



The General Records Schedules

Transmittal 29

National Archives and Records Administration
December 2017

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

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TO: Heads of Federal agencies

1. What does this document do?

GRS Transmittal 29 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittal 28 in July 2017. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies. With Transmittal 29, we come to the end of our five-year plan to completely rewrite the old GRS dating from the 1940s and updated piecemeal over the succeeding decades. All old items are now superseded or, in some cases, rescinded.

Transmittal 29 includes five schedules published for the first time, those schedules' associated new-to-old crosswalks and FAQs, and updates to two previously issued documents (see question 2). This means that many current and authoritative GRS schedules are *not* published in this Transmittal. You can find all schedules (in Word, PDF and CSV formats), crosswalks and FAQs for all schedules, and FAQs about the whole GRS at <http://www.archives.gov/records-mgmt/grs.html>. At the same location, you can also find the entire GRS (just schedules—no crosswalks or FAQs) in a [single document](#).

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

GRS Transmittal 29 publishes five new schedules:

GRS 1.3	Budgeting Records	DAA-GRS-2015-0006
GRS 2.7	Employee Health and Safety Records	DAA-GRS-2017-0010
GRS 5.7	Agency Accountability Records	DAA-GRS-2017-0008
GRS 6.3	Information Technology Records	DAA-GRS-2017-0009
GRS 6.6	Rulemaking Records	DAA-GRS-2017-0012

This transmittal also publishes two updates:

GRS 2.1	Employee Acquisition Records: updated item (see question 3)
GRS 5.2	Transitory and Intermediary Records: updated FAQs (see question 4)

3. What changes did you make to GRS 2.1?

We expanded items 050 and 051 to include mandatory job applicant drug testing records.

4. What changes did you make to the GRS 5.2 FAQs?

We added new questions 7 and 8 in response to questions raised by users. We also realized there was a typo in the retention period of 90 days. We have corrected it to 60 days.

5. What GRS items does GRS Transmittal 29 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Many old GRS items are superseded by new GRS items.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 rescinded by GRS Transmittal 29.

GRS	Item	Title	Reason
1	21a1	Employee Medical Folders: Transferred employees	Was simply a filing/handling instruction and never had an associated disposition authority. The instruction is now a Note appended to GRS 2.7, item 060.
1	22	Employee Health Statistics	Both the Bureau of Labor Statistics and the Occupational Safety and Health Administration confirmed these agency reports are no longer collected.
3	17	Small and Disadvantaged Business Utilization Files	The Small and Disadvantaged Business Utilization program terminated in 2015. The records are no longer being created.
16	5	Project Control Files	Item authorized periodic disposal of system data after long-term records were downloaded and safeguarded. Such data is now covered under GRS 5.1, item 020.
16	11	Information Resources Management Triennial Review Files	Item was added to the GRS in 1987 to comply with regulations issued in response to the Brooks Act of 1985. The Information Technology Management Reform Act of 1996 repealed this authority, ending the reviews.
16	14f2	Management Control Records—Review files—Copies maintained by other offices as internal reviews	Item described non-record reference copies, which do not need to be scheduled.

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

6. How do I cite new GRS items?

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

7. 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.

8. 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>.

9. 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>.



DAVID S. FERRIERO
Archivist of the United States

GENERAL RECORDS SCHEDULE 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.

Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau- or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.

Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.

This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It *does* apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Records created and held by offices that prepare an agency's budget proposal for the White House			
010	<p>Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called "Green Books") • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings 	<p>Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> final settlement or approved appropriation <p>Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.</p>			
020	<p>Budget execution records. Records offices create and receive in the course of implementing and tracking an appropriation. Includes:</p> <ul style="list-style-type: none"> allotment advice, revisions, and ceiling limitations apportionments and reapportionments obligations under each authorized appropriation rescissions and deferrals operating budgets outlay plans fund utilization records fund reviews workforce authorization and distribution continuing resolution guidance calculations impact statements carryover requests related records <p>Exclusion: Formal budget reports are covered in items 030 and 031.</p>	Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0002	
030	<p>Budget reports. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.</p>	Full fiscal-year reports.	Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0003
031		All other reports.	Temporary. Destroy when 3 years old, but longer retention is	DAA-GRS-2015-0006-0004

Item	Records Description		Disposition Instruction	Disposition Authority
			authorized if required for business use.	
Records any office creates and holds				
040	Budget preparation background records. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	Records held in office responsible for preparing agency's budget proposal to the White House.	Temporary. Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0005
041		Records held at all other offices.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0006
050	Budget administration records. Records documenting administration of budget office responsibilities. Includes: <ul style="list-style-type: none"> • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends • work planning documentation • cost structure and accounting code lists • feeder and statistical reports • related correspondence 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007

New GRS 1.3				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
1.3	010	6 years	DAA-GRS-2015-0006-0001	5	2 (in part)	1 year	NC1-GRS-81-13 item 2
1.3	020	6 years	DAA-GRS-2015-0006-0002	5	4	2 years	GRS 5, 1952, item 6
1.3	030	5 years	DAA-GRS-2015-0006-0003	5	3a	5 years	GRS 5, 1952, item 5a
1.3	031	3 years	DAA-GRS-2015-0006-0004	5	3b	3 years	NC-64-75-2 item 5b
1.3	040	2 years	DAA-GRS-2015-0006-0005	5	2 (in part)	1 year	NC1-GRS-81-13 item 2
1.3	041	2 years	DAA-GRS-2015-0006-0006	5	2 (in part)	1 year	NC1-GRS-81-13 item 2
1.3	050	3 years	DAA-GRS-2015-0006-0007	5	1	2 years	GRS 5, 1952, items 1 and 3

Frequently Asked Questions (FAQs) about GRS 1.3, Budgeting Records

INTRODUCTION

1. What is the purpose of GRS 1.3?

The purpose of this schedule is to provide disposition authority for records agencies create and receive in the process of formulating and submitting budget requests, including estimates of costs and justification for their necessity. This schedule also covers records about monitoring the expenditure of funds after they have been appropriated.

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. What other General Records Schedules relate to GRS 1.3?

GRS 1.3 concerns the process of requesting a budget and broadly monitoring its execution. GRS 1.1, Financial Management and Reporting Records, item 010, covers detailed records of how an agency spends appropriated and non-appropriated funds (expenditure accounting records) and detailed expenditure information (accountable officers' records).

4. Why do you partially supersede old GRS 5, item 2 (1-year retention period) by three different items (010, 040, and 041) in this schedule, with retention periods of 6 years and 2 years? Why the additional years?

The retention instruction of GRS 5, item 2, was "Destroy 1 year after the close of the fiscal year covered by the budget." Since the budget cycle is 5 years, these records were really retained for 6 years. GRS 1.3 divides the records covered under this superseded item into two parts: the primary input into an agency's budget submission (item 010) and feeder-type material retained for shorter time (items 040 and 041).

QUESTIONS RELATED TO ITEM 010

5. The old GRS stated that agencies must schedule these records individually. Why do you now include them in the GRS?

In response to the requirement that agencies submit individual schedules, over the past 40 years some 33 agencies have scheduled their own budget formulation, estimate, justification, and submission records as permanent. Yet not even all those agencies that identified the records as permanent have transferred them to NARA. NARA realized that these records might prove more valuable for future researchers if available for all Government agencies instead of just certain ones. NARA also realized that the most important records—those most likely to be of future value—are collected in one place: the

Office of Management and Budget (OMB). OMB schedule DAA-0051-2015-0001, authorizing permanent transfer to NARA of these Government-wide records from a single source, was signed by the Archivist on August 3, 2017. As a result, records at all other agencies (except those mentioned in question 9) can be scheduled as temporary under item 010 and agencies no longer need to individually schedule them starting with FY 2017 records.

6. Why does this item cover records only fiscal year 2017 and forward? Why isn't it retroactive?

As indicated in question 5, NARA determined that if budget estimates and submissions from nearly all agencies could be accessioned as permanent records from a single source—OMB—then those same records could be considered disposable at other agencies. OMB was not able to confirm that it held complete sets of prior fiscal year budget submissions for the entire Federal Government. Since OMB can guarantee its ability to transfer complete records to NARA starting only with FY 2017, this item can cover records only from FY 2017 forward, as well.

7. My agency already scheduled its budget formulation, estimate, justification, and submission records independently. Does this schedule supersede my agency's schedule?

Yes and no. This schedule supersedes your agency schedule for records FY 2017 and forward, but your schedule should still be used for records FY 2016 and prior.

8. My agency has not scheduled these records independently. Can this GRS just cover my records for prior years as well?

No. If your agency never scheduled these records, FY 2016 and prior records remain unscheduled.

9. Why do you exclude some agencies from using this item?

A very few agencies have authority to bypass OMB and submit their budget requests directly to Congress. Since NARA cannot accession these agencies' budget submissions from OMB, such agencies are excluded from using this item. Records officers should consult internally with their general counsel and chief financial officer to determine if their agency falls into this category under OMB Circular A-11 or A-19.

QUESTION RELATED TO ITEM 020

10. Since this item has the same retention period as item 010, why didn't you merge the two items?

The items are separate because their associated work processes are separate. In particular, they do not happen concurrently, but rather one after the other. Records under item 010 are created in the process of putting a draft budget together and submitting it to OMB. Records under item 020 are created over the course of expending appropriations.

QUESTION RELATED TO ITEMS 030 AND 031

11. The retention difference between these two items is negligible. Why not merge them and keep everything for five years?

Item 031 material, retained for three years, is largely composed of quarterly reports. Not only are they voluminous, but they build on one another, compiling data year-to-date. The amount of material that accumulates in 031 is three times that found in 030, and the smaller volume in 030 incorporates the most important information found in the larger set of records. Both items' retention statements include flexibility to retain longer if records are required for business use, so agencies desiring to maintain all reports as a single unit can do so. Agencies seeking a more robust disposal of no-longer-necessary and duplicative records will find item 031 useful.

QUESTION RELATED TO ITEMS 040 AND 041

12. Why are these items separate? Their retention periods are almost identical.

All records in both items are created in local offices, divisions, or programs within an agency. They are separate items because the records' owners—formally established budget offices (040) and other offices (041)—use them for different business purposes. A budget office compiles records from all local offices to formulate the budget request for an entire agency; local offices manage only records relating to the office's own financial footprint. The items' retention period are not precisely identical. Item 040 retains records for two years after a budget is approved. Item 041 records can be destroyed when two years old, regardless of when the budget is approved.

GENERAL RECORDS SCHEDULE 2.1: Employee Acquisition Records

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

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

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

Item	Records Description	Disposition Instruction	Disposition Authority	
030	<p>Position reviews and classification appeals. Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits.</p> <p>Exclusion: OPM's corresponding case file is not covered by this item.</p>	<p>Temporary. Destroy 3 years after final decision, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0004</p>	
040	<p>Certificates of classification. Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.</p> <p>Exclusion: OPM's file is not covered by this item.</p>	<p>Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0005</p>	
050	<p>Job vacancy case files. Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:</p> <ul style="list-style-type: none"> • request for lists of eligible candidates • job announcement • examination announcement 	<p>Records of one-time competitive and Senior Executive Service announcements/selections.</p>	<p>Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.</p>	<p>DAA-GRS-2017-0011-0001</p>
051	<ul style="list-style-type: none"> • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation <p>Legal citation: 5 CFR 335.103</p>	<p>Records of standing register competitive files for multiple positions filled over a period of time.</p>	<p>Temporary. Destroy 2 years after termination of register.</p>	<p>DAA-GRS-2017-0011-0002</p>

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

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

Item	Records Description		Disposition Instruction	Disposition Authority	
120	Special hiring authority program records. Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.		Temporary. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016	
130	Records related to individual employees hired under special temporary authority. Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.		Temporary. Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0017	
140	Pre-appointment files. Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions. Included are forms in the SF-85 family, finger print charts, and related correspondence.	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.		
141		Records appropriate for inclusion in OPF. Such as designation of beneficiary, life insurance election, and health benefits registration.	Records concerning prospective employees who enter on duty.	Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142		Records concerning prospective employees who do not enter on duty.	Temporary. Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009	
143		Copies of records included in Job vacancy case file (items 050 or 051).	Temporary. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010	
150	Records of delegation of authority for examination and certification. Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment.		Temporary. Destroy 3 years after agreement terminates but longer retention is	DAA-GRS-2014-0002-0021	

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

New GRS 2.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.1	010	2 years	DAA-GRS-2014-0002-0001	1	7a2a	5 years	NC1-64-77-10, item 7a2a
2.1	020	2 years	DAA-GRS-2014-0002-0002	1	7b	2 years	N1-GRS-88-4, item 1
2.1	021	Per instructions for associated file	None. User is referred to another authority.	New item			
2.1	022	Position description final	DAA-GRS-2014-0002-0003	New item			
2.1	030	3 years	DAA-GRS-2014-0002-0004	1	7d1	3 years	N1-GRS-90-1, item 7d1
2.1	040	2 years	DAA-GRS-2014-0002-0005	1	7d2	Immediately after pos. abolished or superseded	N1-GRS-90-1, item 7d2
2.1	050	2 years	DAA-GRS-2017-0011-0001	1	4a (in part)	When appt. effective	NC1-64-77-10, item 4a (in part)
				1	5 (in part)	2 years	NC1-64-77-10, item 5 (in part)
				1	32	2 years	N1-GRS-79-2, item 1
				1	33b (in part)	1 year	NC1-GRS-85-2, item 34a (in part)
				1	33c (in part)	90 days	N1-GRS-02-1, item 33c (in part)
				1	33e (in part)	90 days	NC1-GRS-85-2, item 34c (in part)
				1	33f (in part)	2 years	N1-GRS-02-1, item 33f (in part)
				1	33g (in part)	2 years	N1-GRS-02-1, item 33g (in part)
				1	33i (in part)	6 months	NC1-GRS-85-2, item 34h (in part)
				1	33p (in part)	2 years	N1-GRS-02-1, item 33p (in part)
				1	33q (in part)	2 years	N1-GRS-02-1, item 33q (in part)
				1	36e1b (in part)	3 years	N1-GRS-98-1, item 36e2b (in part)
				1	36e2 (in part)	3 years	N1-GRS-98-1, item 36e1 (in part)
				2.1	050	2 years	DAA-GRS-2014-0002-0006
2.1	051	2 years	DAA-GRS-2017-0011-0002	1	4a (in part)	When appt. effective	NC1-64-77-10, item 4a (in part)
				1	5 (in part)	2 years	NC1-64-77-10, item 5 (in part)
				1	33b (in part)	1 year	NC1-GRS-85-2, item 34a (in part)
				1	33c (in part)	90 days	N1-GRS-02-1, item 33c (in part)
				1	33e (in part)	90 days	NC1-GRS-85-2, item 34c (in part)
				1	33f (in part)	2 years	N1-GRS-02-1, item 33f (in part)

New GRS 2.1				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.1	051	2 years	DAA-GRS-2017-0011-0002	1	33g (in part)	2 years	N1-GRS-02-1, item 33g (in part)
				1	33i (in part)	6 months	NC1-GRS-85-2, item 34h (in part)
				1	33p (in part)	2 years	N1-GRS-02-1, item 33p (in part)
				1	33q (in part)	2 years	N1-GRS-02-1, item 33q (in part)
				1	36e1b (in part)	3 years	N1-GRS-98-1, item 36e2b (in part)
				1	36e2 (in part)	3 years	N1-GRS-98-1, item 36e1 (in part)
				2.1	051	2 years	DAA-GRS-2014-0002-0007
2.1	060	1 year	DAA-GRS-2014-0002-0011	1	4b1	Return to OPM	NC1-64-77-10, item 4b1
				1	4b2	File with application	NC1-64-77-10, item 4b2
				1	4b3	Destroy immediately	NC1-64-77-10, item 4b3
				1	33k	1 year	N1-GRS-02-1, item 33k
				1	33l-1	90 days	N1-GRS-02-1, item 33l1 [el-one]
				1	33l-2	1 year	N1-GRS-02-1, item 33l2 [el-two]
				1	33m	2 years	N1-GRS-02-1, item 33m
				1	33n	2 years	N1-GRS-02-1, item 33n
2.1	070	5 years	DAA-GRS-2014-0002-0012	1	33j	5 years	NC1-GRS-85-2, item 34i
2.1	080	1 year	DAA-GRS-2014-0002-0013	1	33o	1 year	NC1-GRS-85-2, item 34k
2.1	090	2 years	DAA-GRS-2014-0002-0008	1	8	6 months	NC1-64-77-10, item 8
2.1	100	After separation	DAA-GRS-2014-0002-0014	New item			
2.1	102	1 year	DAA-GRS-2014-0002-0015	New item			
2.1	110	5 years	DAA-GRS-2014-0002-0018	1	40	5 years	N1-GRS-93-2, item 1
2.1	111	2 years	DAA-GRS-2014-0002-0019	New item			
2.1	120	2 years	DAA-GRS-2014-0002-0016	New item			
2.1	130	2 years	DAA-GRS-2014-0002-0017	New item			
2.1	140	Forward to appropriate office	None. This is just a filing instruction.	New item			
2.1	141	Forward to appropriate office	None. This is just a filing instruction.	New item			
2.1	142	1 year	DAA-GRS-2014-0002-0009	New item			

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

GENERAL RECORDS SCHEDULE 2.7: Employee Health and Safety Records

This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.

Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees.

Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Clinic scheduling records. Scheduling records of clinic visits, both occupational and non-occupational. Includes:</p> <ul style="list-style-type: none"> • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0001
Occupational Health Records			
020	<p>Occupational injury and illness program records. Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent <p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p> <p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0002

Item	Records Description		Disposition Instruction	Disposition Authority
030	<p>Occupational health and safety training records. Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 App E(9)</p>		<p>Temporary. Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0010-0003</p>
040	<p>Workplace environmental monitoring and exposure records. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p>	<p>OSHA-regulated substance monitoring and exposure records. Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)</p>	<p>Temporary. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0004</p>
041	<p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as</p>	<p>Occupational noise monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.95(m)(3)(i)</p>	<p>Temporary. Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0005</p>

Item	Records Description		Disposition Instruction	Disposition Authority
042	<p>required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p>	<p>Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.1045 App A(vi)(C)</p>	<p>Temporary. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0006</p>
043	<p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	<p>Background data. Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p> <p>Note: Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p> <p>Legal Citation: 29 CFR Part 1910.1020(d)(1)(ii)(A)</p>	<p>Temporary. Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0007</p>
050	<p>Safety Data Sheets (SDS). Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule.</p> <p>Note: Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained.</p> <p>Legal citation: 29 CFR Part 1910.1020(d)(1)(ii)(B)</p>		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0010-0008</p>

Item	Records Description		Disposition Instruction	Disposition Authority
060	<p>Occupational individual medical case files. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records <p>Note: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p>	<p>Long-term records.</p> <p>Exclusion: Individual non-occupational medical records are covered by item 070.</p> <p>Note 1: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504)</p> <p>Note 2: For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Note 3: For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Legal Citations: 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).</p>	<p>Temporary. Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.</p>	<p>DAA-GRS-2017-0010-0009</p>
061		<p>Short-term records.</p>	<p>Temporary. Destroy 1 year after employee separation or transfer.</p>	<p>DAA-GRS-2017-0010-0010</p>
062	<p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>	<p>Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</p>	<p>Temporary. Destroy 60 years after retirement to the NARA records storage facility.</p>	<p>DAA-GRS-2017-0010-0011</p>

Item	Records Description		Disposition Instruction	Disposition Authority
Non-Occupational Health Records				
070	<p>Non-occupational individual medical case files. Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual’s medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as “patient records” in Title 5 Part 293 Subpart E.</p> <p>Legal Citations: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.</p>		Temporary. Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0012
080	<p>Non-occupational health and wellness program records. Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs 		Temporary. Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0013
090	<p>Employee Assistance Program (EAP) counseling records. Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p>	<p>Records related to employee performance or conduct. Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> • leave and attendance • performance • alleged inappropriate behavior or workplace violence • reason for referral • management interventions • illegal drug or alcohol use <ul style="list-style-type: none"> ○ test results for use of illegal drugs ○ test results for alcohol consumption on the job 	Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.	DAA-GRS-2017-0010-0014

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ substance abuse assessment, treatment, aftercare, and monitoring records <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>			
091	<p>Records not related to performance or conduct. Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions • records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes 		<p>Temporary. Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0015
Drug-free Workplace Program Records				
100	<p>Employee drug test plans, procedures, and scheduling records. Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:</p> <ul style="list-style-type: none"> • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules 		<p>Temporary. Destroy when 3 years old or when superseded or obsolete.</p>	DAA-GRS-2017-0010-0016

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p>Exclusion 2: 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), are covered in GRS 5.7, Agency Accountability Records.</p> <p>Exclusion 3: 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. Schedule these on agency-specific schedules.</p>			
110	<p>Employee drug test acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	<p>Temporary. Destroy when employee separates from testing-designated position.</p>	<p>DAA-GRS-2017-0010-0017</p>	
120	<p>Employee drug testing specimen records. Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, <i>e.g.</i>, chain-of-custody records.</p>	<p>Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later.</p>	<p>DAA-GRS-2017-0010-0018</p>	
130	<p>Employee drug test results. Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.</p>	<p>Positive results.</p>	<p>Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.</p>	<p>DAA-GRS-2017-0010-0019</p>
131	<p>Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.</p>	<p>Negative results.</p>	<p>Temporary. Destroy when 3 years old.</p>	<p>DAA-GRS-2017-0010-0020</p>

New GRS 2.7				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.7	010	3 years	DAA-GRS-2017-0010-0001	1	20a	3 months	NC1-64-77-10, item 20a
				1	20b	2 years	NC1-64-77-10, item 20b
2.7	020	6 years	DAA-GRS-2017-0010-0002	1	34	5 years	N1-GRS-87-6, item 35
2.7	030	5 years	DAA-GRS-2017-0010-0003	New item			
2.7	040	30 years	DAA-GRS-2017-0010-0004	New item			
2.7	041	2 years	DAA-GRS-2017-0010-0005	New item			
2.7	042	40 years	DAA-GRS-2017-0010-0006	New item			
2.7	043	1 year	DAA-GRS-2017-0010-0007	New item			
2.7	050	When business use ceases	DAA-GRS-2017-0010-0008	New item			
2.7	060	30 years or with OPF	DAA-GRS-2017-0010-0009	1	21a2	75 years, 60 years, or 30 years	N1-GRS-86-4, item 21a2
2.7	061	1 year after separation or transfer	DAA-GRS-2017-0010-0010	1	21b	1 year after separation or transfer	N1-GRS-86-4, item 21b
2.7	062	60 years	DAA-GRS-2017-0010-0011	1	21c	60 years	N1-GRS-86-4, item 21c
2.7	070	10 years	DAA-GRS-2017-0010-0012	1	19	6 years	NC1-64-77-10, item 19
2.7	080	3 years	DAA-GRS-2017-0010-0013	1	26b	3 years	NC1-64-77-10, item 27b
2.7	090	When condition's met	DAA-GRS-2017-0010-0014	New item			
2.7	091	7 or 3 years	DAA-GRS-2017-0010-0015	1	26a	3 years	NC1-64-77-10, item 27a
2.7	100	3 years	DAA-GRS-2017-0010-0016	1	36a	3 years	N1-GRS-98-2, item 6
				1	36c	3 years	N1-GRS-90-2, item 36c
2.7	110	When separated from TDP position	DAA-GRS-2017-0010-0017	1	36b	When separated from TDP position	N1-GRS-90-2, item 36b
2.7	120	3 years	DAA-GRS-2017-0010-0018	1	36d1	3 years	N1-GRS-90-2, item 36d1
				1	36d2	3 years	N1-GRS-90-2, item 36d2
2.7	130	When employee leaves agency or 3 years	DAA-GRS-2017-0010-0019	1	36e1a	When employee leaves agency or 3 years	N1-GRS-98-1, item 36e2a
2.7	131	3 years	DAA-GRS-2017-0010-0020	1	36e2	3 years	N1-GRS-98-1, item 36e1 (in part)

Frequently Asked Questions (FAQs) about GRS 2.7, Employee Health and Safety Records

1. What is the purpose of GRS 2.7?

This schedule provides disposition authority for records Federal agencies create in the course of addressing occupational and non-occupational health and safety concerns. It applies to health records of Federal civilian employees, contractors, students, and interns. Administrative records addressed include clinic scheduling.

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 2.7 differ from the old GRS?

We added seven new items to this schedule:

- Occupational health and safety training records (item 030)
- OSHA-regulated substance monitoring and exposure records (item 040)
- Occupational noise monitoring and exposure records (item 041)
- Lead, coke oven emissions, Dibromochloropropane, Acrylonitrile, and inorganic arsenic monitoring and exposure records (item 042)
- Workplace environmental monitoring and exposure records. Background data (item 043).
- Safety Data Sheets (item 050)
- Employee Assistance Program (EAP) counseling records. Records related to employee performance or conduct (item 090).

4. Which old items are you removing from the GRS? Why did you remove them?

GRS 1, item 21a(1) served as a filing/handling instruction and never had an associated NARA disposition authority. It was a filing instruction for the Employee Medical Folder (EMF) – Long-term records of transferred employees. This filing instruction now appears as a note in item 060.

We rescinded GRS 1, item 22, Statistical Summaries, relating to employee health. This item covered agency reports submitted to generate health estimates. The Department of Labor (DOL), Bureau of Labor Statistics, confirmed that it no longer needs the reports. DOL's Occupational Safety and Health Administration also confirmed it did not have a need for this item.

QUESTION RELATED TO ITEM 020

5. Why did you increase the retention period from 5 to 6 years for occupational injury and illness program records (item 020)?

We increased the retention period because 29 CFR Part 1960.69 and 29 CFR Part 1904.33(a) require agencies to save their copies for five years after the end of the calendar year that the records cover. The sixth year is the calendar year covered by the records themselves.

QUESTIONS RELATED TO ITEM 030

6. Why did you add an item 030 for occupational health and safety training records?

We added a specific item to the GRS for occupational health and safety training records because they are specialized training records which are excluded from GRS 2.6, Employee Training Records. We excluded specialized training records from GRS 2.6 because they are not administrative training records and document an agency's program objectives or illustrate program operations. In this instance, there is a requirement to retain hazardous waste program training (HAZWOPER) records for a minimum of five years after the date an individual participated (29 CFR Part 1910.120 Appendix E(9)).

QUESTION RELATED TO ITEM 043

7. What is the purpose of the note added to this item?

The note reminds agencies that using this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.

QUESTIONS RELATED TO ITEM 050

8. How do I interpret the instruction to destroy when business use ceases?

Agencies retain Safety Data Sheets (SDS) to provide instructions to staff on safe handling practices and are kept in the workplace while the materials are in use. The retention period of the SDS hinges on what the agency considers an employee exposure record under 29 CFR Part 1910.1020(c)(5) and whether the information is kept by the agency in some other manner than an SDS. 29 CFR Part 1910.1020(d)(1)(ii) requires that employee exposure records "be preserved and maintained for at least thirty (30) years."

QUESTIONS RELATED TO ITEMS 060 and 061

9. Whose records does this item cover?

These items apply to employee, contractor, and intern occupational individual medical case files.

QUESTION RELATED TO ITEMS 130 and 131

10. Positive drug test results of applicants not accepted for employment used to be found under GRS 1, item 36e(1)(b). Where can I find this disposition authority now that this item has been reworked?

Drug test results of applicants for employment are now covered, as job-related test records, by GRS 2.1, Employee Acquisition Records, items 050 and 051.

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

Revised October 2017

INTRODUCTION

1. What is the purpose of GRS 5.2?

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

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

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

CHANGES FROM THE OLD GRS

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

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

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

QUESTION ABOUT ITEM 010 – TRANSITORY RECORDS

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

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

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

designate them as records of a transitory nature.

QUESTIONS ABOUT ITEM 020 – INTERMEDIARY RECORDS

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

A meeting, for the purposes of this schedule, is the gathering (whether in person, via telephone, skype, other means, or combinations of these) of a body such as a board, commission, advisory group, committee, task force, or other assembling of Federal employees (or employees and members of the public), in which agency business is transacted or discussed (including staff meetings). A meeting does not include activities such as interrogations, interviews, or other instances where individuals are subject to questioning.

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

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

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

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

7. Please explain the statement that to qualify as “intermediary,” a record must not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

Agencies do not need most intermediary records to meet legal or fiscal obligations or to provide evidence of decision-making because the final record to which the intermediary record contributes fills that need. On rare occasion, an agency may require an intermediary record—for example, an original input/source document with a wet signature—to meet such obligations or to provide such evidence. In this case, the document is more than an intermediary record, and GRS 5.2, item 020, may not be used to dispose of it.

8. Can an electronic system’s content ever consist entirely of intermediary records?

Yes. If a system’s sole function is to receive and integrate data from two or more other systems and export the resultant product to yet another independent system, it is known as a “pass-through system.” GRS 5.2, item 020 covers such a system’s content.

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

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

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

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

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

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

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

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

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

Input record description	Source already scheduled?	Limitations	Instruction
<p>Hardcopy records entered or scanned into the system where the electronic version captures <i>all</i> information on the hardcopy, such as:</p> <ul style="list-style-type: none"> • Data entered into system from a paper form • Scanned images/ PDFs of hardcopy records 	Yes; scheduled as permanent	Schedule states that records must be transferred in hardcopy.	These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
		Electronic version does not meet NARA transfer standards.	These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
		Schedule does not require hardcopy transfer or is silent on format of records to be transferred to NARA and electronic format meets transfer standards.	Use GRS 5.2, item 020. However, these records fall under Note 1 and may not be destroyed until 60 days after submission of a notification to NARA per 36 CFR 1225.24(a)(1) <u>and</u> verification of successful creation of the electronic version, but longer retention is authorized if required for business use.
	Yes; scheduled as temporary		Use GRS 5.2, item 020. Destroy immediately after verification of successful creation of the electronic version, but longer retention is authorized if required for business use.
No		Use GRS 5.2, item 020. However, these records fall under Note 1 and the electronic records must be scheduled prior to destruction of any input or source records <u>and</u> after verification of successful conversion, but longer retention is authorized if required for business use.	
<p>Hardcopy records converted to electronic format but containing information not captured in electronic version, such as:</p> <ul style="list-style-type: none"> • Records with handwritten annotations • Records with layered attached notes • Color-dependent documents captured electronically only in black-and-white 	Yes		These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.
	No		These records are not covered by the GRS. Input record must be scheduled because it is unique.
Hardcopy records where the electronic version does not	Yes		These records are not covered by the GRS. Hardcopy records should be maintained and the existing disposition authority for the hardcopy records applied.

Input record description	Source already scheduled?	Limitations	Instruction
replace the source record, such as: <ul style="list-style-type: none"> • A case tracking system in which users input information from source documents, but the documents themselves remain a distinct entity outside the system 	No		These records are not covered by the GRS. Input record must be scheduled because it is unique.

If the input records are in electronic format:

Description of input records	Limitations	Instruction
Electronic records used to create or update a master file, such as: <ul style="list-style-type: none"> • Work files • Valid transaction files • Intermediate input/output records 		Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
Electronic records entered into system during an update process, such as: <ul style="list-style-type: none"> • Copies of data files or records from another system maintained by the agency 	Required for legal or audit purposes.	These records are not covered by the GRS. The input records must be scheduled.
	Not required for legal or audit purposes.	Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
Electronic records received from another agency and used as input/source records, such as: <ul style="list-style-type: none"> • Copies of data files or records from a system in another agency 	Produced under an interagency agreement or created for specific information needs of receiving agency.	These records are not covered by the GRS. The input records must be scheduled.
	Neither produced under an interagency agreement nor created for specific information needs of receiving agency.	Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
Uncalibrated and unvalidated data collected in observation or measurement activities or research and development programs, such as: <ul style="list-style-type: none"> • Scientific observational data from satellites • Research experimental test data 		Use GRS 5.2, item 020. Destroy immediately after data has been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.

Description of input records	Limitations	Instruction
Electronic source records scheduled elsewhere and the system does not replace the source record, such as: <ul style="list-style-type: none"> • A case tracking system in which users input information from electronic source records, but the records themselves remain a distinct entity outside the system 		These records are not scheduled in the GRS. Apply source system's existing authority or schedule source system if unscheduled.

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

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

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

GENERAL RECORDS SCHEDULE 5.7: Agency Accountability Records

This schedule covers records agencies create in three areas of accountability:

- internal controls implementing various Office of Management and Budget (OMB) management directives, assessing risks, assuring compliance, and correcting issues,
- mandatory reporting on administrative functions to external entities, and
- interaction with the U.S. Office of Special Counsel concerning allegations and claims that fall under its jurisdiction.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Internal administrative accountability and operational management control records. Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office’s (GAO) Standards for Internal Control in the Federal Government (the “Green Book”); and similar requirements or directives. Includes:</p> <ul style="list-style-type: none"> • copies of internal and external directives outlining management control policy • management control plans and records of the planning process • records of management reviews • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • risk analyses and risk profiles • internal controls over reports • feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) • records tracking assignments, tasks, and responsibilities • administrative correspondence <p>Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).</p> <p>Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p>Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).</p>	<p>Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0008-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Internal control review, response, and mitigation management records. Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p>Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).</p>	<p>Temporary. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0002
030	<p>Administrative directives and notices. Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.</p> <p>Exclusion: Documents related to mission activities (agencies schedule these separately).</p>	<p>Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later.</p>	DAA-GRS-2017-0008-0003
040	<p>Records about authorizing and managing report requirements and parameters. Processing and submission files on reports an agency creates or proposes. Includes copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements.</p>	<p>Temporary. Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0004
050	<p>Mandatory reports to external Federal entities regarding administrative matters. Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements and the FAIR Act. Examples include:</p> <ul style="list-style-type: none"> • Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent • Annual Performance Plan, Annual Performance Report, or equivalent • Statement of Assurance (per FMFIA), or equivalent • Information Collection Budget 	<p>Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • report on financial management systems' compliance with requirements (per FMFIA), or equivalent • report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) • service organization auditor report, or equivalent • annual strategic review • identified material weaknesses and corrective actions report • improper payments report • premium class travel report • report on property provided to nonfederal recipients, schools, and nonprofit educational institutions • feeder reports to the Status of Telework in the Federal Government Report to Congress • feeder reports to GSA fleet reports • E-Government status and compliance report (per PRA) <p>Includes ancillary records such as:</p> <ul style="list-style-type: none"> • background and research records • submission packets and compilations • related files <p>Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.</p> <p>Exclusion 2: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040 cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080 covers these).</p>		
060	<p>Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.</p> <p>Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof.</p>	<p>Temporary. Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is</p>	<p>DAA-GRS-2017-0008-0006</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).</p> <p>Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).</p>	<p>authorized if required for business use.</p>	

New GRS 5.7				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.7	010	1 year	DAA-GRS-2017-0008-0001	16	14a	Superseded	N1-GRS-91-5, item 1a
				16	14b	Superseded	N1-GRS-91-5, item 1b
				16	14c	Next review cycle	N1-GRS-91-5, item 1c
				16	14d	Next reporting cycle	N1-GRS-91-5, item 1d
				16	14e	1 year	N1-GRS-98-2, item 23
5.7	020	5 years	DAA-GRS-2017-0008-0002	16	14f1	5 years	N1-GRS-91-5, item 1f1
5.7	030	Superseded or obsolete	DAA-GRS-2017-0008-0003	16	1a	Superseded	NC1-GRS-81-5, item 3c
				16	1b	When issuance is destroyed	NC1-GRS-81-5, item 3d
5.7	040	2 years	DAA-GRS-2017-0008-0004	16	6	2 years	NC1-GRS-80-7, item 1
5.7	050	6 years	DAA-GRS-2017-0008-0005	3	18a	6-10 years	N1-GRS-05-2, item 18a
				3	18b	2 years	N1-GRS-05-2, item 18b
				13	5a	3 years	GRS 13, 1952, item 6a
				13	5b	1 year	GRS 13, 1952, item 6b
				16	12	7 years	N1-GRS-87-16, item 1
5.7	060	3 years	DAA-GRS-2017-0008-0006	New item			

Frequently Asked Questions (FAQs) about GRS 5.7, Agency Accountability Records

INTRODUCTION

1. What is the purpose of GRS 5.7?

This schedule provides disposition authority for records agencies create and receive in the course of documenting accountability, both internally and to external oversight entities.

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 are you rescinding GRS 3, item 17?

