | Agency Space Files - Copies | 1 year | 5.4 | 010 | 3 years |
| 11 | 3 | Directory Service Files | 2 months | 5.4 | 010 | 3 years |
| 11 | 4a | Credentials Files - Identification credentials | 3 months | No change | | |
| 11 | 4b | Credentials Files - Receipts, indexes, listings, etc. | After everything is accounted for | No change | | |
| 11 | 5 | Building and Equipment Service Files | 3 months | 5.4 | 071 | 90 days |
| | | | | | | |
| 12 | 1 | Messenger Service Files | 2 months | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 2a | Communication General Files - Corres re: internal admin and operation | 2 years | 5.5 | 010 | 3 years |
| 12 | 2b | Communication General Files - Telecommunications general files | 3 years | 5.5 | 010 | 3 years |
| 12 | 2c | Communication General Files - Telecommunications statistical reports | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 2d1 | Communication General Files - Telecommunication voucher files - reference copies | 1 year | 1.1 | 011 | Business use ceases |
| 12 | 2d2 | Communication General Files - Telecommunication voucher files - relating to installation, etc. | 1 year after audit or 3 years | 5.5 | 010 | 3 years |
| 12 | 2e | Communication General Files - Copies of agreements | 2 years | 5.5 | 010 | 3 years |
| 12 | 3a | Telecommunications Operational Files - Message registers, etc. | 6 months | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 3b | Telecommunications Operational Files - Copies of incoming/outgoing messages | 2 months | Rescinded | | |
| 12 | 4 | Telephone Use (Call Detail) Records | 3 years | 5.5 | 010 | 3 years |
| 12 | 5a | Post Office and Private Mail Company Records - re: incoming/outgoing mail | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 5b | Post Office and Private Mail Company Records - Application for registration and certification of declared value mail | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 5c | Post Office and Private Mail Company Records - Report of loss, etc. | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|--------------------------|---|----------|-------------------------------|
| 12 | 6a | Mail and Delivery Service Control Files - Records of receipt and routing | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6b | Mail and Delivery Service Control Files - Statistical reports of postage used | 6 months | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6c | Mail and Delivery Service Control Files - Requisition for stamps | 6 months | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6d | Mail and Delivery Service Control Files - Statistical reports and data relating to handling of mail | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6e | Mail and Delivery Service Control Files - Records relating to checks or other valuables remitted to agency by mail | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6f | Mail and Delivery Service Control Files - Records of and receipts for mail and packages received through Official Mail and Messenger Service | 6 months | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6g | Mail and Delivery Service Control Files - General files | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 6h | Mail and Delivery Service Control Files - Locator cards, directories, indexes, etc. | 5 months | 5.5 | 020 | 1 year or superseded/obsolete |
| 12 | 7 | Metered Mail Files | 6 years | 5.5 | 030 | 6 years |
| 12 | 8 | Postal Irregularities Files | 3 years | 5.5 | 020 | 1 year or superseded/obsolete |
| | | | | | | |
| 13 | 1 | Administrative Correspondence Files | 2 years | 5.5 | 010 | 3 years |
| 13 | 2a | Project Files - Files pertaining to the accomplishment of the job | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 13 | 2b | Project Files - Files pertaining to planning and other tech matters | 3 years | 5.5 | 010 | 3 years |
| 13 | 3 | Control Files | 1 year | 5.5 | 020 | 1 year or superseded/obsolete |
| 13 | 4a | Mailing Lists - Correspondence, etc. | 3 months | No change | | |
| 13 | 4b | Mailing Lists - Card lists | When canceled or revised | No change | | |
| 13 | 5a | Joint Committee on Printing (JCP) Reports Files - Agency report to JCP | 3 years | No change | | |
| 13 | 5b | Joint Committee on Printing (JCP) Reports Files - Copies in subordinate units | 1 year | No change | | |
| 13 | 6 | Internal Management Files | 2 years | 5.5 | 010 | 3 years |
| | | | | | | |
| 14 | 1 | Information Requests Files | 3 months | 4.2 | 010 | 90 days |
| 14 | 2 | Acknowledgment Files | 3 months | 4.2 | 010 | 90 days |
| 14 | 3 | Press Service Files | 3 months | Rescinded | | |
| 14 | 4 | Information Project Files | 1 year | 6.4 | 030 | No longer needed |
| 14 | 5 | Commendation/Complaint Correspondence Files | 3 months | 6.4, item 020, 90 day retention supersedes GRS 14, item 5 only in part. | | |
| 14 | 6 | Indexes and Check Lists | Superseded or obsolete | 6.4 | 030 | No longer needed |
| 14 | 7-10 | Do not exist | N/A | | | |
| 14 | 11a1 | FOIA Requests Files - Correspondence, etc. - Granting access | 2 years | 4.2 | 020 | 6 years |
| 14 | 11a2a | FOIA Requests Files - Unable to be filled - not appealed | 2 years | 4.2 | 020 | 6 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|---|-----------|----------|--------------------------------------|
| 14 | 11a2b | FOIA Requests Files - Unable to be filled - appealed | 6 years or 3 years | 4.2 | 020 | 6 years |
| 14 | 11a3a | FOIA Requests Files - Denied - not appealed | 6 years | 4.2 | 020 | 6 years |
| 14 | 11a3b | FOIA Requests Files - Denied - appealed | 6 years or 3 years or with related records | 4.2 | 020 | 6 years |
| 14 | 11b | FOIA Requests Files - Official file copy of requested records | Disposition for official file copy | Rescinded | | |
| 14 | 12a | FOIA Appeals Files - Correspondence and supporting documents | 6 years or 3 years | 4.2 | 020 | 6 years |
