GENERAL RECORDS SCHEDULE 4.1: Records Management Records

This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

<table>
<thead>
<tr>
<th>Item</th>
<th>Records Title/Description</th>
<th>Disposition Instruction</th>
<th>Disposition Authority</th>
</tr>
</thead>
</table>
| 010  | **Tracking and control records.**  
      Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes:  
      • indexes  
      • inventories  
      • lists  
      • logs  
      • registers  
      **Exclusion 1:** This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.  
      **Exclusion 2:** This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled. | Temporary. Destroy when no longer needed. | DAA-GRS-2013-0002-0016 |
| 020  | **Records management program records.**  
      Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:  
      • providing oversight of entire records management program  
      • transferring, destroying, and retrieving records  
      • inventorying records and conducting records surveys  
      • scheduling records  
      • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions)  
      • conducting records "clean out" days  
      • conducting special projects  
      Records include: | Temporary. Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use. | DAA-GRS-2013-0002-0007 |
<table>
<thead>
<tr>
<th>Item</th>
<th>Records Title/Description</th>
<th>Disposition Instruction</th>
<th>Disposition Authority</th>
</tr>
</thead>
</table>
| 030  | **Vital or essential records program records.**  
Records involved in planning, operating, and managing the agency’s vital or essential records program. Includes:  
- vital records inventories  
- vital records cycling plans  
- results of tests, surveys, or evaluations  
- reports of corrective action taken in response to agency vital records tests | Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use. | DAA-GRS-2013-0002-0008 |
| 031  | **Copies of vital records.**  
Copies of agency records deemed essential to restore agency functions in case of emergency. | Temporary. Destroy when superseded by the next cycle. | DAA-GRS-2013-0002-0015 |
| 040  | **Forms management records.**  
Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes:  
- registers or databases used to record and control the numbers and other identifying data assigned to each form  
- official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form  
- background materials and specifications | Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use. | DAA-GRS-2013-0002-0009 |

**Exclusion:** This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.
<table>
<thead>
<tr>
<th>Item</th>
<th>Records Title/Description</th>
<th>Disposition Instruction</th>
<th>Disposition Authority</th>
</tr>
</thead>
</table>
| 050  | **Validation records for digitized temporary records.**  
Records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records. Includes, but is not limited to:  
• standards and procedures records used to document that the agency has met validation process requirements, such as:  
  o quality management plans describing quality assurance objectives  
  o quality control (QC) protocols  
  o format-specific instructions  
• records documenting validation actions, such as:  
  o equipment calibration and test reports  
  o image quality testing results  
  o QC plans, procedures, and reports  
  | **Temporary.** Destroy the validation documentation associated with each record that has been digitized when the records digitized using that validation process are destroyed, but longer retention is authorized if required for business use. | DAA-GRS-2019-0003-0001 |

**Exclusion 1:** Validation records for digitized permanent records.

**Exclusion 2:** Original source records the agency has digitized and validated; GRS 5.2, Transitory and Intermediary Records, Item 020, or a current, approved agency-specific records schedule that covers the records once digitized covers these.

**Exclusion 3:** Digital surrogates (the newly digitized records); the appropriate current, approved agency-specific records schedule or applicable GRS item covers these.

**Legal citation:** 36 CFR Part 1236.34