GRS 3, item 17, Small and Disadvantaged Business Utilization Files, covered the records of a special program initiated by Public Law 95-507 in 1978. That program ended in 2015. Therefore, agencies are no longer creating these records. As of mid-2017, some records under this authority remained in storage at Federal Records Centers. GRS 3, item 17, covers them until they are destroyed. If agencies still hold any of these records locally, they should destroy them when three years old per GRS 3, item 17. But agencies can no longer use the authority to retire records from this point forward.

4. Why are you rescinding GRS 16, item 11?

GRS 16, item 11, Information Resource Management Triennial Review files, was added to the GRS in 1987. It has continued in force despite the fact that the requirement to conduct this review was repealed in 1996. Since agencies no longer create these records, the item ceases to have purpose. As of mid-2017, some records retired to Federal Records Centers under this authority remained in storage. They will be covered by that authority until such time as they are destroyed. But agencies cannot use the authority to retire records from this point forward. Agencies should destroy any records still in their custody immediately, since their retention period under GRS 16, item 11, has long since passed.

QUESTION RELATED TO ITEM 010

5. Why do you exclude reports related to agency mission activities and consolidated final agency reports submitted to OMB or Congress?

We exclude these records from the GRS because, depending on the agency's mission, they may be of permanent value for historical research. That is why agencies must schedule them individually.

QUESTION RELATED TO ITEM 040

6. Does this item cover records created in the course of processing and submitting reports?

No. This item covers only the records administering a report's framework: why it exists, why it must be prepared and submitted, what subject matter it must include, how it is formatted, and similar parameters. In other words, these are records about the report's existence and structure. This item does not cover the final product (a prepared and submitted report) or the process whereby a particular report is assembled. Agencies must schedule those records based on the report's subject matter and the value of its information to both the agency's business processes and the Federal Government's historical record.

QUESTION RELATED TO ITEM 050

7. This item supersedes old GRS items that had 7-year and 6-to-10-year retention periods. How did you determine that a 6-year retention period is sufficient?

Old GRS 3, item 18a, Federal Activities Inventory Reform (FAIR) Act Records--Circular No. A-76 case files/studies maintained by office having primary responsibility, authorized agencies to destroy records within a 6-to-10-year band. The catch was that it required each agency to select a fixed period within that band. This band is not mentioned in Circular A-76 itself. New item 050 requires minimum a 6-year retention period and allows longer retention for business use. This is consistent with the old item except that the new item does not require an agency to set a single fixed period.

Old GRS 16, item 12, Information Collection Budget Files, had a 7-year retention period. NARA's dossier (N1-GRS-87-16) for this item gave no justification for this time frame; external stakeholder opinion ranged from 3 to 7 years. A 6-year retention period is justified for Information Collection Budget files because it is in keeping with similar reports also covered in this item and with financial reporting in GRS 1.1, item 010.

QUESTIONS RELATED TO ITEM 060

8. Why do you exclude records created and held by the Merit Systems Protection Board and the Office of Special Counsel from this item?

Handling cases described by this item is the mission of the Merit Systems Protection Board and the Office of Special Counsel. Agencies must schedule mission records independently. GRS 5.7, item 060, covers only case files created at other agencies, where they are administrative records.

9. Why do you exclude from this item records of whistleblowing cases handled internally within an agency?

The administrative and historical value of allegations of illegality, waste, corruption, or other misconduct reported to authorities within an agency varies from one agency to another, so cannot be defined by a single universal retention period. For example, honesty and good behavior of staff is expected in all agencies, but is mission-critical in law-enforcement and investigative agencies. Agencies must therefore individually schedule records documenting internal handling of misconduct allegations.

GENERAL RECORDS SCHEDULE 6.3: Information Technology Records

This schedule covers records about Federal agency Information Technology (IT) program planning, which includes designing and operating major IT management processes; acquiring and managing IT capital investments; monitoring IT program performance; and developing and maintaining an agency's IT architecture.

This schedule does not include records of the Office of Management and Budget (OMB) documenting OMB's oversight role relating to Government-wide information resources management and IT spending. These records are scheduled by an OMB-specific schedule.

Related records are covered elsewhere in the GRS. IT records are covered in GRS 3.1, General Technology Management, and 3.2, Information Systems Security Records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Information Technology program and capital investment planning records.</p> <p>Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:</p> <ul style="list-style-type: none"> • strategic and tactical plans • records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications • records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities • reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting • portfolio management records, including clearance and review • Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions • business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets <p>Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately).</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0009-0001</p>

	<p>Exclusion 2: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately).</p> <p>Exclusion 3: System data or content (agencies must schedule these separately).</p> <p>Exclusion 4: Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these).</p> <p>Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).</p>		
020	<p>Enterprise architecture records. Records that describe the agency’s baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.</p> <p>Exclusion: Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).</p>	<p>Temporary. Destroy 7 years after creating a new iteration of the enterprise or information architecture, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0009-0002

New GRS 6.3				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
6.3	010	7 years	DAA-GRS-2017-0009-0001	27	1	7 years	N1-GRS-04-4, item 1
				27	3	7 years	N1-GRS-04-4, item 3
				27	5	5 years	N1-GRS-04-4, item 5
6.3	020	7 years	DAA-GRS-2017-0009-0002	27	2	7 years	N1-GRS-04-4, item 2

Frequently Asked Questions (FAQs) about GRS 6.3, Information Technology Records

1. What is the purpose of GRS 6.3?

This schedule provides disposition authority for records Federal agencies create in the course of Information Technology (IT) program planning, acquiring and managing IT capital investments, monitoring IT program performance, and developing and maintaining an agency's IT architecture.

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

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

3. Why is GRS 6.3 included in the 'Mission Support' schedules?

These are records that support an agency accomplishing its mission, but are quasi-mission or not quite administrative in nature. The GRS covers mission support records when the business and historical value of records can be established Government-wide; IT is such an area because the function supports the agency's mission through planning for and acquiring software and technology products, but is not the primary mission focus of most agencies. Other records covered by the GRS and considered mission support include Email Managed Under a Capstone Approach (GRS 6.1) and Federal Advisory Committee Records (GRS 6.2).

CHANGES FROM THE OLD GRS

4. How does GRS 6.3 differ from the old GRS?

There are three major changes to former GRS 27 items. First, we made this GRS a functionally based schedule by placing it under the GRS 6.0 Mission Support category and eliminating the old schedule's organizational-based title, Records of the Chief Information Officer. Second, in item 010 we combined items for IT Program Planning (GRS 27, item 1) and IT Capital Investment (GRS 27, item 3) based on agency feedback and experiences implementing old GRS 27, which indicated that these two types of records are often intertwined in the same process and should be kept for the same retention period to support business needs, such as to reference meeting records associated with various decisions. Third, we increased the retention period of CIO Committee Records (GRS 27, item 5) from 5 to 7 years and added the records to item 010.

QUESTIONS RELATED TO ITEM 010

5. Why are there so many exclusions to this item? How are the excluded records scheduled?

When multiple activities or categories of records are aggregated, the need for added exclusions to a schedule item often increases. The excluded records may be considered permanent under certain circumstances or may be more appropriately covered by another existing records schedule, either a GRS item or an agency-specific item.

QUESTION RELATED TO ITEM 020

6. Why are certain records excluded from this item?

The records are excluded because they are covered under another more specific GRS - GRS 3.1 General Technology Management Records, item 010, Infrastructure project records. The following are examples of such records covered by GRS 3.1, item 010:

- 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

GENERAL RECORDS SCHEDULE 6.6: Rulemaking Records

Rulemaking is defined by the Administrative Procedure Act (APA) as the “agency process for formulating, amending, or repealing a rule” (5 U.S.C. 551(5)). This process results in the agency issuing a final regulation, which it publishes in the *Federal Register* and codifies in the Code of Federal Regulations. This schedule covers certain records created in that process. It also covers records documenting public notices that do not relate to rules and regulations but that agencies disseminate via publication in the *Federal Register*.

With one exception (see item 030), this schedule does not cover records created after a proposed rule first appears in the *Federal Register* (item 020 lists points at which first publication might appear). Records created after first appearance in the *Federal Register* are contained in a case file, often called a “docket.” Dockets may be of permanent value depending on the particular rule or an agency’s mission. Therefore, each agency must schedule its rulemaking dockets independently.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Records of proposed rule development.</p> <p>Records of internal development of agency rules in preparation for <i>Federal Register</i> publication as a proposed rule, including case files that result in final rules, case files that do not result in final rules, and case files of exemptions to rules. Includes:</p> <ul style="list-style-type: none"> • briefing papers and options papers presented to management • rule/regulation drafts presented to management • internal comments in response to drafts presented to management • stakeholder input • analyses • clearances • summary sheets • background and supporting materials • records documenting a notice of inquiry (NOI) advance notice of proposed rulemaking (ANPRM), or request for information (RFI) in the Federal Register inviting comments on a not-yet-proposed rule, and comments received in response • concept releases • petitions to issue, amend, or repeal a rule • petitions for exemption 	<p>Temporary. Destroy 6 years after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • decision memoranda • reports and white papers • meeting minutes documenting evaluation of options and decisions made • workplans and timelines • correspondence <p>Note: GRS 5.2, item 020, covers “drafts produced...for...internal discussion, reference, or consultation.”</p> <p>Exclusion: Schedule and retain as part of a docket any records this item describes that the agency incorporates into that docket.</p>		
020	<p>Proposed and final rule documents published in the <i>Federal Register</i>. Agency copy of rule forwarded to the <i>Federal Register</i> for publication, copy of published notice, and correspondence with the Office of the Federal Register generated at these rulemaking process milestones:</p> <ul style="list-style-type: none"> • advance notice of proposed rulemaking (ANPRM) or notice of inquiry (NOI) inviting participation to help shape a rule still in development • notice of proposed rulemaking (NPRM) to add a new rule or to amend or repeal an existing rule • supplemental notice of proposed rulemaking (SNPRM) or further notice of proposed rulemaking (FNPRM), soliciting comment on a proposed rule significantly altered in response to comments received in response to the NPRM • notice responding to summarized comments • final rule, interim final rule, or direct final rule 	<p>Temporary. Destroy 1 year after publication, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0002</p>
030	<p>Public comments. Public comments agency receives in response to a proposed rule, provided that agency retains a summary of those comments with the rulemaking docket in a docket management system.</p> <p>Exclusion: If the agency does not create a summary of comments, it must schedule individual comments as part of the final rule case file or docket.</p>	<p>Temporary. Destroy 1 year after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0003</p>

Item	Records Description	Disposition Instruction	Disposition Authority
040	<p>Federal Register notices other than proposed and final rules. Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency’s seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.</p> <p>Note 1: SORNs <i>per se</i> are covered by GRS 4.2, item 150.</p> <p>Note 2: PRA Information Collection reports are covered by GRS 5.7, item 050.</p> <p>Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.</p>	<p>Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0004</p>
050	<p>Agency input into the unified agenda. Records that process agency input into the publication of:</p> <ul style="list-style-type: none"> • The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the “unified agenda” or “semiannual regulatory agenda”) published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) • agency regulatory flexibility agendas • The Regulatory Plan <p>Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.</p>	<p>Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0005</p>

New GRS 6.6				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
6.6	010	6 years	DAA-GRS-2017-0012-0001	New item			
6.6	020	1 year	DAA-GRS-2017-0012-0002	New item			
6.6	030	1 year	DAA-GRS-2017-0012-0003	New item			
6.6	040	1 year	DAA-GRS-2017-0012-0004	16	13a	1 year	N1-GRS-87-17 item 1a
6.6	050	2 years	DAA-GRS-2017-0012-0005	16	13b	2 years	N1-GRS-87-17 item 1b

Frequently Asked Questions (FAQs) about GRS 6.6, Rulemaking Records

INTRODUCTION

1. What is the purpose of GRS 6.6?

This schedule provides disposition authority for records agencies create and receive in the course of developing rules, publishing rules in the *Federal Register*, receiving public comment on proposed rules, and processing agency input into the Government's unified agenda. Disposition authority also is provided for records relating to *Federal Register* notices that are not rules.

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. What is rulemaking?

Congress passes laws to enact broad policy mandates. It then assigns agencies responsibility to carry out those laws. Agencies craft detailed regulations (rules) defining how the policy is to be carried out. Rulemaking is the process that Federal agencies use to create or promulgate those regulations. Laws are published in the *United States Code*. The corresponding regulations are published in the *Code of Federal Regulations*.

QUESTIONS RELATED TO RULEMAKING DOCKETS

4. What is a rulemaking docket?

A rulemaking docket is the record of a rulemaking's proceedings. A docket is generally created at the point that a rule draft enters the proposed-rule stage. Many rules begin life inside an agency program office (for example, the Benefits Review Board of the Department of Labor) where they are drafted by subject area experts. For most—but not all—agencies, the draft rule is then taken over by the agency's office responsible for rulemaking, which shepherds it through the paces of proposed rule publication, adjudication of comments, and final rule publication. A docket is generally created at the time the rule is taken under the wing of the rulemaking office. Item 010 in particular covers the background research and drafting records produced prior to creation of the docket. A docket does not have a specific form; for example, it may be contained within an electronic system, such as the Federal Docket Management System (FDMS), or may be a file the office keeps, such as on a shared drive or in filing cabinets.

5. Why does this schedule not cover records filed in rulemaking dockets?

Records in rulemaking dockets are excluded from GRS 6.6. This exclusion is noted in two places: the schedule introduction and item 010. The reason for excluding docket records is as follows. Not all rules have equal historical research value or even equal business value to the agency that writes them. Some

rules deal with minor issues and once the rule is in place, it may not be necessary to remember with great detail the whole story of how it came to be crafted in exactly the way that it was. Other rules leave huge footprints in the story of the nation, its Government, and its landscape (literally and figuratively). Some agencies have scheduled all their rulemaking dockets for permanent retention. Others have scheduled all their dockets as temporary. Still others have identified parameters for sifting permanent from temporary dockets. Because we cannot state a universal value of all dockets, and because we cannot create universally applicable criteria for identifying permanent and temporary dockets across all agencies of widely variant missions, the GRS is not able to cover dockets.

QUESTION RELATED TO ITEM 010

6. The exclusion to item 010 sounds like records might or might not be disposable under this item. Please explain.

Contents of a docket are selected at agency discretion. Some contents are typical. A push to standardize the contents of the Federal Docket Management System (FDMS) across all agencies has been made. Still, there is a great deal of latitude as to what an agency may place in its dockets, particularly if they are hard copy. Any of the records listed in item 010 might be included in a docket. Once a record becomes part of a docket, it must be covered by an agency-specific schedule for that docket. Item 010 provides authority to dispose of background material not included in a docket, probably much sooner than the docket itself.

QUESTION RELATED TO ITEM 020

7. These look like very important records. Why is the retention so short?

These are essentially extra copies of records that have been published in the *Federal Register (FR)*. The published *FR* is scheduled as permanent by N1-64-87-1, items 1506-1 and 1506-2. One-year retention for GRS 6.6, item 020, covers the need to document what an agency intended to publish, in the unlikely event that what actually appears in the *FR* is not identical or is needed temporarily by the agency for ease of reference, to track publication frequency, or other business purpose. Since an agency—and researchers—can always obtain the exact text of the documents from the *FR* itself, the historical or research value of the agency copy plummets once the *FR* is published. Flexible retention allows agencies to retain these records as long as business need exists.

QUESTION RELATED TO ITEM 030

8. Why does this item retain public comments for such a short period of time?

Public comments are the heart of the public's ability to participate in the rulemaking process. High-profile rulemakings may include public hearings but most are simply published in an *FR* notice with a deadline by which written comments must be submitted. The agency usually publishes a written response to all comments. Public comments can be important documentation of a rule's final development. Many agencies include them in the docket. But sometimes comments are voluminous: into the hundreds of thousands, and on occasion millions. They may also be duplicative. If public-interest groups encourage people to comment on a proposed rule and offer pre-packaged response text, the agency may receive hundreds of identical comments whose only difference is the person who

signed—but did not actually write—them. This item gives agencies the option of retaining a summary of comments in lieu of the whole body, and destroying the original comments relatively quickly.

QUESTION RELATED TO ITEM 040

9. Why does a schedule about rulemaking contain an item for *Federal Register* notices that are not rules?

Some public stakeholder meetings do gather opinion on proposed rules, but most of the records listed in item 040's description do not. This item replaces an old GRS item, which needed to be superseded somewhere in the new GRS. Even though the item includes rulemaking records and many records that do not concern rulemaking, its *FR* connection makes this, the only GRS covering agency interaction with the *FR*, the obvious and logical place for both.

QUESTION RELATED TO ITEM 050

10. Why do you exclude records received by General Services Administration, Office of Management and Budget, and the Office of the Federal Register from this item?

The records concern the mission of those three agencies. As with all mission records, these must be appraised and scheduled for their business and historical value by the agencies themselves.

THE OLD GRS: TABLE OF CONTENTS

Introduction to the General Records Schedules

Schedule 1 — Civilian Personnel Records **Superseded in full**

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

Schedule 3 — Procurement, Supply, and Grant Records **Superseded in full**

Schedule 4 — Property Disposal Records **Superseded in full**

Schedule 5 — Budget Preparation, Presentation, and Apportionment Records **Superseded in full**

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

Schedule 7 — Expenditure Accounting Records **Superseded in full**

Schedule 8 — Stores, Plant, and Cost Accounting Records **Superseded in full**

Schedule 9 — Travel and Transportation Records **Superseded in full**

Schedule 10 — Motor Vehicle Maintenance and Operations Records **Superseded in full**

Schedule 11 — Space and Maintenance Records **Superseded in full**

Schedule 12 — Communications Records **Superseded in full**

Schedule 13 — Printing, Binding, Duplication, and Distribution Records **Superseded in full**

Schedule 14 — Information Services Records **Superseded in full**

Schedule 15 — Housing Records **Superseded in full**

Schedule 16 — Administrative Management Records **Superseded in full**

Schedule 17 — Cartographic, Aerial Photographic, Architectural, and Engineering Records
Superseded in full

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

Schedule 19 — **Rescinded in 1986**

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

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

Schedule 22 — **Rescinded in 1998**

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

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

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

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

Schedule 27 — Records of the Chief Information Officer **Superseded in full**

Indexes Standard Forms

 Optional Forms

INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

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

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

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

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

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

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

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

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

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

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

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

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

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

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

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

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

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

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

3. ~~Personnel Correspondence Files.~~

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

4. ~~Offers of Employment Files.~~

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

a. ~~Accepted offers. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**~~

b. ~~Declined offers:~~

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

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

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

5. ~~Certificate of Eligibles Files.~~

~~Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**~~

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

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

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

7. ~~Position Classification Files.~~

a. ~~Position Classification Standards Files.~~

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

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

approval or disapproval.