| 14 | 12b | FOIA Appeals Files - Official file copy of records under appeal | Disposition for official file copy | Rescinded | | |
| 14 | 13a | FOIA Control Files - Registers or listings | 5 years | 4.2 | 040 | 5 years |
| 14 | 13b | FOIA Control Files - Other files | 5 years | 4.2 | 040 | 5 years |
| 14 | 14 | FOIA Reports Files | 2 years | 4.2 | 070 | 2 years |
| 14 | 15 | FOIA Administrative Files | 2 years | 4.2 | 001 | 3 years |
| 14 | 16-20 | Do not exist | N/A | | | |
| 14 | 21a1 | Privacy Act Requests Files - Correspondence, etc. - Granting access | 2 years | 4.2 | 020 | 6 years |
| 14 | 21a2a | Privacy Act Requests Files - Unable to be filled - not appealed | 2 years | 4.2 | 020 | 6 years |
| 14 | 21a2b | Privacy Act Requests Files - Unable to be filled - appealed | 4 years or 3 years or with related records | 4.2 | 020 | 6 years |
| 14 | 21a3a | Privacy Act Requests Files - Denied - not appealed | 5 years | 4.2 | 020 | 6 years |
| 14 | 21a3b | Privacy Act Requests Files - Denied - appealed | 4 years or 3 years or with related records | 4.2 | 020 | 6 years |
| 14 | 21b | Privacy Act Requests Files - Official file copy of requested records | Disposition for official file copy | Rescinded | | |
| 14 | 22a | Privacy Act Amendment Case Files - Agreed by agency | 4 years or official copy disposition | 4.2 | 090 | 4 years |
| 14 | 22b | Privacy Act Amendment Case Files - Refused by agency | 3 years, 4 years or official copy disposition | 4.2 | 090 | 4 years |
| 14 | 22c | Privacy Act Amendment Case Files - Refused and appealed | 3 years or official copy disposition | 4.2 | 090 | 4 years |
| 14 | 23 | Privacy Act Accounting of Disclosure Files | 5 years or official copy disposition | 4.2 | 050 | 5 years or official copy disposition |
| 14 | 24a | Privacy Act Control Files - registers or listings | 5 years | 4.2 | 040 | 5 years |
| 14 | 24b | Privacy Act Control Files - other files | 5 years | 4.2 | 040 | 5 years |
| 14 | 25 | Privacy Act Reports Files | 2 years | 4.2 | 070 | 2 years |
| 14 | 26 | Privacy Act General Administrative Files | 2 years | 4.2 | 001 | 3 years |
| 14 | 27-30 | Do not exist | N/A | | | |
| 14 | 31a1 | Mandatory Review For Declassification Requests Files - Correspondence, etc. - Granting access | 2 years | 4.2 | 020 | 6 years |
| 14 | 31a2a | Mandatory Review For Declassification Requests Files - Unable to be filled - not appealed | 2 years | 4.2 | 020 | 6 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|---|-----------|----------|---------------------------------|
| 14 | 31a2b | Mandatory Review For Declassification Requests Files - Unable to be filled - appealed | 4 years or with related records | 4.2 | 020 | 6 years |
| 14 | 31a3a | Mandatory Review For Declassification Requests Files - Denied - not appealed | 5 years | 4.2 | 020 | 6 years |
| 14 | 31a3b | Mandatory Review For Declassification Requests Files - Denied - appealed | 4 years or with related records | 4.2 | 020 | 6 years |
| 14 | 31b | Mandatory Review For Declassification Requests Files - Official file copy of requested records | Disposition for official file copy | Rescinded | | |
| 14 | 31c | Mandatory Review For Declassification Requests Files - Sanitizing instructions | When requested docs are declassified or destroyed | 4.2 | 020 | 6 years |
| 14 | 32a | Mandatory Review for Declassification Appeals Files - Correspondence and supporting documents | 4 years | 4.2 | 020 | 6 years |
| 14 | 32b | Mandatory Review for Declassification Appeals Files - Official file copy of records under appeal | Disposition for official file copy | Rescinded | | |
| 14 | 33a | Mandatory Review for Declassification Control Files - regular or listing | 5 years | 4.2 | 040 | 5 years |
| 14 | 33b | Mandatory Review for Declassification Control Files: other files | 5 years | 4.2 | 040 | 5 years |
| 14 | 34 | Mandatory Review for Declassification Reports Files | 2 years | 4.2 | 030 | 2 years |
| 14 | 35 | Mandatory Review for Declassification Administrative Files | 2 years | 4.2 | 030 | 2 years |
| 14 | 36a | Erroneous Release Files that include the official file copy of the released records | Disposition for official file copy or 6 years | 4.2 | 060 | 6 years or with related records |
| 14 | 36b | Erroneous Release Files that do not include the official file copy of the released records | 6 years | 4.2 | 061 | 6 years |
| | | | | | | |
| 15 | 1 | Housing General Correspondence Files | 2 years | 5.4 | 010 | 3 years |
| 15 | 2a | Housing Maintenance and Repair Files - Summary card or ledger record | 3 years | 5.4 | 070 | 3 years |
| 15 | 2b | Housing Maintenance and Repair Files - Work orders, etc. | 3 years | 5.4 | 070 | 3 years |
| 15 | 3 | Housing Management Files | 2 years | 5.4 | 010 | 3 years |
| 15 | 4 | Housing Lease Files | 3 years | 5.4 | 080 | 3 years |
| 15 | 5a | Housing Assignment and Vacancy Card Files - Individual tenant cards | When tenant vacates | 5.4 | 080 | 3 years |
| 15 | 5b | Housing Assignment and Vacancy Card Files - Individual housing unit cards | 3 years | 5.4 | 080 | 3 years |
| 15 | 6 | Housing Inventory Files | 3 years | 5.4 | 010 | 3 years |
| 15 | 7a | Housing Application Files - Rejected application files | 1 year | 5.4 | 080 | 3 years |
| 15 | 7b | Housing Application Files - All others | 2 years | 5.4 | 080 | 3 years |
| | | | | | | |
| 16 | 1a | Administrative Issuances - Notices, etc. | Superseded or obsolete | No change | | |
| 16 | 1b | Administrative Issuances - Case files | When issuance is destroyed | No change | | |
| 16 | 2a1 | Records Disposition Files - Basic documentation - approved SF115s | 2 years | 4.1 | 020 | 6 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|---------------------------------|-----------|----------|--|
| 16 | 2a2 | Records Disposition Files - Basic documentation - Other records | 6 years | 4.1 | 020 | 6 years |
| 16 | 2b | Records Disposition Files - Routine correspondence and memoranda | 2 years | 4.1 | 020 | 6 years |
| 16 | 3a | Forms Files - One record copy of each form | 5 years | 4.1 | 040 | 3 years |
| 16 | 3b | Forms Files - Background materials, etc. | Superseded or obsolete | 4.1 | 040 | 3 years |
| 16 | 4a | Records Holdings Files - records in offices that prepare reports on agency-wide records holdings | 3 years | Rescinded | | |
| 16 | 4b | Records Holdings Files - records held by other offices | 1 year | Rescinded | | |
| 16 | 5 | Project Control Files | 1 year | No change | | |
| 16 | 6 | Reports Control Files | 2 years | No change | | |
| 16 | 7 | Records Management Files | 6 years | 4.1 | 020 | 6 years |
| | | | | | 030 | 3 years |
| 16 | 8 | Does not exist | N/A | | | |
| 16 | 9 | Feasibility Studies | 5 years | 3.1 | 011 | 5 years |
| 16 | 10a | Microfilm Inspection Records - re: permanent records | 1 year | 4.1 | 020 | 6 years |
| 16 | 10b | Microfilm Inspection Records - re: temporary records | 2 years | 4.1 | 020 | 6 years |
| 16 | 11 | IRM Triennial Review Files | 7 years | No change | | |
| 16 | 12 | Information Collection Budget Files | 7 years | No change | | |
| 16 | 13a | Documents Published in the Federal Register - Processing notices announcing matters not codified in CFR | 1 year | No change | | |
| 16 | 13b | Documents Published in the Federal Register - Processing of semiannual regulatory agenda | 2 years | No change | | |
| 16 | 14a | Management Control Records - Policy, procedure, and guidance files | Superseded or obsolete | No change | | |
| 16 | 14b | Management Control Records - Management control plans | Superseded or obsolete | No change | | |
| 16 | 14c | Management Control Records - Risk analyses | After next review cycle | No change | | |
| 16 | 14d | Management Control Records - Annual reports and assurance statements | After next reporting cycle | No change | | |
| 16 | 14e | Management Control Records - Tracking files | 1 year | No change | | |
| 16 | 14f1 | Management Control Records - Review Files - Responsible office | 5 years | No change | | |
| 16 | 14f2 | Management Control Records - Review Files - Other offices | 1 year | No change | | |
| | | | | | | |
| 17 | 1 | Cartographic Records Prepared During Intermediate Stages of Publication | No longer needed | 6.4 | 030 | No longer needed |
| 17 | 2 | Does not exist | N/A | | | |
| 17 | 3 | Architectural Drawings of Temporary Structure and Buildings or of Buildings Not Critical to the Mission of the Agency | Superseded or obsolete | 5.4 | 051 | Superseded, obsolete, or transfer to new owner |
| 17 | 4 | Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems | Superseded or obsolete | 5.4 | 051 | Superseded, obsolete, or transfer to new owner |
| 17 | 5 | Contract Negotiation Drawings | Superseded by as-built drawings | 5.4 | 050 | Superseded or obsolete |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|--|-----------|----------|---|
| 17 | 6 | Space Assignment Plans | Superseded or obsolete | 5.4 | 051 | Superseded, obsolete, or transferred to new owner |
| 17 | 7 | Does not exist | N/A | | | |
| 17 | 8 | Engineering Drawings of Routine Minor Parts | Superseded or obsolete | 5.4 | 051 | Superseded, obsolete, or transferred to new owner |
| 17 | 9 | Drawings Reflecting Minor Modifications | Superseded or obsolete | 5.4 | 051 | Superseded, obsolete, or transferred to new owner |
| 17 | 10 | Paint Plans and Samples | Superseded or obsolete | 5.4 | 051 | Superseded, obsolete, or transferred to new owner |
| 18 | 1 | Classified Documents Administrative Correspondence Files | 2 years | 4.2 | 001 | 3 years |
| 18 | 2 | Document Receipt Files | 2 years | 4.2 | 030 | 2 years |
| 18 | 3 | Destruction Certificates Files | 2 years | 4.2 | 030 | 2 years |
| 18 | 4 | Classified Document Inventory Files | 2 years | 4.2 | 030 | 2 years |
| 18 | 5a | Top Secret Accounting and Control Files - accountability over Top Secret documents | 5 years | 4.2 | 040 | 5 years |
| 18 | 5b | Top Secret Accounting and Control Files - handling and control documents | Related doc. downgraded, transferred, or destroyed | 4.2 | 040 | 5 years |
| 18 | 6 | Access Request Files | 2 years | 4.2 | 030 | 2 years |
| 18 | 7a | Classified Document Container Security Files - safe and padlock combinations, names of individuals knowing combinations | Superseded or obsolete | 4.2 | 031 | Superseded by new form |
| 18 | 7b | Classified Document Container Security Files - records of opening, closing, and routine checking of the security of containers | 3 months | 4.2 | 032 | 90 days |
| 18 | 8 | Security and Protective Services Administrative Correspondence Files | 2 years | No change | | |
| 18 | 9 | Survey and Inspection Files - government-owned facilities | 3 years | No change | | |
| 18 | 10 | Survey and Inspection Files - privately owned facilities | 4 years | No change | | |
| 18 | 11 | Investigative Files | 2 years | No change | | |
| 18 | 12 | Property Pass Files | 3 months | No change | | |
| 18 | 13a | Guard Assignment Files - ledger records | 3 years | No change | | |
| 18 | 13b | Guard Assignment Files - requests, analyses, reports, change notices, etc. | 2 years | No change | | |
| 18 | 14a | Police Functions Files - ledger records | 3 years | No change | | |
| 18 | 14b | Police Functions Files - reports, statements of witnesses, warning notices, etc. | 2 years | No change | | |
| 18 | 14c | Police Functions Files - reports on contact of outside police with building occupants | 1 year | No change | | |
| 18 | 15a | Personal Property Accountability Files - ledger files | 3 years | No change | | |
| 18 | 15b | Personal Property Accountability Files - reports, loss statements, receipts, etc. | 1 year | No change | | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|---------------------------------------|-----------|----------|---------------|