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

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

b. ~~Position Descriptions.~~

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

c. ~~Survey Files.~~

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

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

d. ~~Appeals Files.~~

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

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

8. ~~Interview Records.~~

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

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

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

10. ~~Temporary Individual Employee Records.~~

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

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

11. ~~Position Identification Strips.~~

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

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

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

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

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

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

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

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

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

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

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

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

13. ~~Incentive Awards Program Reports.~~

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

14. ~~Notifications of Personnel Actions.~~

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

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

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

15. ~~RESERVED~~

16. ~~Personnel Operations Statistical Reports.~~

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

17. ~~Correspondence and Forms Files.~~

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

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

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

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

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

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

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

a. ~~Supervisors' Personnel Files.~~

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

b. ~~Duplicate Documentation.~~

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

~~19. Individual Non-Occupational Health Record Files:~~

~~Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule. **Superseded by GRS 2.7, item 070 (DAA-GRS-2017-0010-0012)**~~

~~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. **Superseded by GRS 2.7, item 010 (DAA-GRS-2017-0010-0001)**~~

~~b. If information is not summarized. **Superseded by GRS 2.7, item 010 (DAA-GRS-2017-0010-0001)**~~

~~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. **Rescinded per GRS Transmittal 29**~~

~~(2) Separated employees. **Superseded by GRS 2.7, item 060 (DAA-GRS-2017-0010-0009)**~~

~~b. Temporary or short term records as defined in the Federal Personnel Manual (FPM). **Superseded by GRS 2.7, item 061 (DAA-GRS-2017-0010-0010)**~~

~~c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility. **Superseded by GRS 2.7, item 062 (DAA-GRS-2017-0010-0011)**~~

~~[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. **Rescinded per GRS Transmittal 29**~~

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

~~scheduled on an SF 115.]~~

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

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

- ~~(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents. **Superseded by GRS 2.2, item 071 (DAA-GRS-2017-0007-0009)**~~
- ~~(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. **Superseded by GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)**~~
- ~~(3) Performance-related records pertaining to a former employee.
 - ~~(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~
 - ~~(b) All other performance plans and ratings. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~~~
- ~~(4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~
- ~~(5) Supporting documents. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**~~

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

- ~~(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. **Superseded by GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)**~~
- ~~(2) Performance-related records pertaining to a former SES appointee.
 - ~~(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**~~
 - ~~(b) All other performance ratings and plans. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**~~~~
- ~~(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214). **Superseded**~~

by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)

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

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

~~24. — Reasonable Accommodation Request Records~~

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

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

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

~~a. — General Files~~

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

~~b. — Employee Case Files~~

~~Individual employee files that are created, received, and maintained by EEO reasonable~~

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

~~e. Supplemental Files~~

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

~~d. Tracking System~~

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

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

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

~~Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court. **Superseded by GRS 2.3, item 031 (DAA-GRS-2015-0007-0007) and GRS 2.3, item 032 (DAA-GRS-2015-0007-0008)**~~

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

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

~~c. Preliminary and Background Files.~~

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

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

~~d. — Compliance Records.~~

~~(1) — Compliance Review Files.~~

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

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

~~e. — Employee Housing Requests.~~

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

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

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

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

~~g. — EEO General Files.~~

~~General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports. **Superseded by GRS 2.3, item 030 (DAA-GRS-2015-0007-0006)**~~

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

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

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

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

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

Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)

~~26. Personnel Counseling Records.~~

~~a. Counseling Files.~~

~~Reports of interviews, analyses, and related records. **Superseded by GRS 2.7, item 091 (DAA-GRS-2017-0010-0015)**~~

~~b. Alcohol and Drug Abuse Program.~~

~~Records created in planning, coordinating, and directing an alcohol and drug abuse program. **Superseded by GRS 2.7, item 080 (DAA-GRS-2017-0010-0013)**~~

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

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

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

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

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

~~28. Labor Management Relations Records.~~

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

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

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

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

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

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

29. ~~Training Records.~~

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

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

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

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

b. ~~Employee training.~~

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

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

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

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

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

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

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

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

31. ~~Personnel Injury Files.~~

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

32. ~~Merit Promotion Case Files.~~

~~Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates. Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001)~~

33. ~~Examining and Certification Records.~~

a. ~~Delegated agreements.~~

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

b. ~~Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials. Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)~~

- c. ~~Correspondence or notices received from eligibles indicating a change in name, address, or availability. Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)~~
- d. ~~Test material stock control.~~
- ~~Stock control records of examination test material including running inventory of test material in stock. (N1-GRS-85-2 item 34b) Rescinded per GRS Transmittal 28~~
- e. ~~Application Record Card (OPM Form 5000A, or equivalent). Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)~~
- f. ~~Examination Announcement Case Documentation Files.~~
- ~~Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination. Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)~~
- g. ~~Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs). Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)~~
- h. ~~Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent). Rescinded per GRS Transmittal 28~~
- i. ~~Test Answer Sheets.~~
- ~~Written test answer sheets for both eligibles and ineligibles. Filed by date of processing. Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)~~
- j. ~~Lost or Exposed Test Material Case Files.~~
- ~~Records showing the circumstances of loss, nature of the recovery action, and corrective action required. Superseded by GRS 2.1, item 070 (DAA-GRS-2014-0002-0012)~~
- k. ~~Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)~~
- l. ~~Eligible applications for positions filled from a register or inventory, including OF~~

~~612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

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

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

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

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

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

~~p. — Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**~~

~~q. — Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**~~

~~r. — Interagency Placement Program (IPP) application and registration sheet. **Superseded by GRS 2.3, item 071 (DAA-GRS-2015-0007-0020)**~~

~~s. — DEP control cards, if maintained. **Superseded by GRS 2.3, item 070 (DAA-GRS-2015-0007-0019)**~~

~~t. — Reports of audits of delegated examining operations. **Superseded by GRS 2.1, item 160 (DAA-GRS-2014-0002-0022)**~~

~~34. — Occupational Injury and Illness Files.~~

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. **Superseded by GRS 2.7, item 020 (DAA-GRS-2017-0010-0002)**

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

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

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

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

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

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

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

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

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

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

~~Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. **Superseded by GRS 2.7, item 100 (DAA-GRS-2017-0010-0016)**~~

~~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. **Superseded by GRS 2.7, item 110 (DAA-GRS-2017-0010-0017)**~~

~~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. **Superseded by GRS 2.7, item 100 (DAA-GRS-2017-0010-0016)**~~

~~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. **Superseded by GRS 2.7, item 120 (DAA-GRS-2017-0010-0018)**~~

~~(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. **Superseded by GRS 2.7, item 120 (DAA-GRS-2017-0010-0018)**~~

~~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) **Superseded by GRS 2.7, item 130 (DAA-GRS-2017-0010-0019)**~~

~~(b) Applicants not accepted for employment. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**~~

~~(2) Negative results. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001), GRS 2.1, item 051 (DAA-GRS-2017-0011-0002), and GRS 2.7, item 131 (DAA-GRS-2017-0010-0020)**~~

[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-c that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related

litigation or adverse action case file(s). (N1-GRS-98-1 Notes 1 and 2)}

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

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

38. ~~Wage Survey Files.~~

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

39. ~~Retirement Assistance Files.~~

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

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

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

41. ~~Pay Comparability Records.~~

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

42. ~~Alternate Worksite Records.~~

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

- b. ~~Unapproved requests.~~ **Superseded by GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**

- c. ~~Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.~~ **Superseded by GRS 2.3, item 080 (DAA-GRS-2015-0007-0021) and GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

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

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

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

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

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

PAYROLL

1. — Individual Employee Pay Record.

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

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

2. ~~Noncurrent Payroll Files.~~

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

Items 3 through 5. Reserved.

TIME AND ATTENDANCE

6. ~~Leave Application Files.~~

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

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

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

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

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

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

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

9. ~~Leave Record.~~

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

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

Items 10 through 12. Reserved.

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

~~13. Tax Files.~~

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

~~14. Savings Bond Purchase Files.~~

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

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

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

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

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

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

~~18. Levy and Garnishment Files.~~

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

Items 19 through 21. Reserved.

PAYROLL ADMINISTRATION

22. ~~Payroll System Reports.~~

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

23. ~~Payroll Change Files.~~

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

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

24. ~~Payroll Correspondence.~~

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

Items 25 through 27. Reserved.

RETIREMENT

28. ~~Retirement Files.~~

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

Items 29 through 30. Reserved.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

~~2. General Correspondence Files.~~

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

~~3. Routine Procurement Files~~

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

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

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

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

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

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

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

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

~~c. Canceled solicitations files.~~

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

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

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

6. Public Printer Files.

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

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

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

7. Non personnel Requisition File.

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

8. Inventory Requisition File.

Requisitions for supplies and equipment for current inventory.

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

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

9. Inventory Files.

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

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

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

~~10. Telephone Records.~~

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

~~11. Contractors' Payroll Files.~~

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

~~12. Tax Exemption Files.~~

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

~~13. Unsuccessful Grant Application Files.~~

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

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

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

~~15. Contract Appeals Case Files.~~

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

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

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

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

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

~~17. Small and Disadvantaged Business Utilization Files.~~

~~Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507. **Rescinded per GRS Transmittal 29**~~

~~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. **Superseded by GRS 5.7, item 050 (DAA-GRS-2017-0008-0005)**~~

~~**[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. **Superseded by GRS 5.7, item 050 (DAA-GRS-2017-0008-0005)**~~

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. Superseded by GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)~~

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. Superseded by GRS 1.3, item 010 (DAA-GRS-2015-0006-0001), item 040 (DAA-GRS-2015-0006-0005), and item 041 (DAA-GRS-2015-0006-0006)~~

3. ~~Budget Reports Files.~~

~~Periodic reports on the status of appropriation accounts and apportionment.~~

~~a. Annual report (end of fiscal year). Superseded by GRS 1.3, item 030 (DAA-GRS-2015-0006-0003)~~

~~b. All other reports. Superseded by GRS 1.3, item 031 (DAA-GRS-2015-0006-0004)~~

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

~~Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. Superseded by GRS 1.3, item 020 (DAA-GRS-2015-0006-0002)~~

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

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

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

GENERAL RECORDS SCHEDULE 6

~~Accountable Officers' Accounts Records~~

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

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

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

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

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

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

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

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

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

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

OF 1114 — Bill of Collection

OF 1114A — Official Receipt

OF 1114B — Collection Voucher

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

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

2. — GAO Exceptions Files.

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

3. — Certificates Settlement Files.

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

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

4. — General Fund Files.

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

5. — Accounting Administrative Files.

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

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

6. — Federal Personnel Surety Bond Files.

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

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

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

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

7. ~~Gasoline Sales Tickets.~~

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

8. ~~Telephone Toll Tickets.~~

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

9. ~~Telegrams.~~

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

10. ~~Administrative Claims Files.~~

a. ~~Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

b. ~~Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).~~

~~Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.~~

~~(1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

~~(2) Claims for which collection action has been terminated under 4 CFR Part 104.~~

~~(a) Claims for which the Government's right to collect was not extended. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)~~

~~(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action. Superseded by GRS 1.1, item 080 (DAA-GRS-2017-~~

0005-0001)

~~(3) — Claims that the agency administratively determines are not owed to the United States after collection action was initiated. **Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**~~

~~c. — Claims files that are affected by a court order or that are subject to litigation proceedings. **Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**~~

~~11. — Waiver of Claims Files.~~

~~Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an~~

~~employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.~~

~~a. — Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount). **Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**~~

~~b. — Denied waivers. **Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**~~

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

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

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

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

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

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

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

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

1. ~~Expenditure Accounting General Correspondence and Subject Files.~~

Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration. **Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

2. ~~General Accounting Ledgers.~~

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

3. ~~Appropriation Allotment Files.~~

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

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

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

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

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

GENERAL RECORDS SCHEDULE 8

~~Stores, Plant, and Cost Accounting Records~~

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

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

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

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

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

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

2. ~~Stores Invoice Files.~~

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

3. ~~Stores Accounting Files.~~

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

4. ~~Stores Accounting Background Files.~~

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

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

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

6. ~~Cost Accounting Reports.~~

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

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

7. ~~Cost Report Data Files.~~

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

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

b. ~~Automated records.~~

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

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

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

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

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

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

1. Commercial Freight and Passenger Transportation Files.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

~~a. Application files.~~

~~Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations. **Superseded by GRS 2.2, item 090 (DAA-GRS-2017-0007-0013)**~~

~~b.—Annual reports concerning official passports.~~

~~Reports to the Department of State concerning the number of official passports issued and related matters. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**~~

~~c.—Passport registers.~~

~~Registers and lists of agency personnel who have official passports. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001) and GRS 2.2, item 091 (DAA-GRS-2017-0007-0014)**~~

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

~~6.—RESERVED~~

~~7.—Federal Employee Transportation Subsidy Records.~~

~~Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies. **Superseded by GRS 2.4, item 130 (DAA-GRS-2016-0015-0017) and GRS 2.4, item 131 (DAA-GRS-2016-0015-0018)**~~

GENERAL RECORDS SCHEDULE 10

~~Motor Vehicle and Aircraft Maintenance and Operation Records~~

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

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

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

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

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

1. ~~Motor Vehicle Correspondence Files.~~

~~Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule. Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)~~

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

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

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

3. ~~Motor Vehicle Cost Files.~~

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

4. ~~Motor Vehicle Report Files.~~

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

5. ~~Motor Vehicle Accident Files.~~

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

6. ~~Motor Vehicle Release Files.~~

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

7. ~~Motor Vehicle Operator Files.~~

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

8. ~~Reserved.~~

9. ~~Routine Aircraft Operations.~~

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

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

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

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

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

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

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

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

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

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

13. ~~Records Required for Accident/Incident Reports.~~

~~Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**~~

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

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

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

1. Space and Maintenance General Correspondence Files.

Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

2. Agency Space Files.

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

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

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

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

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

3. Directory Service Files.

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

4. ~~Credentials Files.~~

~~Identification credentials and related papers.~~

- a. ~~Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials. **Superseded by GRS 5.6, item 120 (DAA-GRS-2017-0006-0016) and GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)**~~
- b. ~~Receipts, indexes, listings, and accountable records. **Superseded by GRS 5.6, item 120 (DAA-GRS-2017-0006-0016) and GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)**~~

5. ~~Building and Equipment Service Files.~~

~~Requests for building and equipment maintenance services, excluding fiscal copies. **Superseded by GRS 5.4, item 071 (DAA-GRS-2016-0011-0009)**~~

GENERAL RECORDS SCHEDULE 12

Communications Records

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

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

1. ~~Messenger Service Files.~~

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

2. ~~Communication General Files.~~

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

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

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

d. ~~Telecommunications voucher files.~~

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

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

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

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

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

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

4. ~~Telephone Use (Call Detail) Records.~~

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

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

5. ~~Post Office and Private Mail Company Records.~~

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

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

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

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

7. ~~Metered Mail Files.~~

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

8. ~~Postal Irregularities File.~~

~~Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail. Superseded by GRS 5.5, item 020 (DAA-GRS-2016-0012-0002) and GRS 5.6, item 050 (DAA-GRS-2017-0006-0006)~~

GENERAL RECORDS SCHEDULE 13

~~Printing, Binding, Duplication, and Distribution Records~~

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

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

~~1. Administrative Correspondence Files.~~

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

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

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

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

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

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

~~3. Control Files.~~

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

4. ~~Mailing Lists.~~

a. ~~Correspondence, request forms, and other records relating to changes in mailing lists.~~
Superseded by GRS 6.5, item 020 (DAA-GRS-2017-0002-0002)

b. ~~Card lists.~~ **Superseded by GRS 6.5, item 020 (DAA-GRS-2017-0002-0002)**

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

~~Reports to Congress and related records.~~

a. ~~Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.~~ **Superseded by GRS 5.7, item 050 (DAA-GRS-2017-0008-0005)**

b. ~~Copies in subordinate reporting units and related work papers.~~ **Superseded by GRS 5.7, item 050 (DAA-GRS-2017-0008-0005)**

6. ~~Internal Management Files.~~

~~Records relating to internal management and operation of the unit.~~ **Superseded by GRS 5.5, item 010 (DAA-GRS-2016-0012-0001)**

GENERAL RECORDS SCHEDULE 14

Information Services Records

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

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

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

1. Information Requests Files.

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

2. Acknowledgment Files.

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

3. Press Service Files.

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

4. Information Project Files.

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

5. ~~Commendation/Complaint Correspondence Files.~~

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records. **Superseded by GRS 6.4, item 020 (DAA-GRS-2016-0005-0002) and GRS 6.5, item 010 (DAA-GRS-2017-0002-0001)**

6. ~~Indexes and Check Lists.~~

Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent. **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

Items 7 through 10. Reserved.

11. ~~FOIA Requests Files.~~

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

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

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

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

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

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

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

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

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

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

~~12. FOIA Appeals Files.~~

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

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

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

~~13. FOIA Control Files.~~

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

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

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

~~14. FOIA Reports Files.~~

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

~~15. FOIA Administrative Files.~~

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

~~16 through 20. Reserved.~~

~~21. Privacy Act Requests Files.~~

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

~~24. Privacy Act Control Files.~~

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

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

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

~~25. Privacy Act Reports Files.~~

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

~~26. Privacy Act General Administrative Files.~~

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

~~27 through 30. Reserved.~~

~~31. Mandatory Review For Declassification Requests Files.~~

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

36. ~~Erroneous Release Files.~~

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

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

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

GENERAL RECORDS SCHEDULE 15

Housing Records

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

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

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

1. ~~Housing General Correspondence Files.~~

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

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

Maintenance and repair records for individual units.