| 18 | 16a | Key Accountability Files - areas under maximum security | 3 years | No change | | |
| 18 | 16b | Key Accountability Files - other areas | 6 months | No change | | |
| 18 | 17a | Visitor Control Files - areas under maximum security | 5 years | No change | | |
| 18 | 17b | Visitor Control Files - other areas | 2 years | No change | | |
| 18 | 18a | Facilities Checks Files - Data sheets, door slip summaries, check sheets, and guard reports on security violations | 1 year | No change | | |
| 18 | 18b | Facilities Checks Files - Reports of routine after hours security checks | 1 month | No change | | |
| 18 | 19a | Guard Service Control Files - Control center key or code records, emergency call cards, and building record and employee identification cards | Superseded or obsolete | No change | | |
| 18 | 19b | Guard Service Control Files - Round reports, service reports on interruptions and tests, and punch clock dial sheets | 1 year | No change | | |
| 18 | 19c | Guard Service Control Files - Automatic machine patrol charts and registers of patrol and alarm services | 1 year | No change | | |
| 18 | 19d | Guard Service Control Files - Arms distribution sheets, charge records, and receipts | 3 months | No change | | |
| 18 | 20a | Logs and Registers - central master logs | 2 years | No change | | |
| 18 | 20b | Logs and Registers - individual posts | 1 year | No change | | |
| 18 | 21 | Security Clearance Administrative Subject Files | 2 years | No change | | |
| 18 | 22a | Personnel Security Clearance Files - investigation done by government | 5 years | No change | | |
| 18 | 22b | Personnel Security Clearance Files - investigation provided by other organizations | Per investigating agency instructions | No change | | |
| 18 | 22c | Personnel Security Clearance Files - index | With related case file | No change | | |
| 18 | 23 | Personnel Security Clearance Status Files | Superseded or obsolete | No change | | |
| 18 | 24a | Security Violations Files - referred to DOJ or DOD | 5 years | No change | | |
| 18 | 24b | Security Violations Files - all other files | 2 years | No change | | |
| 18 | 25a | Classified Information Nondisclosure Agreements - maintained separately from OPF | 70 years | 4.2 | 121 | 50 years |
| 18 | 25b | Classified Information Nondisclosure Agreements - maintained in OPF | See OPF disposition | Rescinded | | |
| 18 | 26 | Emergency Planning Administrative Correspondence Files | 2 years | 5.3 | 010 | 3 years |
| 18 | 27 | Emergency Planning Case Files | 3 years | 5.3 | 010 | 3 years |
| 18 | 28 | Emergency Operations Tests Files | 3 years | 5.3 | 010 | 3 years |
| 18 | 29a | National Defense Executive Reserve (NDER) Case Files - reservists | 5 years | Rescinded | | |
| 18 | 29b | National Defense Executive Reserve (NDER) Case Files - applications rejected or withdrawn | 5 years | Rescinded | | |
| | | | | | | |
| 20 | 1a | Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system | No longer needed | 3.1 | 010 | 5 years |
| | | | | | 011 | 5 years |
| | | | | | 020 | 3 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|------------------------------------|-----------|----------|--|
| 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 | When verified in master file |
| 20 | 1c | Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage | No longer needed | 3.2 | 030 | Business use ceases |
| 20 | 2a1 | Input/Source Records - Hard-copy - Previously scheduled; must be transferred in hard-copy | Permanent | Rescinded | | |
| 20 | 2a2 | Input/Source Records - Hard-copy - Previously scheduled; e-recs don't meet transfer standards | Permanent | Rescinded | | |
| 20 | 2a3 | Input/Source Records - Hard-copy - Contain info not captured in electronic version | Apply previously approved schedule | Rescinded | | |
| 20 | 2a4 | Input/Source Records - Hard-copy - Records not covered by 2a1-3. | When e-version is verified, etc. | 4.3 | 010 | When verified |
| | | | | | 011 | 60 days |
| | | | | | 012 | Approval of schedule for elec records & verification |
| 20 | 2b | Input/Source Records - Electronic records (except noted in 2c) entered during update proces | When verified in master file | 4.3 | 020 | When verified in master file |
| 20 | 2c | Input/Source Records - Electronic records received from another agency | When verified in master file | 4.3 | 020 | When verified in master file |
| 20 | 2d | Input/Source Records - Uncalibrated or unvalidated observational data | When verified in master file | 4.3 | 020 | When verified in master file |
| 20 | 3a | Electronic Versions of Records Scheduled for Disposal - Scanned images | When hard copy retention expires | Rescinded | | |
| 20 | 3b1 | Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Administrative records | When hard copy retention expires | Rescinded | | |
| 20 | 3b2 | Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Records covered by GRS 1, Item 21; GRS 1, Item 22; GRS 1, Item 25f; GRS 12, Item 3; and GRS 18, Item 5. | Submit SF-115 | Rescinded | | |
| 20 | 3b3 | Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Digital still pictures, sound or video | When hard copy retention expires | Rescinded | | |
| 20 | 3b4 | Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Media neutral program records | Apply previously approved schedule | Rescinded | | |
| 20 | 3b5 | Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)1, 3(b)(3), or 3(b)(4). | Submit SF-115 | Rescinded | | |
| 20 | 3.1 | Electronic Records that Replace Permanent Hard Copy Records | Permanent | Rescinded | | |
| 20 | 4 | Data Files Consisting of Summarized Information | No longer needed | 4.3 | 031 | No longer needed |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|---------------------------------------|-----------|----------|---------------------------------------|
| 20 | 5 | Records Consisting of Extracted Information | No longer needed | 4.3 | 031 | No longer needed |
| 20 | 6 | Print File | No longer needed | 4.3 | 031 | No longer needed |
| 20 | 7 | Technical Reformat File | No longer needed | 4.3 | 031 | No longer needed |
| 20 | 8a | Backups of Files - Identical to permanent records | When backed up or transferred to NARA | 3.2 | 050 | After capture or transfer request |
| 20 | 8b | Backups of Files - Identical to temporary records | Superseded or obsolete | 3.2 | 051 | After identical records deleted |
| 20 | 9 | Finding Aids (or Indexes) | No longer needed | 4.1 | 010 | No longer needed |
| 20 | 10 | Special Purpose Programs | When related master file is deleted | 3.1 | 012 | When master file is deleted |
| 20 | 11a1 | Documentation - Related to temporary systems | When related master file is deleted | 3.1 | 051 | 5 years |
| 20 | 11a2 | Documentation - Related to permanent systems | Permanent | 3.1 | 050 | Permanent |
| 20 | 11b | Documentation - Copies of records relating to system security | See GRS 24, item 5 | 3.2 | 010 | 1 year |
| 20 | 12a | Downloaded and Copied Data - Derived data for ad-hoc reports | No longer needed | 4.3 | 030 | No longer needed |
| 20 | 12b | Downloaded and Copied Data - Derived data in lieu of hard copy reports | No longer needed | 4.3 | 030 | No longer needed |
| 20 | 12c | Downloaded and Copied Data - Metadata or reference data | No longer needed | 4.3 | 020 | When verified in master file |
| 20 | 13 | Word Processing Files | No longer needed | 4.3 | 040 | After copying to recordkeeping system |
| 20 | 14 | Electronic Mail Records | After copying to recordkeeping system | 4.3 | 040 | After copying to recordkeeping system |
| 20 | 15a | Electronic Spreadsheets - Used to produce hard copy that is maintained in organized files | No longer needed | 4.3 | 040 | After copying to recordkeeping system |
| 20 | 15b | Electronic Spreadsheets - Maintained in electronic form | When hard copy retention expires | 4.3 | 040 | After copying to recordkeeping system |
| 20 | 16 | Hard Copy Printouts Created to Meet Ad Hoc Business Needs | No longer needed | 4.3 | 030 | No longer needed |
| | | | | | | |
| 21 | 1 | Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency (Still Photography) | 1 year | 6.4 | 050 | 2 years |
| 21 | 2 | Personnel Identification or Passport Photographs (Still Photography) | Superseded or obsolete or 5 years | No change | | |
| 21 | 3 | Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not reflect the Mission of the Agency (Still Photog.) | 1 year | 2.6 | 010 | 3 years |
| 21 | 4 | Does not exist | N/A | | | |
| 21 | 5 | Viewgraphs | 1 year | 6.4 | 050 | 2 years |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|----------------------|-----------|----------|------------------|
| 21 | 6 | Routine Artwork for Handbills, Flyers, Posters, Letterhead, and Other Graphics | No longer needed | 6.4 | 030 | No longer needed |
| 21 | 7 | Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction | No longer needed | 6.4 | 030 | No longer needed |
| 21 | 8 | Line Copies of Graphs and Charts | No longer needed | 6.4 | 030 | No longer needed |
| 21 | 9 | Films Acquired from Outside Sources for Personnel and Management Training (Motion Pictures) | 1 year | 2.6 | 010 | 3 years |
| 21 | 10 | Does not exist | N/A | | | |
| 21 | 11 | Routine Surveillance Footage (Motion Pictures) | 6 months | No change | | |
| 21 | 12 | Routine Scientific, Medical, or Engineering Footage (Motion Pictures) | 2 years | Rescinded | | |
| 21 | 13 | Does not exist | N/A | | | |
| 21 | 14 | Programs Acquired from Outside Sources for Personnel and Management Training (Video Recordings) | 1 year | 2.6 | 010 | 3 years |
| 21 | 15 | Does not exist | N/A | | | |
| 21 | 16 | Rehearsal or Practice Tapes (Video Recordings) | Immediate | 6.4 | 030 | No longer needed |
| 21 | 17 | Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency (Video Recordings) | 1 year | 2.6 | 010 | 3 years |
| 21 | 18 | Routine Surveillance Recordings (Video Recordings) | 6 months | No change | | |
| 21 | 19 | Routine Scientific, Medical, or Engineering Recordings (Video Recordings) | 2 years | Rescinded | | |
| 21 | 20 | Recordings that Document Routine Meetings and Award Presentations (Video Recordings) | 2 years | 6.4 | 050 | 2 years |
| 21 | 21 | Does not exist | N/A | | | |
| 21 | 22 | Recordings of Meetings Made Exclusively for Note Taking or Transcription (Audio/Sound Recordings) | Immediate | No change | | |
| 21 | 23 | Dictation Belts or Tapes (Audio/Sound Recordings) | Immediate | No change | | |
| 21 | 24 | Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production (Audio/Sound Recordings) | Immediate | 6.4 | 030 | No longer needed |
| 21 | 25 | Does not exist | N/A | | | |
| 21 | 26 | Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis (Audio/Sound Recordings) | 6 months | 6.4 | 040 | No longer needed |
| 21 | 27 | Does not exist | N/A | | | |
| 21 | 28 | Production Files or Similar Files that Document Origin, Development, Acquisition, Use and Ownership of Temporary Audiovisual Records | With related records | 6.4 | 050 | 2 years |
| 21 | 29 | Finding Aids for Temporary Audiovisual Records | With related records | 4.1 | 010 | No longer needed |
| | | | | | | |
| 23 | 1 | Office Administration Files | 2 years | No change | | |
| 23 | 2-4 | Do not exist | N/A | | | |
| 23 | 5a | Schedules of Daily Activities - substantive information | 2 years | No change | | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|--------------------------------|-----------|----------|--|
| 23 | 5b | Schedules of Daily Activities - routine activities | No longer needed | No change | | |
| 23 | 6a | Suspense Files - A note or reminder | Immediate | No change | | |
| 23 | 6b | Suspense Files - Copy of outgoing communication | Immediate | No change | | |