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

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

3. ~~Housing Management Files.~~

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

4. ~~Housing Lease Files.~~

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

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

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

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

6. ~~Housing Inventory Files.~~

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

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

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

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

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

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

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

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

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

1. Administrative Issuances. [See note after item 1b.]

- a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel). **Superseded by GRS 5.7, item 030 (DAA-GRS-2017-0008-0003)**
- b. Case files related to (a) above that document aspects of the development of the issuance. **Superseded by GRS 5.7, item 030 (DAA-GRS-2017-0008-0003)**

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

~~2. Records Disposition Files.~~

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

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

~~(1) SF 115s that have been approved by NARA. **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. **Rescinded per GRS Transmittal 29**~~

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. **Superseded by GRS 5.7, item 040 (DAA-GRS-2017-0008-0004)**

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. **Rescinded per GRS Transmittal 29**

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. **Superseded by GRS 5.7, item 050 (DAA-GRS-2017-0008-0005)**

~~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. **Superseded by GRS 6.6, item 040 (DAA-GRS-2017-0012-0004)**~~

~~b. Files documenting the processing of semiannual regulatory agenda. **Superseded by GRS 6.6, item 050 (DAA-GRS-2017-0012-0005)**~~

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

~~14. Management Control Records.~~

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

~~a. Policy, procedure, and guidance files.~~

~~Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews. **Superseded by GRS 5.7, item 010 (DAA-GRS-2017-0008-0001)**~~

~~b. Management control plans.~~

~~Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123. **Superseded by GRS 5.7, item 010 (DAA-GRS-2017-0008-0001)**~~

~~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. **Superseded by GRS 5.7, item 010 (DAA-GRS-2017-0008-0001)**

- 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.]~~
Superseded by GRS 5.7, item 010 (DAA-GRS-2017-0008-0001)

[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.~~ **Superseded by GRS 5.7, item 010 (DAA-GRS-2017-0008-0001)**

- 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.~~ **Superseded by GRS 5.7, item 020 (DAA-GRS-2017-0008-0002)**

- (2) ~~Copies maintained by other offices as internal reviews.~~ **Rescinded per GRS Transmittal 29**

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

GENERAL RECORDS SCHEDULE 17

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

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

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

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

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

2. ~~Reserved.~~

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

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

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

5. ~~Contract Negotiation Drawings.~~

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

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

~~6. Space Assignment Plans.~~

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

~~7. Reserved.~~

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

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

~~9. Drawings Reflecting Minor Modifications.~~

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

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

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

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

GENERAL RECORDS SCHEDULE 18

~~Security and Protective Services Records~~

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

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

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

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

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

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

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

2. ~~Document Receipt Files.~~

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

3. ~~Destruction Certificates Files.~~

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

4. ~~Classified Document Inventory Files.~~

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

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

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

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

6. ~~Access Request Files.~~

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

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

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

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

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

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

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

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**

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

9. ~~Survey and Inspection Files. (Government-owned facilities)~~

~~Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. **Superseded by GRS 5.6, item 080 (DAA-GRS-2017-0006-0010) and GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)**~~

10. ~~Survey and Inspection Files. (Privately owned facilities)~~

~~Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents. **Superseded by GRS 5.6, item 080 (DAA-GRS-2017-0006-0010) and GRS 5.6, item 081 (DAA-GRS-2017-0006-0011)**~~

11. ~~Investigative Files.~~

~~Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**~~

12. ~~Property Pass Files.~~

~~Property pass files, authorizing removal of property or materials. **Superseded by GRS 5.6, item 040 (DAA-GRS-2017-0006-0005)**~~

13. ~~Guard Assignment Files.~~

~~Files relating to guard assignments and strength.~~

~~a. ~~Ledger records. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**~~~~

~~b. ~~Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements. **Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)**~~~~

14. ~~Police Functions Files.~~

~~Files relating to exercise of police functions.~~

~~a. ~~Ledger records of arrest, cars ticketed, and outside police contacts. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**~~~~

~~b. ~~Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-**~~~~

0006-0013)

- ~~c. Reports on contact of outside police with building occupants. **Superseded by GRS 5.6, item 100 (DAA-GRS-2017-0006-0013)**~~

~~15. Personal Property Accountability Files.~~

~~Files relating to accountability for personal property lost or stolen.~~

- ~~a. Ledger files. **Superseded by GRS 5.6, item 060 (DAA-GRS-2017-0006-0007) and GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)**~~
- ~~b. Reports, loss statements, receipts, and other documents relating to lost and found articles. **Superseded by GRS 5.6, item 060 (DAA-GRS-2017-0006-0007) and GRS 5.6, item 061 (DAA-GRS-2017-0006-0008)**~~

~~16. Key Accountability Files.~~

~~Files relating to accountability for keys issued.~~

- ~~a. For areas under maximum security. **Superseded by GRS 5.6, item 020 (DAA-GRS-2017-0006-0002)**~~
- ~~b. For other areas. **Superseded by GRS 5.6, item 021 (DAA-GRS-2017-0006-0003)**~~

~~17. Visitor Control Files.~~

~~Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.~~

- ~~a. For areas under maximum security. **Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014)**~~
- ~~b. For other areas. **Superseded by GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)**~~

~~18. Facilities Checks Files.~~

~~Files relating to periodic guard force facility checks.~~

- ~~a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule). **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**~~
- ~~b. Reports of routine after hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule. **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**~~

19. ~~Guard Service Control Files.~~

- a. ~~Control center key or code records, emergency call cards, and building record and employee identification cards. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- b. ~~Round reports, service reports on interruptions and tests, and punch clock dial sheets. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- c. ~~Automatic machine patrol charts and registers of patrol and alarm services. Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)~~
- d. ~~Arms distribution sheets, charge records, and receipts. Superseded by GRS 5.6, item 030 (DAA-GRS-2017-0006-0004)~~

20. ~~Logs and Registers.~~

~~Guard logs and registers not covered elsewhere in this schedule.~~

- a. ~~Central guard office master logs. Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)~~
- b. ~~Individual guard post logs of occurrences entered in master logs. Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015)~~

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

21. ~~Security Clearance Administrative Subject Files.~~

~~Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule. Superseded by GRS 5.6, item 010 (DAA-GRS-2017-0006-0001)~~

22. ~~Personnel Security Clearance Files.~~

~~Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.~~

- a. ~~Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance,~~

~~exclusive of copies of investigative reports furnished by the investigating agency.
Superseded by GRS 5.6, item 181 (DAA-GRS-2017-0006-0025)~~

~~b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations. Superseded by GRS 5.6, item 170 (DAA-GRS-2017-0006-0022)~~

~~c. Index to the Personnel Security Case Files. Superseded by GRS 5.6, item 190 (DAA-GRS-2017-0006-0026)~~

~~23. Personnel Security Clearance Status Files.~~

~~Lists or rosters showing the current security clearance status of individuals. Superseded by GRS 5.6, item 190 (DAA-GRS-2017-0006-0026)~~

~~24. Security Violations Files.~~

~~Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.~~

~~a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutive determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations. Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)~~

~~b. All other files, exclusive of documents placed in official personnel folders. Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)~~

~~25. Classified Information Nondisclosure Agreements.~~

~~a. If maintained separately from the individual's official personnel folder. Superseded by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)~~

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

EMERGENCY PLANNING RECORDS

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

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

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

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

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

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

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

~~28. Emergency Operations Tests Files.~~

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

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

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

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

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

GENERAL RECORDS SCHEDULE 20

Electronic Records

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

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

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

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

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

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

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

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

2. ~~Input/Source Records.~~

- a. ~~Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).~~
 - (1) ~~Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format. **Rescinded per GRS Transmittal 23**~~
 - (2) ~~Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion. **Rescinded per GRS Transmittal 23**~~
 - (3) ~~Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations). **Rescinded per GRS Transmittal 23**~~
 - (4) ~~Hard copy documents other than those covered by Items 2(a) (1)–(3). **Superseded by GRS 4.3, items 010 (DAA-GRS-2013-0001-0001), 011 (DAA-GRS-2013-0001-0002), and 012 (DAA-GRS-2013-0001-0003)**~~
- b. ~~Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~
- c. ~~Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~

- d. ~~Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~

~~3. Electronic Records That Replace Temporary Hard Copy Records:~~

~~Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)~~

~~a. **Scanned images. Rescinded per GRS Transmittal 23**~~

~~b. **Electronic formats other than scanned images.**~~

- ~~(1) **Records covered by temporary items in the GRS other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files) —or— Records covered by temporary items in an agency-specific schedule that pertain to administrative housekeeping activities. **Rescinded per GRS Transmittal 23****~~
- ~~(2) **Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files). **Rescinded per GRS Transmittal 23****~~
- ~~(3) **Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings. **Rescinded per GRS Transmittal 23****~~
- ~~(4) **Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records. **Rescinded per GRS Transmittal 23****~~
- ~~(5) **Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4). **Rescinded per GRS Transmittal 23****~~

~~3.1 Electronic Records That Replace Permanent Hard Copy Records:~~

~~Electronic records that replace hard copy records approved as permanent in a previously approved schedule. **Rescinded per GRS Transmittal 23**~~

~~4. Data Files Consisting of Summarized Information:~~

~~Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure free files to allow public access to the data which may not be destroyed before securing NARA approval. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

~~5. Records Consisting of Extracted Information.~~

~~Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA approved disposition schedule, EXCLUDING extracts that are produced as disclosure free files to allow public access to the data; or produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

~~6. Print File.~~

~~Electronic file extracted from a master file or data base without changing it and used solely to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

~~7. Technical Reformat File.~~

~~Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives. **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**~~

~~8. Backups of Files.~~

~~Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.~~

~~a. File identical to records scheduled for transfer to the National Archives. **Superseded by GRS 3.2, item 050 (DAA-GRS-2013-0006-0007)**~~

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

~~9. Finding Aids (or Indexes).~~

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

10. Special Purpose Programs:

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

11. Documentation:

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

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

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

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

12. Downloaded and Copied Data:

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

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

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

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

13. Word Processing Files:

~~Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic~~

recordkeeping system, paper, or microform for recordkeeping purposes. **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

~~14. Electronic Mail Records.~~

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

~~15. Electronic Spreadsheets.~~

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

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

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

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

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

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

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

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

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

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

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

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

~~STILL PHOTOGRAPHY~~

- ~~1. Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency. Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)~~
- ~~2. Personnel Identification or Passport Photographs. Superseded by GRS 2.2, item 090 (DAA-GRS-2017-0007-0013), GRS 5.6, item 120 (DAA-GRS-2017-0006-0016), and GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)~~
- ~~3. Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency. Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)~~

4. — Reserved.

GRAPHIC ARTS

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

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

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

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

MOTION PICTURES

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

10. — Reserved.

11. — ~~Routine Surveillance Footage.~~ **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**

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

13. — Reserved.

VIDEO RECORDINGS

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

15. — Reserved.

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

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

18. — ~~Routine Surveillance Recordings.~~ **Superseded by GRS 5.6, item 090 (DAA-GRS-2017-0006-0012)**

19. — ~~Routine Scientific, Medical, or Engineering Recordings.~~ **Rescinded per GRS Transmittal 26**

20. — ~~Recordings that Document Routine Meetings and Award Presentations.~~ **Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)**

21. — Reserved.

AUDIO (SOUND) RECORDINGS

22. — ~~Recordings of Meetings Made Exclusively for Note Taking or Transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. [See note after this item.]~~ **Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)**

~~[NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]~~

23. — ~~Dictation Belts or Tapes.~~ **Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)**

24. — ~~Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production.~~ **Superseded by GRS 6.4, item 030 (DAA-GRS-2016-0005-0003)**

25. — Reserved.

26. — ~~Daily or Spot News Recordings Available to Local Radio Stations on a Call in Basis.~~ **Superseded by GRS 6.4, item 040 (DAA-GRS-2016-0005-0004)**

27. — Reserved.

RELATED DOCUMENTATION

28. — ~~Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records.~~ **Superseded by GRS 6.4, item 050 (DAA-GRS-2016-0005-0006)**

29. — ~~Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records.~~ **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**

GENERAL RECORDS SCHEDULE 23

~~Records Common to Most Offices within Agencies~~

~~This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.~~

~~Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.~~

~~1. — Office Administrative Files. [See note after this item.]~~

~~Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. **Superseded by GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)**~~

~~[NOTE: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA). (N1-GRS-98-2 item 43 Note)]~~

~~2-4. — Reserved.~~

~~5. — Schedules of Daily Activities.~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.~~

~~a. — Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official~~

activities of high Government officials. [See note after item 5a.] **Superseded by GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)**

[NOTE: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. (N1-GRS-87-19 item 5a Note)]

b. ~~Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files. **Superseded by GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)**~~

6. ~~Suspense Files.~~

~~Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.~~

a. ~~A note or other reminder to take action. **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

b. ~~The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

7. ~~Transitory Files.~~

~~Records of short term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:~~

~~* Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; **Bullet superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**~~

~~* Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material; **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

~~* Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records; **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

~~* Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities; **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

~~* Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date. **Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**~~

~~8. Tracking and Control Records:~~

~~Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**~~

~~9. Finding Aids (or Indexes):~~

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

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records. **GRS 20 superseded by GRS Transmittal 24.**

1. Oversight and Compliance Files.

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

- a. Performance measurements and benchmarks. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**
- b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. **Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)**

2. IT Facility, Site Management, and Equipment Support Services Records.

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.~~

~~**Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~

~~3. IT Asset and Configuration Management Files.~~

~~a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.~~

~~**Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~

~~b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~

~~(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. **Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)**~~

~~(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~

~~4. System Backups and Tape Library Records.~~

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

~~(1) Incremental backup tapes. **Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)**~~

~~(2) Full backup tapes. **Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)**~~

~~b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**~~

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

- a. ~~System Security Plans and Disaster Recovery Plans. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
 - b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
6. ~~User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.~~
- a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records. Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)~~
 - b. ~~Routine systems, i.e., those not covered by item 6a. Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)~~
7. ~~Computer Security Incident Handling, Reporting and Follow-up Records. Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)~~
8. ~~IT Operations Records.~~
- a. ~~Workload schedules, run reports, and schedules of maintenance and support activities. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
9. ~~Financing of IT Resources and Services.~~
- a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - b. ~~Files related to managing third party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING~~

~~records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~

~~10. IT Customer Service Files.~~

- ~~a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers. **Superseded by GRS 5.8, item 010 (DAA-GRS-2017-0001-0001)**~~
- ~~b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting. **Superseded by GRS 5.8, item 010 (DAA-GRS-2017-0001-0001)**~~

~~11. IT Infrastructure Design and Implementation Files.~~

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.~~

- ~~a. Records for projects that are not implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- ~~b. Records for projects that are implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- ~~c. Installation and testing records. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~

~~12. RESERVED.~~

~~13. Public Key Infrastructure (PKI) Records.~~

- ~~a. PKI Administrative Records.~~
 - ~~(1) FBCA CAs. **Now GRS 3.2, item 060**~~
 - ~~(2) Other (non-FBCA et. al.) CAs. **Now GRS 3.2, item 061**~~
- ~~b. PKI Transaction-specific Records. **Now GRS 3.2, item 062**~~

GENERAL RECORDS SCHEDULE 25

Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics related master lists are not included in this schedule. Ethics related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

1. ~~Ethics Program Implementation, Interpretation, Counseling, and Development Files.~~

~~Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics related regulations and directives. Including:~~

- ~~* Records documenting the review of proposed or established ethics related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.~~
- ~~* Determinations, including advice and counseling to individual employees, and supporting records.~~
- ~~* Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.~~

- a. ~~Records such as determinations regarding attendance at widely attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~
- b. ~~All other records. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~
2. ~~Financial Disclosure Reporting Files.~~
- Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.
- a. ~~Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.~~
- (1) ~~SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected. **Superseded by GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)**~~
- (2) ~~All other SF 278s. **Superseded by GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)**~~
- b. ~~Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.~~
- (1) ~~OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)**~~
- (2) ~~All other OGE Form 450s and OGE Optional Form 450-As. **Superseded by GRS 2.8, items 071 (DAA-GRS-2014-0005-0012) and 072 (DAA-GRS-2014-0005-0013)**~~
- c. ~~Alternative or additional financial disclosure reports and related records.~~
- (1) ~~Reports for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 080 (DAA-GRS-2014-0005-0014)**~~
- (2) ~~All other alternative or additional financial disclosure reports. **Superseded by GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)**~~
3. ~~Ethics Agreement Records.~~

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- * ~~Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.~~
- * ~~Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.~~
- * ~~Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3). **Superseded by GRS 2.8, items 100 (DAA-GRS-2014-0005-0017) and 101 (DAA-GRS-2014-0005-0018)**~~

4. ~~Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.~~

~~Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution. **Superseded by GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)**~~

5. ~~Non-Federally Funded Travel Files.~~

- a. ~~Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties. **Superseded by GRS 2.8, item 030 (DAA-GRS-2014-0005-0003)**~~
- b. ~~Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel. **Superseded by GRS 2.8, item 031 (DAA-GRS-2014-0005-0004)**~~

6. ~~Ethics Program Review Files.~~

~~Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.~~

- a. ~~OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~
- b. ~~All other records produced during OGE program reviews, including notes and background materials. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~

7. ~~Annual Agency Ethics Program Questionnaire Files.~~

- a. ~~Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~
- b. ~~All other records related to responses to annual agency ethics program questionnaires. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~

8. ~~Ethics Program Employee Training and Education Files.~~

- a. ~~Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records. **Superseded by GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)**~~
- b. ~~Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters. **Superseded by GRS 2.6, item 020 (DAA-GRS-2016-0014-0002)**~~

9. ~~Ethics Program Procedures Files.~~

~~Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~

GENERAL RECORDS SCHEDULE 26

Temporary Commissions, Boards, Councils and Committees

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term “commission” is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the Code of Federal Regulations (CFR) and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA’s transfer requirements for permanent records. See 36 CFR Sections: 1228.266 – Audiovisual Records; 1228.268 – Cartographic and Architectural Records; 1228.270 – Electronic Records; 1230.026 – Microform Records

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

1. Internal Agency Committees

a. Internal agency committees unrelated to an agency’s mission

Committees established by an agency for facilitative or operational purposes unrelated to the agency’s mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

Any files created and/or maintained by the committee. **Superseded by GRS 5.1, item 030 (DAA-GRS-2016-0016-0003)**

b. Internal agency committees related to an agency’s mission

Committees established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the agency’s mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

~~Any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.~~
Rescinded per GRS Transmittal 28

~~2. Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA).~~

~~[NOTE: The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government.]~~

- ~~a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as~~
- ~~• original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components~~
 - ~~• agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed~~
 - ~~• one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files~~
 - ~~• correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission~~
 - ~~• substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data)~~
 - ~~• questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically)~~
 - ~~• records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act~~
 - ~~• documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and~~

- documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records. **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002))**

[NOTE: Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.]

b. Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as

- correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]
- audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events
- other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and
- extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**

[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred.]

[NOTE: Administrative records generated by an advisory committee — records relating to budget, personnel, supply or similar housekeeping or facilitation functions — may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support.]

c. Web site records.

(1) Electronic version of web site(s). **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005))**

(2) Design, management, and technical operation records. **Rescinded per GRS Transmittal 24**

~~(3) Electronic version of content records duplicated in textual series of commission records.
(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))~~

~~[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records.]~~

~~3. Committee Records Not Maintained by the Sponsor or Secretariat~~

~~Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. **Rescinded per GRS Transmittal 24**~~

~~[NOTE: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~[NOTE: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~4. Committee Management Records~~

~~Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5 U.S.C. Appendix 2). [See note after this item.] Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.~~

~~Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer.
(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006))~~

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

~~[NOTE: Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting a SF 115 to NARA.]~~

GENERAL RECORDS SCHEDULE 27

Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management. This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA.

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. **Superseded by GRS 6.3, item 010 (DAA-GRS-**

2017-0009-0001)

~~[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.]~~

~~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. **Superseded by GRS 6.3, item 020 (DAA-GRS-2017-0009-0002)**~~

~~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. **Superseded by GRS 6.3, item 010 (DAA-GRS-2017-0009-0001)**~~

~~[Note: Records needed to support contracts are scheduled under GRS 3.]~~

~~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. **Superseded by GRS 6.3, item 010 (DAA-GRS-2017-0009-0001)**~~

~~[**Note:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]~~

~~6. CIO Subject and Office Records~~

~~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.]~~

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24	Bid Bond	3	3
25	Performance Bond	3	3

<u>SF NUMBER</u>	<u>TITLE</u>	<u>Schedule</u>	<u>Item</u>
25A	Payment Bond	3	3
25B	Continuation Sheet (For Standard Forms 24, 25, and 25A)	3	3
26	Award/Contract	3	3,5
28	Affidavit of Individual Surety	3	3
30	Amendment of Solicitation/Modification of Contract	3	3,5
33	Solicitation, Offer and Award	3	3,5
34	Annual Bid Bond	3	3,5
35	Annual Performance Bond	3	3,5
39	Request for Referral of Eligibles	1	5,33
39A	Request and Justification for Selective Factors and Quality Ranking Factors	1	5,33
44	Purchase Order - Invoice - Voucher	3 6	3 1
44a-d	Purchase Order - Invoice - Voucher	3 6	3 15
50	Notification of Personnel Action	1	1,14
50B	Notification of Personnel Action	1	1,14
52	Request for Personnel Action	1	1,33
59	Request for Approval of Non-Competitive Action	1	1
61	Appointment Affidavits	1	1
61B	Declaration of Appointee	1	1
62	Agency Request to Pass Over a Preference Eligible or Object to an Eligible	1	5

<u>SF NUMBER</u>	<u>TITLE</u>	<u>Schedule</u>	<u>Item</u>
66	Official Personnel Folder	1	1
71	Application for Leave	2	6
81	Request for Space	11	2
83	Request for OMB Review (Replaced by OMB 83, Paperwork Reduction Act Submission)	16	6
82	Agency Report of Motor Vehicle Data	10	4
85	Questionnaire for Non-Sensitive Positions	18	22
86	Questionnaire for National Security Positions	18	22
91	Motor Vehicle Accident Report	10	5
94	Statement of Witness	10	5
97	The United States Government Certificate to Obtain Title to a Vehicle	4 10	3 6
98	Notice of Intention to Make a Service Contract and Response to Notice	3	11
98A	Notice of Intention to Make a Service Contract and Response to Notice (Attachment A)	3	11
99	Notice of Award of Contract	3	3
113A	Monthly Report of Federal Civilian Employment	1	16
114	Sale of Government Property - Bid and Award	4	3
114A	Sale of Government Property - Item Bid Page - Sealed Bid	4	3
114B	Sale of Government Property - Item Bid Page - Sealed Bid	4	3

<u>SF NUMBER</u>	<u>TITLE</u>	<u>Schedule</u>	<u>Item</u>
114C	Sale of Government Property - General Sale Terms and Conditions	4	3
114C-1	Sale of Government Property - Special Sealed Bid Conditions	4	3
114C-2	Sale of Government Property - Special Sealed Bid - Term Conditions	4	3
114C-3	Sale of Government Property - Special Spot Bid Conditions	4	3
114C-4	Sale of Government Property - Special Auction Conditions	4	3
114D	Sale of Government Property - Amendment of Invitation for Bids/Modification of Contract	4	3
114E	Sale of Government Property - Negotiated Sales Contract	4	3
114F	Sale of Government Property - Item Bid Page - Spot Bid or Auction	4	3
115	Request for Records Disposition Authority	16	2
115A	Request for Records Disposition Authority - Continuation	16	2
119	Statement of Contingent or Other Fees	3	3,5,16
120	Report of Excess Personal Property	4	2
120A	Continuation Sheet (Report of Excess Personal Property)	4	2
121	Annual Report of Utilization and Disposal of Excess and Surplus Personal Property	4	2
122	Transfer Order - Excess Personal Property	4	2
123	Transfer Order - Surplus Personal Property	4	2

<u>SF NUMBER</u>	<u>TITLE</u>	<u>Schedule</u>	<u>Item</u>
123A	Transfer Order - Surplus Personal Property (Continuation Sheet)	4	2
126	Report of Personal Property for Sale	4	2
126A	Report of Personal Property for Sale (Continuation Sheet)	4	2
127	Request for Official Personnel Folder (Separated Employee)	1	17
132	Apportionment and Reapportionment Schedule	5	4
133	Report on Budget Execution	5	3
135	Records Transmittal and Receipt	16	2
135A	Records Transmittal and Receipt (Continuation)	16	2
144	Statement of Prior Federal Service	1	1
145	Telephone Service Request	3 12	3 2
150	Deposit Bond - Individual Invitation, Sale of Government Personal Property	4	3
151	Deposit Bond - Annual Sale of Government Personal Property	4	3
152	Request for Clearance or Cancellation of a Standard or Optional Forms or Exception	16	3
180	Request Pertaining to Military Records	14	21
182	Request, Authorization, Agreement and Certification of Training	1	1
203	Annual Audiovisual Report	16	4
215	Deposit Ticket	6	1

<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	Rescinded		
1	1b	OPFs - Separated Employees	65 years	2.2	040	129 years
1	2a	Service Record Cards - 1947 and earlier	60 years	Rescinded		
1	2b	Service Record Cards - 1948 and later	3 years	Rescinded		
1	3	Personnel Correspondence Files	3 years	2.2	010	3 years
1	4a	Offers of Employment Files - Accepted	When appointment is effective	2.1	050 or 051	2 years
1	4b1	Offers of Employment Files - Declined (cert. of eligibles)	Return to OPM	2.1	060	1 year
1	4b2	Offers of Employment Files - Declined (temp or excepted)	File with application	2.1	060	1 year
1	4b3	Offers of Employment Files - Declined (all others)	Destroy immediately	2.1	060	1 year
1	5	Certificate of eligibles Files	2 years	2.1	050 or 051	2 years
1	6	Employee record cards	Separation of employee	Rescinded		
1	7a1	Position Classification Files - Standards	Superseded or obsolete	Rescinded		
1	7a2a	Position Classification Files - Standards development: case	5 years	2.1	010	2 years
1	7a2b	Position Classification Files - Standards development: review	2 years	Rescinded		
1	7b	Position Classification Files - PDs	2 years	2.1	020	2 years
1	7c1	Position Classification Files - Classification survey reports	3 years	Rescinded		
1	7c2	Position Classification Files - Inspections and audits	Superseded or obsolete	Rescinded		
1	7d1	Position Classification Files - Classification appeals	3 years	2.1	030	3 years
1	7d2	Position Classification Files - Cert. of classification	When position is abolished	2.1	040	2 years
1	8	Interview Records	6 months	2.1	090	2 years
1	9	Performance Rating Board case files	1 year	2.2	072	5 years
1	10a	Temporary individual employee records - Left side of OPF	Superseded or obsolete	2.2	041	Superseded or obsolete
1	10b	Temporary individual employee records - INS form I-9	3 years	2.2	060	3 years
1	11	Position ID strips	Superseded or obsolete	Rescinded		
1	12a1	Employee Awards Files - General within agency	2 years	2.2	030	2 years
1	12a2	Employee Awards Files - General outside of agency	2 years	2.2	030	2 years
1	12b	Employee Awards Files - Length of service/sick leave	1 year	2.2	030	2 years
1	12c	Employee Awards Files - Letters of commendation	2 years	2.2	030	2 years
1	12d	Employee Awards Files - Lists/indexes to award nominations	Superseded or obsolete	2.2	030	2 years
1	13	Incentive awards	3 years	Rescinded		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	14a	Notifications of Personnel Actions (SF-50) - Chron file copies in pers offices	2 years	2.2	050	Business use ceases
1	14b	Notifications of Personnel Actions (SF-50) - All other copies in pers offices	1 year	2.2	050	Business use ceases
1	15	Does not exist	N/A			
1	16	Personnel Operations statistical reports	2 years	2.2	010	3 years
1	17a	Correspondence and forms - Pending personnel actions	Immediate	2.2	050	Business use ceases
1	17b1	Retention registers and related records used to effect reduction-in-force actions	2 years	2.5	011	2 years
1	17b2	Retention registers and related records from which no reduction-in-force actions have been taken and related records	Superseded or obsolete	2.5	010	No longer required
1	17c	All other correspondence and forms	6 months	2.2	010	3 years
1	18a	Supervisors' Personnel Files	Superseded/obs. or 1 year	2.2	080	Superseded/obs. or 1 year
1	18b	Duplicates of OPF material	6 months	2.2	080	Superseded/obs. or 1 year
1	19	Non-occupational health records	6 years	2.7	070	10 years
1	20a	Health Unit Control Files - Logs of visitors, summarized on statistical reports	3 months	2.7	010	3 years
1	20b	Health Unit Control Files - Logs not summarized	2 years	2.7	010	3 years
1	21a1	Employee Medical Folder (EMF) - Longterm transferred employees	See 5 CFR Part 293 Subpart E	Rescinded		
1	21a2	Employee Medical Folder (EMF) - Longterm separated employees	75 years or 60 years or 30 years	2.7	060	30 years or with OPF
1	21b	Employee Medical Folder (EMF) - Temp EMF records	1 year	2.7	061	1 year after separation
1	21c	Employee Medical Folder (EMF) - Individual employee health file pre-EMF system	60 years	2.7	062	60 years
1	22	Statistical summaries re health	2 years	Rescinded		
1	23a1	Employee Performance File System Records - Non-SES Employees - Unacceptable performance	1 year	2.2	071	1 year
1	23a2	Employee Performance File System Records - Non-SES Employees - Records superseded thru admin or judicial procedure	Superseded	2.2	073	Superseded
1	23a3a	Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - Latest rating	To gaining agency or 4 years	2.2	070	4 years
1	23a3b	Employee Performance File System Records - Non-SES Employees - Performance Related Records Pertaining to a Former Employee - All other performance plans and ratings	4 years	2.2	070	4 years
1	23a4	Employee Performance File System Records - Non-SES Employees - All other performance appraisal records	4 years	2.2	070	4 years
1	23a5	Employee Performance File System Records - Non-SES Employees - Supporting documents	4 years	2.2	070	4 years
1	23b1	Employee Performance File System Records - SES appointees - SES records superseded thru admin or judicial procedure	Superseded	2.2	073	Superseded

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	23b2a	Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES latest rating	To gaining agency or 5 years	2.2	072	5 years
1	23b2b	Employee Performance File System Records - SES appointees - Performance-related records pertaining to a former SES appointee - SES all other plans/ratings	5 years	2.2	072	5 years
1	23b3	Employee Performance File System Records - SES all other performance appraisals	5 years	2.2	072	5 years
1	23b4	Employee Performance File System Records - SES appointees - SES supporting documents	5 years	2.2	072	5 years
1	24a	Reasonable Accommodation Request Records - General	3 years	2.3	020	3 years
1	24b	Reasonable Accommodation Request Records - Employee case files	3 years	2.3	021	3 years
1	24c	Reasonable Accommodation Request Records - Supplemental files	3 years	2.3	021	3 years
1	24d	Reasonable Accommodation Request Records - Tracking system	3 years	2.3	020	3 years
1	25a	EEO Records - Discrimination complaints	4 years	2.3	031 or 032	3 years or 7 years
1	25b	EEO Records - Duplicates of above	1 year	Rescinded		
1	25c1	EEO Records - Prelim/bkgd files	2 years	2.3	033	2 years
1	25c2	EEO Records - Bkgd to complaints that don't become official discrimination cases	2 years	2.3	033	2 years
1	25d1	EEO Records - Compliance reviews re contractor practices	7 years	2.3	034	7 years
1	25d2	EEO Records - Compliance reports	3 years	2.3	035	5 years
1	25e	EEO Records - Employee housing requests	1 year	Rescinded		
1	25f	EEO Records - Employment statistics re race/sex	5 years	2.3	035	5 years
1	25g	EEO Records - EEO general	3 years	2.3	030	3 years
1	25h1	EEO Records - Affirmative Action Plans: consolidated for whole agency	5 years	2.3	035	5 years
1	25h2	EEO Records - Feeder plans	5 years	2.3	035	5 years
1	25h3	EEO Records - On-site review of AAP	5 years	2.3	035	5 years
1	25h4	EEO Records - Agency copy of AAP annual rept	5 years	2.3	035	5 years
1	26a	Personnel Counseling Records - Counseling files	3 years	2.7	091	7 or 3 years
1	26b	Personnel Counseling Records - Alcohol and drug abuse program	3 years	2.7	080	3 years
1	27a	Alternative Dispute Resolution - General files	3 years	2.3	010	3 years
1	27b	Alternative Dispute Resolution - Case files	3 years	2.3	011 or 012	3 years or 7 years
1	28a1	Labor Management Relations Records - General and case files, office of record	5 years	2.3	050	5 years
1	28a2	Labor Management Relations Records - All other offices	Superseded or obsolete	2.3	051	No longer required
1	28b	Labor Management Relations Records - Arbitration general and case	5 years	2.3	052	5 years
1	29a1	Training Records - General, in-house, excluding curriculum	5 years	2.6	010	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	29a2	Training Records - Background	3 years	2.6	010	3 years
1	29b	Training Records - Training by outside opportunities	5 years	2.6	010	3 years
				2.6	030	3 years or 1 year
1	30a	Administrative Grievance, Disciplinary, & Adverse Action Files - Admin Grievance	4 to 7 years	2.3	060	4 to 7 years
1	30b	Administrative Grievance, Disciplinary, & Adverse Action Files - Adverse & performance based actions	4 to 7 years	2.3	061 or 062	4 to 7 years
1	31	Personal Injury Files	3 years	2.4	100	3 years
1	32	Merit Promotion Case Files	2 years or OPM audit	2.1	050	2 years
1	33a	Examining and Certification Records - Delegated agreements	3 years	2.1	150	3 years
1	33b	Examining and Certification Records - General correspondence	1 year	2.1	050	2 years
				2.1	051	2 years
1	33c	Examining and Certification Records - Change of address/status notes from eligibles	90 days	2.1	050	2 years
				2.1	051	2 years
1	33d	Examining and Certification Records - Test material stock control	Superseded or obsolete	Rescinded		
1	33e	Examining and Certification Records - Application record card (OPM 5000A)	90 days	2.1	050	2 years
				2.1	051	2 years
1	33f	Examining and Certification Records - Examination announcements	2 years	2.1	050	2 years
				2.1	051	2 years
1	33g	Examining and Certification Records - Register of eligibles (OPM 5001-C)	2 years	2.1	050	2 years
				2.1	051	2 years
1	33h	Examining and Certification Records - Letters denying eligibility (OPM 4896)	1 year	Rescinded		
1	33i	Examining and Certification Records - Test answer sheets	6 months	2.1	050	2 years
				2.1	051	2 years
1	33j	Examining and Certification Records - Lost/exposed test material	5 years	2.1	070	5 years
1	33k	Examining and Certification Records - Cancelled or ineligible applications	1 year	2.1	060	1 year
1	33l1	Examining and Certification Records - Eligible applications (OF 612 etc) on active register	90 days	2.1	060	1 year
1	33l2	Examining and Certification Records - Eligible applications (OF 612 etc) on inactive register	1 year	2.1	060	1 year
1	33m	Examining and Certification Records - Ineligible applications for positions filled by case	2 years	2.1	060	1 year
1	33n	Examining and Certification Records - Eligible applications for positions filled by case	2 years	2.1	060	1 year
1	33o	Examining and Certification Records - Request for prior approval of pers actions (SF 59, OPM 648)	1 year	2.1	080	1 year
1	33p	Examining and Certification Records - Certificates (SF 39, SF 39A)	2 years	2.1	050	2 years
				2.1	051	2 years
1	33q	Examining and Certification Records - Certification request control index	2 years	2.1	050	2 years
				2.1	051	2 years
1	33r	Examining and Certification Records - Interagency Placement Program	Termination of eligibility	2.3	071	Termination of eligibility
1	33s	Examining and Certification Records - DEP control cards	2 years	2.3	070	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
1	33t	Examining and Certification Records - Audit reports	3 years	2.1	160	3 years
1	34	Occupational injury/illness Files	5 years	2.7	020	6 years
1	35a	Denied health benefits requests under spouse equity - Not appealed	3 years	2.4	111	1 year
1	35b1	Denied health benefits requests under spouse equity - Appealed--successful	Create enrollment file	Rescinded		
1	35b2	Denied health benefits requests under spouse equity - Appealed--unsuccessful	3 years	2.4	111	1 year
1	36a	Federal Workplace Drug Testing Program Files - Test plans/procedures	3 years	2.7	100	3 years
1	36b	Federal Workplace Drug Testing Program Files - Employee acknowledgement of notice that drug-testing may be necessary in a position	Employee separation	2.7	110	Employee separation
1	36c	Federal Workplace Drug Testing Program Files - Selection/scheduling	3 years	2.7	100	3 years
1	36d1	Federal Workplace Drug Testing Program Files - Collection/handling of specimens record books	3 years	2.7	120	3 years
1	36d2	Federal Workplace Drug Testing Program Files - Collection/handling of specimens chain of custody	3 years	2.7	120	3 years
1	36e1a	Federal Workplace Drug Testing Program Files - Test results: positive: employees	3 years or employee separation	2.7	130	3 years or employee separation
1	36e1b	Federal Workplace Drug Testing Program Files - Test results: positive: not employees	3 years	2.1	050	2 years
				2.1	051	2 years
				2.7	131	3 years
1	36e2	Federal Workplace Drug Testing Program Files - Test results: negative	3 years	2.1	050	2 years
				2.1	051	2 years
				2.7	131	3 years
1	37	Donated leave Program Case Files	1 year	2.4	071	1 year
1	38	Wage survey files	Completion of two more surveys	2.4	080	Second succeeding survey
1	39	Retirement assistance files	1 year	2.5	020	1 year
1	40	Handicapped Individuals Appointment Case Files	5 years	2.1	110	5 years
1	41	Pay comparability records	3 years	2.4	090	3 years
1	42a	Alternative Worksite Records - Approved	1 year	2.3	081	1 year
1	42b	Alternative Worksite Records - Unapproved	1 year	2.3	081	1 year
1	42c	Alternative Worksite Records - Forms	1 year	2.3	080 or 081	3 years or 1 year
2	1a	Individual Employee Pay Record - Database version	Update regularly	Rescinded		
2	1b	Individual Employee Pay Record - Individual Pay Record, non-electronic	56 years	2.4	040	56 years
2	2	Noncurrent Payroll Files	15 years	Rescinded		
2	3	Does not exist		N/A		
2	4	Does not exist		N/A		
2	5	Does not exist		N/A		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
2	6a	Leave Application Files - If employee initials time card	End of following pay period	2.4	030	3 years
2	6b	Leave Application Files - If employee has not initialed time card	3 years or GAO audit	2.4	030	3 years
2	7	Time and Attendance Source Records	6 years or GAO audit	2.4	030	3 years
2	8	Time and Attendance Input Records	6 years or GAO audit	2.4	030	3 years
2	9a	Leave record: Record of employee leave, such as SF 1150, prepared upon transfer or separation	File on right [sic] side of OPF	2.5	040	File on left side of OPF
2	9b	Leave record: Creating agency copy, when maintained	3 years	2.5	020	1 year
2	10	Does not exist	N/A			
2	11	Does not exist	N/A			
2	12	Does not exist	N/A			
2	13a	Tax Files - W-4s	4 years	2.4	020	4 years
2	13b	Tax Files - Agency copy of W-2s	4 years	2.4	050	4 years
2	13c	Tax Files - Agency copy of W-3s, etc.	4 years	2.4	050	4 years
2	14a	Saving Bond Purchase Files - Authorization for purchase and Request for Change	Separation of employee	Rescinded		
2	14b	Saving Bond Purchase Files - Bond registration files	4 months	Rescinded		
2	14c	Saving Bond Purchase Files - Bond receipt and transmittal files	4 months	Rescinded		
2	15a	Combined Federal Campaign and Other Allotment Authorizations - Authorization for individual allotment	3 years or GAO audit	2.4	010	2 years after separation
2	15b	Combined Federal Campaign and Other Allotment Authorizations - Other authorizations	3 years or GAO audit	2.4	010	2 years after separation
2	16	Thrift Savings Plan Election Form	Separation of employee or superseded	2.4	010	2 years after separation
2	17	Direct Deposit Sign-up Form	Separation of employee or superseded	2.4	010	2 years after separation
2	18	Levy and Garnishment Files	3 years	2.4	010	2 years after separation
2	19	Does not exist	N/A			
2	20	Does not exist	N/A			
2	21	Does not exist	N/A			
2	22a	Payroll System Reports - Error reports, etc.	2 years	2.4	060	2 years
2	22b	Payroll System Reports - Reports and data used for workload and personnel mgmt	2 years	2.4	060	2 years
2	22c	Payroll System Reports - Reports providing fiscal info	3 years or GAO audit	2.4	061	3 years
2	23a	Payroll Change Files - Copies subject to GAO audit	3 years or GAO audit	2.4	010	2 years after separation
2	23b	Payroll Change Files - All other copies	1 month	Rescinded		
2	24	Payroll Correspondence	2 years	2.4	060	2 years
2	25	Does not exist	N/A			
2	26	Does not exist	N/A			
2	27	Does not exist	N/A			