| 23 | 7 | Transitory Files (first bullet only) - Routine requests for information | No longer needed | 4.2 | 010 | No longer needed |
| 23 | 7 | Transitory Files (all other bullets) | No longer needed | No change | | |
| 23 | 8 | Tracking and Control Records | 2 years | 4.1 | 010 | No longer needed |
| 23 | 9 | Finding Aids (or Indexes) | With related records | 4.1 | 010 | No longer needed |
| | | | | | | |
| 24 | 1a | Oversight and Compliance Files - Performance measurements and benchmarks | 5 years or 1 year | 3.1 | 040 | 5 years |
| 24 | 1b | Oversight and Compliance Files - All other oversight and compliance records | 3 years or 1 year | 3.1 | 040 | 5 years |
| 24 | 2 | IT Facility, Site Management, and Equipment Support Services Records | 3 years or superseded | 3.1 | 020 | 3 years |
| 24 | 3a | IT Asset and Configuration Management Files - Inventories | 1 year | 3.1 | 020 | 3 years |
| 24 | 3b1 | IT Asset and Configuration Management Files - Management Records - system implementations, applications, modifications | 1 year | 3.1 | 030 | 5 years |
| 24 | 3b2 | IT Asset and Configuration Management Files - Management Records - routine IT maintenance | 3 years or 1 year | 3.1 | 020 | 3 years |
| 24 | 4a1 | System Backups and Tape Library Records - Backup tapes - Incremental backup tapes | Superseded or obsolete | 3.2 | 040 | Superseded |
| 24 | 4a2 | System Backups and Tape Library Records - Backup tapes - Full backup tapes | After second subsequent backup | 3.2 | 041 | When second subsequent backup verified |
| 24 | 4b | System Backups and Tape Library Records - Tape library records | Superseded or obsolete | 4.1 | 010 | No longer needed |
| 24 | 5a | Files Related to Maintaining the Security of Systems and Data - System Security Plans and Disaster Recovery Plans | 1 year | 3.2 | 010 | 1 year |
| 24 | 5b | Files Related to Maintaining the Security of Systems and Data - IT risks, etc. | 1 year | 3.2 | 010 | 1 year |
| 24 | 6a | User Identification, Profiles, Authorizations, and Password Files - Systems requiring special accountability | 6 years | 3.2 | 031 | 6 years |
| 24 | 6b | User Identification, Profiles, Authorizations, and Password Files - Routine systems | See GRS 20, item 1c | 3.2 | 030 | Business use ceases |
| 24 | 7 | Computer Security Incident Handling, Reporting, and Follow-up Records | 3 years | 3.2 | 020 | 3 years |
| 24 | 8a | IT Operations Records - Workload schedules, etc. | 1 year | 3.1 | 020 | 3 years |
| 24 | 8b | IT Operations Records - Problem reports, etc. | 1 year | 3.1 | 020 | 3 years |
| 24 | 8c | IT Operations Records - Operations reports, etc. | 3 years | 3.1 | 020 | 3 years |
| 24 | 9a | Financing of IT Resources and Services - Agreements | 3 years | 3.1 | 020 | 3 years |
| 24 | 9b | Financing of IT Resources and Services - Files related to managing third-party services | 3 years | 3.1 | 020 | 3 years |
| 24 | 9c | Financing of IT Resources and Services - allocate charges, track payments | 3 years | 3.1 | 020 | 3 years |
| 24 | 10a | IT Customer Service Files - Help desk information | 1 year | No change | | |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|--|--|-----------|------------|--|
| 24 | 10b | IT Customer Service Files - Logs, reports, etc. | 1 year | No change | | |
| 24 | 11a | IT Infrastructure Design and Implementation Files - Not implemented | 1 year | 3.1 | 010 | 5 years |
| 24 | 11b | IT Infrastructure Design and Implementation Files - Implemented | 5 years | 3.1 | 010 | 5 years |
| 24 | 11c | IT Infrastructure Design and Implementation Files - Installation and testing | 3 years | 3.1 | 010 | 5 years |
| 24 | 12 | Does not exist | N/A | | | |
| 24 | 13a1 | PKI Records - PKI Administrative Records - FBCA Cas | 7 years, 6 months; 10 years, 6 months; or 20 years, 6 months | 3.2 | 060 | 7 years, 6 months; 10 years, 6 months; or 20 years, 6 months |
| 24 | 13a2 | PKI Records - PKI Administrative Records - Other Cas | 7 years, 6 months to 20 years, 6 months | 3.2 | 061 | 7 years, 6 months to 20 years, 6 months |
| 24 | 13b | PKI Records - Transaction specific records | 7 years, 6 months to 20 years, 6 months | 3.2 | 062 | 7 years, 6 months to 20 years, 6 months |
| | | | | | | |
| 25 | 1a | Ethics Program Implementation, Interpretation, Counseling, and Development Files - [see records list in schedule] | 3 years | 2.8 | 010 | 6 years |
| 25 | 1b | Ethics Program Implementation, Interpretation, Counseling, and Development Files - all other records | 6 years | 2.8 | 010 | 6 years |
| 25 | 2a1 | Financial Disclosure Reporting Files - public reports - individuals not subsequently confirmed or elected | 1 year | 2.8 | 060 | 1 year |
| 25 | 2a2 | Financial Disclosure Reporting Files - public reports - all other reports | 6 years | 2.8 | 061 | 6 years |
| 25 | 2b1 | Financial Disclosure Reporting Files - confidential reports - individuals not subsequently confirmed or elected | 1 year | 2.8 | 070 | 1 year |
| 25 | 2b2 | Financial Disclosure Reporting Files - confidential reports - all other reports | 6 years | 2.8 | 071 072 | 6 years 6 years |
| 25 | 2c1 | Financial Disclosure Reporting Files - alternative or additional - individuals not subsequently confirmed or elected | 1 year | 2.8 | 080 | 1 year |
| 25 | 2c2 | Financial Disclosure Reporting Files - alternative or additional - all other reports | 6 years | 2.8 | 081 | 6 years |
| 25 | 3 | Ethics Agreement Records | 6 years | 2.8 | 100 101 | 6 years Destruction of last disclosure report |
| 25 | 4 | Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files | 6 years | 2.8 | 020 | 6 years |
| 25 | 5a | Non-Federally Funded Travel Files - Semiannual Expense Reports | 3 years | 2.8 | 030 | 3 years |
| 25 | 5b | Non-Federally Funded Travel Files - records used to compile Semiannual Expense Reports | 1 year | 2.8 | 031 | 1 year |