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
2	28	Retirement files	Delete upon OPM acceptance	2.5	010	No longer required
					011	2 years
3	1a	Real Property Files - Records relating to property acquired after December 31, 1920, other than abstract or certificate of title	10 years after sale	5.4	020	Transfer to new owner
3	1b	Real Property Files - Abstract or certificate of title	Transfer to purchaser	5.4	020	Transfer to new owner
3	2	General Correspondence Files	2 years	1.1	001	3 years
3	3a1a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions exceeding simplified acquisition threshold and construction contracts exceeding \$2000	6 years, 3 months	1.1	010	6 years
3	3a1b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions below simplified acquisition threshold and constructions contracts at or below \$2000	3 years	1.1	010	6 years
3	3a2a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.	6 years, 3 months	1.1	010	6 years
3	3a2b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize small purchase procedures and all construction contracts under \$2,000.	3 years	1.1	010	6 years
3	3b	Routine Procurement Files - Obligation copy	When funds are obligated	Rescinded		
3	3c	Routine Procurement Files - Other copies	Upon termination	1.1	011	Business use ceases
3	3d	Routine Procurement Files - Data submitted to FPDS	5 years	1.1	013	6 years
3	4a	Supply Management Files - Copies received from other units	2 years	5.4	010	3 years
3	4b	Supply Management Files - Copies in other reporting units 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

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
3	5b2a	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - Files separated from contract case files	When related contract is completed	1.1	010	6 years
3	5b2b	Solicited and Unsolicited Bids and Proposals Files - Solicited and unsolicited unsuccessful bids and proposals - Relating to transactions above the small purchase limitations in 48 CFR Part 13 - When filed with contract case files	With related contract (see item 3)	1.1	010	6 years
3	5c1	Solicited and Unsolicited Bids and Proposals Files - Cancelled solicitations files - formal solicitations canceled prior to award	5 years	1.1	010	6 years
3	5c2	Unopened bids	Return to bidder	1.1	010	6 years
3	5d	Solicited and Unsolicited Bids and Proposals Files - Lists or card files of acceptable bidders	Superseded or obsolete	1.1	070	5 years
				1.1	071	3 years
3	6a	Public Printer Files - Procurement unit copy	3 years	1.1	010	6 years
3	6b	Public Printer Files - Accounting copy	3 years	1.1	010	6 years
3	7	Nonpersonal Requisition File	1 year	1.1	010	6 years
3	8a	Inventory Requisition File - Stockroom copy	2 years	5.4	010	3 years
3	8b	Inventory Requisition File - all other copies	6 months	5.4	010	3 years
3	9a	Inventory Files - Inventory lists	2 years	5.4	010	3 years
3	9b	Inventory Files - Inventory cards	2 years	5.4	010	3 years
3	9c	Inventory Files - Report of survey files etc.	2 years	5.4	010	3 years
3	10	Telephone Records	3 years	1.1	010	6 years
3	11	Contractors' Payroll Files	3 years	1.1	050	3 years
3	12	Tax Exemption Files	3 years	1.1	010	6 years
3	13	Unsuccessful Grant Application Files	3 years	1.2	021	3 years
3	14	Grant Administrative Files	2 years	1.2	010	3 years
3	15a	Contract Appeals Case Files - prior to Oct. 1, 1979	6 years, 3 mos	Rescinded		
3	15b	Contract Appeals Case Files - after Sep. 30, 1979	1 year	1.1	060	1 year
3	16	Contractor's Statement of Contingent or Other Fees	Superseded or obsolete	Rescinded		
3	17	Small and Disadvantaged Business Utilization Files	3 years	Rescinded		
3	18a	Federal Activities Inventory Reform (FAIR) Act Records - maintained by office having primary responsibility	6 to 10 years (as selected by agency)	5.7	050	6 years
3	18b	Federal Activities Inventory Reform (FAIR) Act Records - maintained by other offices	2 years	5.7	050	6 years
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	1.3	050	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
5	2	Budget Background Records	1 year	1.3	010, 040, or 041	6 years, 2 years, or 2 years
5	3a	Budget Reports Files - Annual report	5 years	1.3	030	5 years
5	3b	Budget Reports Files - All other reports	3 years	1.3	031	3 years
5	4	Budget Apportionment Files	2 years	1.3	020	6 years
6	1a	Accountable Officers' Files - Originals	6 years, 3 months	1.1	010	6 years
6	1b	Accountable Officers' Files - Memorandum or extra copies	1 year	1.1	011	Business use ceases
6	2	GAO Exceptions Files	1 year	Rescinded		
6	3a	Certificates Settlement Files - covering closed account settlements, etc.	2 years	1.1	010	6 years
6	3b	Certificates Settlement Files - covering periodic settlements	Receipt of new certificate	1.1	010	6 years
6	4	General Fund Files	3 years	1.1	010	6 years
6	5a	Accounting Administrative Files - For workload and personnel management	2 years	1.1	001	3 years
6	5b	Accounting Administrative Files - All other files	3 years	1.1	001	3 years
6	6a1	Federal Personnel Surety Bond Files - Official copies - before 1/1/1956	15 years	Rescinded		
6	6a2	Federal Personnel Surety Bond Files - Official copies - after 12/31/1955	15 years	Rescinded		
6	6b	Federal Personnel Surety Bond Files - Other	Bond becomes inactive	Rescinded		
6	7	Gasoline Sales Tickets	3 years or GAO audit	1.1	010	6 years
6	8	Telephone Toll Tickets	3 years or GAO audit	1.1	010	6 years
6	9	Telegrams	3 years or GAO audit	Rescinded		
6	10a	Administrative Claims Files - Claims against the US	6 years, 3 months	1.1	080	7 years
6	10b1	Administrative Claims Files - Claims by the US - Paid in full	6 years, 3 months	1.1	080	7 years
6	10b2a	Administrative Claims Files - Claims by the US - Collection action terminated - right to collect not extended	10 years, 3 months	1.1	080	7 years
6	10b2b	Administrative Claims Files - Claims by the US - Collection action terminated - entitled to additional time	3 months after litigation period	1.1	080	7 years
6	10b3	Administrative Claims Files - Claims by US - not owed to US	6 years, 3 months	1.1	080	7 years
6	10c	Administrative Claims Files - affected by court order, etc.	6 years, 3 months or end of litigation	1.1	080	7 years
6	11a	Waiver of Claims Files - Approved waivers	6 years, 3 months	1.1	080	7 years
6	11b	Waiver of Claims Files - Denied waivers	With claims in 10b/10c options	1.1	080	7 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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
8	4	Stores Accounting Background Files	2 years	1.1	040	3 years
8	5	Plant Accounting Files	3 years	1.1	040	3 years
8	6a	Cost Accounting Reports - Copies in units receiving reports	3 years	1.1	040	3 years
8	6b	Cost Accounting Reports - Copies in reporting units and related work papers	3 years	1.1	040	3 years
8	7a	Cost Report Data Files - Ledgers and forms	3 years	1.1	040	3 years
8	7b1	Cost Report Data Files - Automated records - detail cards	6 months			Rescinded
8	7b2	Cost Report Data Files - Automated records - summary cards	6 months			Rescinded
8	7b3	Cost Report Data Files - Tabulations	1 year			Rescinded
9	1a	Commercial Freight and Passenger Transportation Files - Original vouchers	6 years	1.1	010	6 years
9	1b	Commercial Freight and Passenger Transportation Files - Exclusion to 1a	10 years	1.1	010	6 years
9	1c	Commercial Freight and Passenger Transportation Files - Issuing office copies	6 years	1.1	010	6 years
9	1d	Commercial Freight and Passenger Transportation Files - Obligation copy	When funds are obligated	1.1	010	6 years
9	1e	Commercial Freight and Passenger Transportation Files - Unused ticket redemption forms	3 years	1.1	010	6 years
9	2	Lost or Damaged Shipment Files	6 years	5.5	040	6 years
9	3a	Noncommercial, Reimbursable Travel Files - Travel administrative office files	6 years	1.1	010	6 years
9	3b	Noncommercial, Reimbursable Travel Files - Obligation copies	When funds are obligated	1.1	011	Business use ceases
9	4a	General Travel and Transportation Files - Admin records	2 years	1.1	001	3 years
9	4b	General Travel and Transportation Files - Accountability Records	1 year	5.5	020	1 year or superseded/obsolete
9	5a	Records Relating to Official Passports - Application files	3 years	2.2	090	3 years or separation
9	5b	Records Relating to Official Passports - Annual reports	1 year	2.2	010	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
9	5c	Records Relating to Official Passports - Passport registers	Superseded or obsolete	2.2	010	3 years
				2.2	091	Superseded/obs.
9	6	Does not exist	N/A			
9	7	Federal Employee Transportation Subsidy Records	3 years	2.4	130	3 years
				2.4	131	2 years
10	1	Motor Vehicle Correspondence Files	2 years	5.4	010	3 years
10	2a	Motor Vehicle Operating and Maintenance Files - Operating records	3 months	5.4	090	3 years
10	2b	Motor Vehicle Operating and Maintenance Files - Maintenance records	1 year	5.4	090	3 years
10	3	Motor Vehicle Cost Files	3 years	5.4	090	3 years
10	4	Motor Vehicle Report Files	3 years	5.4	010	3 years
10	5	Motor Vehicle Accident Files	6 years	5.4	140	3 years
10	6	Motor Vehicle Release Files	4 years	5.4	040	3 years
10	7	Motor Vehicle Operator Files	3 years	5.4	110	3 years
10	8	Does not exist	N/A			
10	9	Routine Aircraft Operations	2 years	5.4	120	3 years
10	10	Logistical Support for Flight Operations	6 years or superseded	5.4	130	6 years
10	11a	General Aircraft Maintenance and Modification Records - Recordkeeping copies of maintenance manuals for unique or customized aircraft	Permanent	Rescinded		
10	11b	General Aircraft Maintenance and Modification Records - All other records	6 years or superseded or obsolete	5.4	100 or 130	6 years
10	12	Individual Aircraft Maintenance and Airframe Modification Records	6 years	5.4	100	6 years
10	13	Records Required for Accident/Incident Reports	1 year	5.6	100	3 years
11	1	Space and Maintenance General Correspondence Files	2 years	5.4	010	3 years
11	2a	Agency Space Files - Building plan files, etc.	2 years	5.4	010	3 years
11	2b1	Agency Space Files - Correspondence and reports - Reports to GSA	2 years	5.4	010	3 years
11	2b2	Agency Space Files - Copies	1 year	5.4	010	3 years
11	3	Directory Service Files	2 months	5.4	010	3 years
11	4a	Credentials Files - Identification credentials	3 months	5.6	120	6 years
				5.6	130	6 months
11	4b	Credentials Files - Receipts, indexes, listings, etc.	After everything is accounted for	5.6	120	6 years
				5.6	130	6 months
11	5	Building and Equipment Service Files	3 months	5.4	071	90 days
12	1	Messenger Service Files	2 months	5.5	020	1 year or superseded/obsolete
12	2a	Communication General Files - 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

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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
12	6a	Mail and Delivery Service Control Files - Records of receipt and routing	1 year	5.5	020	1 year or superseded/obsolete
12	6b	Mail and Delivery Service Control Files - Statistical reports of postage used	6 months	5.5	020	1 year or superseded/obsolete
12	6c	Mail and Delivery Service Control Files - Requisition for stamps	6 months	5.5	020	1 year or superseded/obsolete
12	6d	Mail and Delivery Service Control Files - Statistical reports and data relating to handling of mail	1 year	5.5	020	1 year or superseded/obsolete
12	6e	Mail and Delivery Service Control Files - Records relating to checks or other valuables remitted to agency by mail	1 year	5.5	020	1 year or superseded/obsolete
12	6f	Mail and Delivery Service Control Files - Records of and receipts for mail and packages received through Official Mail and Messenger Service	6 months	5.5	020	1 year or superseded/obsolete
12	6g	Mail and Delivery Service Control Files - General files	1 year	5.5	020	1 year or superseded/obsolete
12	6h	Mail and Delivery Service Control Files - Locator cards, directories, indexes, etc.	5 months	5.5	020	1 year or superseded/obsolete
12	7	Metered Mail Files	6 years	5.5	030	6 years
12	8	Postal Irregularities Files	3 years	5.5	020	1 year or superseded/obsolete
				5.6	050	3 years
13	1	Administrative Correspondence Files	2 years	5.5	010	3 years
13	2a	Project Files - Files pertaining to the accomplishment of the job	1 year	5.5	020	1 year or superseded/obsolete
13	2b	Project Files - Files pertaining to planning and other tech matters	3 years	5.5	010	3 years
13	3	Control Files	1 year	5.5	020	1 year or superseded/obsolete
13	4a	Mailing Lists - Correspondence, etc.	3 months	6.5	020	Superseded/obsolete
13	4b	Mailing Lists - Card lists	When canceled or revised	6.5	020	Superseded/obsolete

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
13	5a	Joint Committee on Printing (JCP) Reports Files - Agency report to JCP	3 years	5.7	050	6 years
13	5b	Joint Committee on Printing (JCP) Reports Files - Copies in subordinate units	1 year	5.7	050	6 years
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	020	90 days
				6.5	010	1 year
14	6	Indexes and Check Lists	Superseded or obsolete	6.4	030	No longer needed
14	7-10	Do not exist	N/A			
14	11a1	FOIA Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	11a2a	FOIA Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	11a2b	FOIA Requests Files - Unable to be filled - appealed	6 years or 3 years	4.2	020	6 years
14	11a3a	FOIA Requests Files - Denied - not appealed	6 years	4.2	020	6 years
14	11a3b	FOIA Requests Files - Denied - appealed	6 years or 3 years or with related records	4.2	020	6 years
14	11b	FOIA Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	12a	FOIA Appeals Files - Correspondence and supporting documents	6 years or 3 years	4.2	020	6 years
14	12b	FOIA Appeals Files - Official file copy of records under appeal	Disposition for official file copy	Rescinded		
14	13a	FOIA Control Files - Registers or listings	5 years	4.2	040	5 years
14	13b	FOIA Control Files - Other files	5 years	4.2	040	5 years
14	14	FOIA Reports Files	2 years	4.2	070	2 years
14	15	FOIA Administrative Files	2 years	4.2	001	3 years
14	16-20	Do not exist	N/A			
14	21a1	Privacy Act Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	6 years
14	21a2a	Privacy Act Requests Files - Unable to be filled - not appealed	2 years	4.2	020	6 years
14	21a2b	Privacy Act Requests Files - Unable to be filled - appealed	4 years or 3 years or with related records	4.2	020	6 years
14	21a3a	Privacy Act Requests Files - Denied - not appealed	5 years	4.2	020	6 years
14	21a3b	Privacy Act Requests Files - Denied - appealed	4 years or 3 years or with related records	4.2	020	6 years
14	21b	Privacy Act Requests Files - Official file copy of requested records	Disposition for official file copy	Rescinded		
14	22a	Privacy Act Amendment Case Files - Agreed by agency	4 years or official copy disposition	4.2	090	4 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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
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