| Old GRS | Old Item | Series Title | Old Retention | New GRS | New Item | New Retention |
|---------|----------|---|------------------------------------|-----------|-------------------|---|
| 25 | 6a | Ethics Program Review Files - OGE program review reports, etc. | 6 years | 2.8 | 050 | 6 years |
| 25 | 6b | Ethics Program Review Files - all other records | 1 year | 2.8 | 050 | 6 years |
| 25 | 7a | Annual Agency Ethics Program Questionnaire Files - questionnaire completed by ethics officials in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978 | 3 years | 2.8 | 040 | 3 years |
| 25 | 7b | Annual Agency Ethics Program Questionnaire Files - all other records | 1 year | 2.8 | 040 | 3 years |
| 25 | 8a | Ethics Program Employee Training and Education Files - administration | 6 years | 2.6 | 020 | 6 years |
| 25 | 8b | Ethics Program Employee Training and Education Files - training materials | 6 years | 2.6 | 020 | 6 years |
| 25 | 9 | Ethics Program Procedures Files | 6 years | 2.8 | 010 | 6 years |
| | | | | | | |
| 26 | 1a | Internal Agency Committees - unrelated to mission | No longer needed | No change | | |
| 26 | 1b | Internal Agency Committees - related to mission | Must be scheduled | No change | | |
| 26 | 2a | FACA Committees - establishment, policy, etc. | Permanent | 6.2 | 010 020 | Permanent Permanent |
| 26 | 2b | FACA Committees - day-to-day activities | 3 years | 6.2 | 050 | Superseded, no longer needed or committee termination |
| 26 | 2c1 | FACA Committees - websites - electronic version | At termination or no longer needed | 6.2 | 010 050 | Permanent Superseded, no longer needed or committee termination |
| 26 | 2c2 | FACA Committees - websites - design and management | At termination or no longer needed | Rescinded | | |
| 26 | 2c3 | FACA Committees - websites - electronic version of records duplicated elsewhere | At termination or no longer needed | 6.2 | 050 | Superseded, no longer needed or committee termination |
| 26 | 3 | Records not maintained by sponsor or secretariat | 3 years | Rescinded | | |
| 26 | 4 | Committee management records | 6 years | 6.2 | 040 050 060 | 6 years Superseded, no longer needed or committee termination 3 years |
| | | | | | | |
| 27 | 1 | Information Technology Program Planning Records | 7 years | No change | | |
| 27 | 2 | Enterprise Architecture Records | 7 years | No change | | |
| 27 | 3 | Information Technology Capital Investment Records | 7 years | No change | | |
| 27 | 4 | Legal and Regulatory Compliance Records | 5 years | 4.2 | 080 | 5 years |
| 27 | 5 | CIO Committee Records | 5 years | No change | | |
| 27 | 6 | CIO Subject and Office Records | 5 years | Rescinded | | |
| 27 | 7 | Schedules of Daily Activities | 2 years | Rescinded | | |