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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	5.7	030	Superseded or obsolete
16	1b	Administrative Issuances - Case files	When issuance is destroyed	5.7	030	Superseded or obsolete
16	2a1	Records Disposition Files - Basic documentation - approved SF115s	2 years	4.1	020	6 years
16	2a2	Records Disposition Files - Basic documentation - Other records	6 years	4.1	020	6 years
16	2b	Records Disposition Files - Routine correspondence and memoranda	2 years	4.1	020	6 years
16	3a	Forms Files - One record copy of each form	5 years	4.1	040	3 years
16	3b	Forms Files - Background materials, etc.	Superseded or obsolete	4.1	040	3 years
16	4a	Records Holdings Files - records in offices that prepare reports on agency-wide records holdings	3 years	Rescinded		
16	4b	Records Holdings Files - records held by other offices	1 year	Rescinded		
16	5	Project Control Files	1 year	Rescinded		
16	6	Reports Control Files	2 years	5.7	040	2 years
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	Rescinded		
16	12	Information Collection Budget Files	7 years	5.7	050	6 years
16	13a	Documents Published in the Federal Register - Processing notices announcing matters not codified in CFR	1 year	6.6	040	1 year
16	13b	Documents Published in the Federal Register - Processing of semiannual regulatory agenda	2 years	6.6	050	2 years
16	14a	Management Control Records - Policy, procedure, and guidance files	Superseded or obsolete	5.7	010	1 year
16	14b	Management Control Records - Management control plans	Superseded or obsolete	5.7	010	1 year
16	14c	Management Control Records - Risk analyses	After next review cycle	5.7	010	1 year

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
16	14d	Management Control Records - Annual reports and assurance statements	After next reporting cycle	5.7	010	1 year
16	14e	Management Control Records - Tracking files	1 year	5.7	010	1 year
16	14f1	Management Control Records - Review Files - Responsible office	5 years	5.7	020	5 years
16	14f2	Management Control Records - Review Files - Other offices	1 year	Rescinded		
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
17	6	Space Assignment Plans	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	7	Does not exist	N/A			
17	8	Engineering Drawings of Routine Minor Parts	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	9	Drawings Reflecting Minor Modifications	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
17	10	Paint Plans and Samples	Superseded or obsolete	5.4	051	Superseded, obsolete, or transfer to new owner
18	1	Classified Documents Administrative Correspondence Files	2 years	4.2	001	3 years
18	2	Document Receipt Files	2 years	4.2	030	2 years
18	3	Destruction Certificates Files	2 years	4.2	030	2 years
18	4	Classified Document Inventory Files	2 years	4.2	030	2 years
18	5a	Top Secret Accounting and Control Files - accountability over Top Secret documents	5 years	4.2	040	5 years
18	5b	Top Secret Accounting and Control Files - handling and control documents	Related doc. downgraded, transferred, or destroyed	4.2	040	5 years
18	6	Access Request Files	2 years	4.2	030	2 years
18	7a	Classified Document Container Security Files - safe and padlock combinations, names of individuals knowing combinations	Superseded or obsolete	4.2	031	Superseded by new form
18	7b	Classified Document Container Security Files - records of opening, closing, and routine checking of the security of containers	3 months	4.2	032	90 days

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
18	8	Security and Protective Services Administrative Correspondence Files	2 years	5.6	010	3 years
18	9	Survey and Inspection Files - government-owned facilities	3 years	5.6	80	5 years
				5.6	81	3 years
18	10	Survey and Inspection Files - privately owned facilities	4 years	5.6	80	5 years
				5.6	81	3 years
18	11	Investigative Files	2 years	5.6	100	3 years
18	12	Property Pass Files	3 months	5.6	040	3 months
18	13a	Guard Assignment Files - ledger records	3 years	5.6	010	3 years
18	13b	Guard Assignment Files - requests, analyses, reports, change notices, etc.	2 years	5.6	010	3 years
18	14a	Police Functions Files - ledger records	3 years	5.6	100	3 years
18	14b	Police Functions Files - reports, statements of witnesses, warning notices, etc.	2 years	5.6	100	3 years
18	14c	Police Functions Files - reports on contact of outside police with building occupants	1 year	5.6	100	3 years
18	15a	Personal Property Accountability Files - ledger files	3 years	5.6	60	3 years
				5.6	61	30 days
18	15b	Personal Property Accountability Files - reports, loss statements, receipts, etc.	1 year	5.6	60	3 years
				5.6	61	30 days
18	16a	Key Accountability Files - areas under maximum security	3 years	5.6	020	3 years
18	16b	Key Accountability Files - other areas	6 months	5.6	021	6 months
18	17a	Visitor Control Files - areas under maximum security	5 years	5.6	110	5 years
18	17b	Visitor Control Files - other areas	2 years	5.6	111	2 years
18	18a	Facilities Checks Files - Data sheets, door slip summaries, check sheets, and guard reports on security violations	1 year	5.6	090	30 days
18	18b	Facilities Checks Files - Reports of routine after hours security checks	1 month	5.6	090	30 days
18	19a	Guard Service Control Files - Control center key or code records, emergency call cards, and building record and employee identification cards	Superseded or obsolete	5.6	090	30 days
18	19b	Guard Service Control Files - Round reports, service reports on interruptions and tests, and punch clock dial sheets	1 year	5.6	090	30 days
18	19c	Guard Service Control Files - Automatic machine patrol charts and registers of patrol and alarm services	1 year	5.6	090	30 days
18	19d	Guard Service Control Files - Arms distribution sheets, charge records, and receipts	3 months	5.6	030	3 months
18	20a	Logs and Registers - central master logs	2 years	5.6	110	5 years
				5.6	111	2 years
18	20b	Logs and Registers - individual posts	1 year	5.6	110	5 years
				5.6	111	2 years
18	21	Security Clearance Administrative Subject Files	2 years	5.6	010	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
18	22a	Personnel Security Clearance Files - investigation done by government	5 years	5.6	181	5 years
18	22b	Personnel Security Clearance Files - investigation provided by other organizations	Per investigating agency instructions	5.6	170	Per agency instruction
18	22c	Personnel Security Clearance Files - index	With related case file	5.6	190	Superseded or obsolete
18	23	Personnel Security Clearance Status Files	Superseded or obsolete	5.6	190	Superseded or obsolete
18	24a	Security Violations Files - referred to DOJ or DOD	5 years	5.6	200	5 years
18	24b	Security Violations Files - all other files	2 years	5.6	200	5 years
18	25a	Classified Information Nondisclosure Agreements - maintained separately from OPF	70 years	4.2	121	50 years
18	25b	Classified Information Nondisclosure Agreements - maintained in OPF	See OPF disposition	Rescinded		
18	26	Emergency Planning Administrative Correspondence Files	2 years	5.3	010	3 years
18	27	Emergency Planning Case Files	3 years	5.3	010	3 years
18	28	Emergency Operations Tests Files	3 years	5.3	010	3 years
18	29a	National Defense Executive Reserve (NDER) Case Files - reservists	5 years	Rescinded		
18	29b	National Defense Executive Reserve (NDER) Case Files - applications rejected or withdrawn	5 years	Rescinded		
20	1a	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system	No longer needed	3.1	010	5 years
					011	5 years
					020	3 years
20	1b	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files/records to create/update master file	After transfer to master file	5.2	020	When verified in new final record
20	1c	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage	No longer needed	3.2	030	Business use ceases
20	2a1	Input/Source Records - Hard-copy - Previously scheduled; must be transferred in hard-copy	Permanent	Rescinded		
20	2a2	Input/Source Records - Hard-copy - Previously scheduled; e-recs don't meet transfer standards	Permanent	Rescinded		
20	2a3	Input/Source Records - Hard-copy - Contain info not captured in electronic version	Apply previously approved schedule	Rescinded		
20	2a4	Input/Source Records - Hard-copy - Records not covered by 2a1-3.	When e-version is verified, etc.	5.2	020	When verified in new final record
20	2b	Input/Source Records - Electronic records (except noted in 2c) entered during update proces	When verified in master file	5.2	020	When verified in new final record
20	2c	Input/Source Records - Electronic records received from another agency	When verified in master file	5.2	020	When verified in new final record
20	2d	Input/Source Records - Uncalibrated or unvalidated observational data	When verified in master file	5.2	020	When verified in new final record
20	3a	Electronic Versions of Records Scheduled for Disposal - Scanned images	When hard copy retention expires	Rescinded		

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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	5.2	020	When verified in new final record
20	5	Records Consisting of Extracted Information	No longer needed	5.2	020	When verified in new final record
20	6	Print File	No longer needed	5.2	020	When verified in new final record
20	7	Technical Reformat File	No longer needed	5.2	020	When verified in new final record
20	8a	Backups of Files - Identical to permanent records	When backed up or transferred to NARA	3.2	050	After capture or transfer request
20	8b	Backups of Files - Identical to temporary records	Superseded or obsolete	3.2	051	After identical records deleted
20	9	Finding Aids (or Indexes)	No longer needed	4.1	010	No longer needed
20	10	Special Purpose Programs	When related master file is deleted	3.1	012	When master file is deleted
20	11a1	Documentation - Related to temporary systems	When related master file is deleted	3.1	051	5 years
20	11a2	Documentation - Related to permanent systems	Permanent	3.1	050	Permanent
20	11b	Documentation - Copies of records relating to system security	See GRS 24, item 5	3.2	010	1 year
20	12a	Downloaded and Copied Data - Derived data for ad-hoc reports	No longer needed	5.2	020	When verified in new final record
20	12b	Downloaded and Copied Data - Derived data in lieu of hard copy reports	No longer needed	5.2	020	When verified in new final record
20	12c	Downloaded and Copied Data - Metadata or reference data	No longer needed	5.2	020	When verified in new final record
20	13	Word Processing Files	No longer needed	5.1	020	After copying to recordkeeping system

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
20	14	Electronic Mail Records	After copying to recordkeeping system	5.1	020	After copying to recordkeeping system
20	15a	Electronic Spreadsheets - Used to produce hard copy that is maintained in organized files	No longer needed	5.1	020	After copying to recordkeeping system
20	15b	Electronic Spreadsheets - Maintained in electronic form	When hard copy retention expires	5.1	020	After copying to recordkeeping system
20	16	Hard Copy Printouts Created to Meet Ad Hoc Business Needs	No longer needed	5.2	020	When verified in new final record
21	1	Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency (Still Photography)	1 year	6.4	050	2 years
21	2	Personnel Identification or Passport Photographs (Still Photography)	Superseded or obsolete or 5 years	2.2	090	3 years or separation
				5.6	120	6 years
				5.6	130	6 months
21	3	Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not reflect the Mission of the Agency (Still Photog.)	1 year	2.6	010	3 years
21	4	Does not exist	N/A			
21	5	Viewgraphs	1 year	6.4	050	2 years
21	6	Routine Artwork for Handbills, Flyers, Posters, Letterhead, and Other Graphics	No longer needed	6.4	030	No longer needed
21	7	Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction	No longer needed	6.4	030	No longer needed
21	8	Line Copies of Graphs and Charts	No longer needed	6.4	030	No longer needed
21	9	Films Acquired from Outside Sources for Personnel and Management Training (Motion Pictures)	1 year	2.6	010	3 years
21	10	Does not exist	N/A			
21	11	Routine Surveillance Footage (Motion Pictures)	6 months	5.6	090	30 days
21	12	Routine Scientific, Medical, or Engineering Footage (Motion Pictures)	2 years	Rescinded		
21	13	Does not exist	N/A			
21	14	Programs Acquired from Outside Sources for Personnel and Management Training (Video Recordings)	1 year	2.6	010	3 years
21	15	Does not exist	N/A			
21	16	Rehearsal or Practice Tapes (Video Recordings)	Immediate	6.4	030	No longer needed
21	17	Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency (Video Recordings)	1 year	2.6	010	3 years
21	18	Routine Surveillance Recordings (Video Recordings)	6 months	5.6	090	30 days
21	19	Routine Scientific, Medical, or Engineering Recordings (Video Recordings)	2 years	Rescinded		
21	20	Recordings that Document Routine Meetings and Award Presentations (Video Recordings)	2 years	6.4	050	2 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
21	21	Does not exist	N/A			
21	22	Recordings of Meetings Made Exclusively for Note Taking or Transcription (Audio/Sound Recordings)	Immediate	5.2	020	Creation of final record or end of business use
21	23	Dictation Belts or Tapes (Audio/Sound Recordings)	Immediate	5.2	020	Creation of final record or end of business use
21	24	Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production (Audio/Sound Recordings)	Immediate	6.4	030	No longer needed
21	25	Does not exist	N/A			
21	26	Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis (Audio/Sound Recordings)	6 months	6.4	040	No longer needed
21	27	Does not exist	N/A			
21	28	Production Files or Similar Files that Document Origin, Development, Acquisition, Use and Ownership of Temporary Audiovisual Records	With related records	6.4	050	2 years
21	29	Finding Aids for Temporary Audiovisual Records	With related records	4.1	010	No longer needed
23	1	Office Administration Files	2 years	5.1	010	Business use ceases
23	2-4	Do not exist	N/A			
23	5a	Schedules of Daily Activities - substantive information	2 years	5.1	010	Business use ceases
23	5b	Schedules of Daily Activities - routine activities	No longer needed	5.1	010	Business use ceases
23	6a	Suspense Files - A note or reminder	Immediate	5.2	010	Business use ceases
23	6b	Suspense Files - Copy of outgoing communication	Immediate	5.2	010	Business use ceases
23	7	Transitory Files (first bullet only) - Routine requests for information	No longer needed	4.2	010	90 days
23	7	Transitory Files (all other bullets)	No longer needed	5.2	010	Business use ceases
23	8	Tracking and Control Records	2 years	4.1	010	No longer needed
23	9	Finding Aids (or Indexes)	With related records	4.1	010	No longer needed
24	1a	Oversight and Compliance Files - Performance measurements and benchmarks	5 years or 1 year	3.1	040	5 years
24	1b	Oversight and Compliance Files - All other oversight and compliance records	3 years or 1 year	3.1	040	5 years
24	2	IT Facility, Site Management, and Equipment Support Services Records	3 years or superseded	3.1	020	3 years
24	3a	IT Asset and Configuration Management Files - Inventories	1 year	3.1	020	3 years
24	3b1	IT Asset and Configuration Management Files - Management Records - system implementations, applications, modifications	1 year	3.1	030	5 years
24	3b2	IT Asset and Configuration Management Files - Management Records - routine IT maintenance	3 years or 1 year	3.1	020	3 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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	5.8	010	1 year
24	10b	IT Customer Service Files - Logs, reports, etc.	1 year	5.8	010	1 year
24	11a	IT Infrastructure Design and Implementation Files - Not implemented	1 year	3.1	010	5 years
24	11b	IT Infrastructure Design and Implementation Files - Implemented	5 years	3.1	010	5 years
24	11c	IT Infrastructure Design and Implementation Files - Installation and testing	3 years	3.1	010	5 years
24	12	Does not exist	N/A			
24	13a1	PKI Records - PKI Administrative Records - FBCA Cas	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	3.2	060	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months
24	13a2	PKI Records - PKI Administrative Records - Other Cas	7 years, 6 months to 20 years, 6 months	3.2	061	7 years, 6 months to 20 years, 6 months
24	13b	PKI Records - Transaction specific records	7 years, 6 months to 20 years, 6 months	3.2	062	7 years, 6 months to 20 years, 6 months
25	1a	Ethics Program Implementation, Interpretation, Counseling, and Development Files - [see records list in schedule]	3 years	2.8	010	6 years

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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	6 years
					072	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	6 years
					101	Destruction of last disclosure report
25	4	Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files	6 years	2.8	020	6 years
25	5a	Non-Federally Funded Travel Files - Semiannual Expense Reports	3 years	2.8	030	3 years
25	5b	Non-Federally Funded Travel Files - records used to compile Semiannual Expense Reports	1 year	2.8	031	1 year
25	6a	Ethics Program Review Files - OGE program review reports, etc.	6 years	2.8	050	6 years
25	6b	Ethics Program Review Files - all other records	1 year	2.8	050	6 years
25	7a	Annual Agency Ethics Program Questionnaire Files - questionnaire completed by ethics officials in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978	3 years	2.8	040	3 years
25	7b	Annual Agency Ethics Program Questionnaire Files - all other records	1 year	2.8	040	3 years
25	8a	Ethics Program Employee Training and Education Files - administration	6 years	2.6	020	6 years
25	8b	Ethics Program Employee Training and Education Files - training materials	6 years	2.6	020	6 years
25	9	Ethics Program Procedures Files	6 years	2.8	010	6 years
26	1a	Internal Agency Committees - unrelated to mission	No longer needed	5.1	030	Business use ceases
26	1b	Internal Agency Committees - related to mission	Must be scheduled	Rescinded		
26	2a	FACA Committees - establishment, policy, etc.	Permanent	6.2	010	Permanent
					020	Permanent

Old GRS	Old Item	Series Title	Old Retention	New GRS	New Item	New Retention
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	Permanent
					050	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	6 years
					050	Superseded, no longer needed, or committee termination
					060	3 years
27	1	Information Technology Program Planning Records	7 years	6.3	010	7 years
27	2	Enterprise Architecture Records	7 years	6.3	020	7 years
27	3	Information Technology Capital Investment Records	7 years	6.3	010	7 years
27	4	Legal and Regulatory Compliance Records	5 years	4.2	080	5 years
27	5	CIO Committee Records	5 years	6.3	010	7 years
27	6	CIO Subject and Office Records	5 years	Rescinded		
27	7	Schedules of Daily Activities	2 years	Rescinded		