Frequently Asked Questions (FAQs) about General Records Schedule Deviations

Revised January 2017

1. What is a deviation from the GRS?

A deviation from the GRS occurs when an agency uses its own authority for records covered by a GRS item, regardless of whether the retention periods of the two authorities agree or differ. The GRS Team must review all deviations before they can be approved.

2. How does a deviation from the GRS differ from a notification, discussed in “FAQs about GRS Notifications”?

A notification looks backward while a deviation looks forward. An agency must send a notification when it wishes to use its existing schedule item instead of a newly issued GRS. An agency requests a deviation when it wants to create a new agency schedule item that covers records already scheduled by the GRS. Notifications are discussed in a separate FAQ.

3. Under what circumstances must an agency submit a schedule for NARA approval to request a deviation from the GRS?

The agency must submit a schedule for NARA approval when it wants to deviate from the GRS and does not have an existing NARA-approved agency schedule for the records.

4. Why would an agency submit a schedule to seek a deviation from a current GRS?

These examples of actual requests illustrate some situations in which an agency might submit a schedule to request a deviation (not exhaustive):

- 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) 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

5. What is required when submitting a records schedule requesting deviation from the GRS?

When an agency submits a records schedule requesting a disposition other than that approved in the GRS, that schedule must cite each GRS item from which the agency wants to deviate, identify the agency schedule item proposed to supersede 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.

6. Can an agency ever diverge from the GRS without submitting a schedule?

Yes, under the following circumstances:

- a. 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 8, below; or
- b. 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. Currently, the only GRS items that must be followed without exception are GRS 2.8, items 060, 061, 062, 063, 070, 071, 072, 080, and 081.

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>.