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# The General Records Schedules

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*As of Transmittal 28  
containing only the schedules  
(no crosswalks or FAQs)*

National Archives and Records Administration  
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## GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

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

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

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, anticipated to be replaced by future GRS 1.3.

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

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

Item	Records Description	Disposition Instruction	Disposition Authority	
001	<p><b>Financial management and reporting administrative records.</b> Records related to managing financial activities and reporting. Records include:</p> <ul style="list-style-type: none"> <li>• correspondence</li> <li>• subject files</li> <li>• feeder reports</li> <li>• workload management and assignment records</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2016-0013-0001</p>	
010	<p><b>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</b> Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.</p> <p>Financial transaction records include those created in the course of procuring goods and services,</p>	<p><b>Official record held in the office of record.</b></p>	<p><b>Temporary.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if</p>	<p>DAA-GRS-2013-0003-0001</p>

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

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

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

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

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

Item	Records Description	Disposition Instruction	Disposition Authority	
060	<p><b>Contract appeals case files.</b> Records of contract appeals arising under the Contracts Dispute Act. Includes:</p> <ul style="list-style-type: none"> <li>• notice of appeal</li> <li>• acknowledgment of notice</li> <li>• correspondence</li> <li>• copies of contracts, plans, specifications, exhibits, change orders, and amendments</li> <li>• hearing transcripts</li> <li>• documents received from concerned parties</li> <li>• final decisions</li> <li>• other related papers</li> </ul>	<p><b>Temporary.</b> Destroy 1 year after final resolution, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0001-0003</p>	
070	<p><b>Vendor and bidder information.</b> Documentation of approved, suspended, and debarred vendors and bidders.</p>	<p><b>Records of suspensions and debarments for violation of the Drug-Free Workplace Act.</b></p>	<p><b>Temporary.</b> Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0001-0004</p>
071		<p><b>Records of all other suspensions and debarments and all approved vendors and bidders.</b></p>	<p><b>Temporary.</b> Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0001-0005</p>
080	<p><b>Administrative claims by or against the United States.</b> Records of monetary or property claims <i>by</i> the United States subject to the Federal Claims Collection Standards, completed or closed by:</p> <ul style="list-style-type: none"> <li>• payment in full</li> </ul>	<p><b>Temporary.</b> Destroy 7 years after final action, but longer</p>	<p>DAA-GRS-2017-0005-0001</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• compromise agreement</li> <li>• termination of collection action</li> <li>• determination that money or property is not owed to the United States</li> <li>• approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard</li> <li>• lifting of court order</li> </ul> <p>Also, records of monetary claims <i>against</i> the United States, completed or closed by:</p> <ul style="list-style-type: none"> <li>• disallowance in full</li> <li>• allowance in full or in part with final payment awarded</li> <li>• settlement, compromise, or withdrawal</li> <li>• lifting of court order</li> </ul> <p><b>Legal Citations:</b>            31 CFR 900-904            28 U.S.C. 2401            28 U.S.C. 2415(a)            31 U.S.C. 3716(c)            31 U.S.C. 3716(e)</p>	<p>retention is authorized if required for business use.</p>	

## GENERAL RECORDS SCHEDULE 1.2: Grant and Cooperative Agreement Records

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

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

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p><b>Grant and cooperative agreement program management records.</b> Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <ul style="list-style-type: none"> <li>• background files                             <ul style="list-style-type: none"> <li>○ Program Announcements</li> <li>○ Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices</li> <li>○ Requests for Proposals</li> </ul> </li> <li>• application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)</li> <li>• application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)</li> </ul> <p><b>Note:</b> If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p>	<p><b>Temporary.</b> Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
	<p><b>Exclusion 1:</b> Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> <p><b>Exclusion 2:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>			
020	<p><b>Grant and cooperative agreement case files.</b> Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications, forms, and budget documents</li> <li>• evaluation reports, panelist comments, review ratings or scores</li> <li>• Notice of Grant Award or equivalent and grant terms and conditions</li> <li>• state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)</li> </ul>	<p><b>Successful applications.</b></p> <p><b>Note:</b> If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>Exclusion:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p><b>Temporary.</b> Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0008-0001
021	<ul style="list-style-type: none"> <li>• amendment requests and actions, if any</li> <li>• periodic and final performance reports (progress, narrative, financial)</li> <li>• audit reports and/or other monitoring or oversight documentation</li> <li>• summary reports and the like</li> </ul> <p><b>Legal citation:</b> 31 U.S.C. 3731(b), False Claims Act</p>	<p><b>Unsuccessful applications.</b></p>	<p><b>Temporary.</b> Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0008-0006

Item	Records Title/Description	Disposition Instruction	Disposition Authority
022		<b>Temporary.</b> Destroy when business use ceases.	DAA-GRS-2013-0008-0002
030	<p><b>Final grant and cooperative agreement products or deliverables.</b> The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a:</p> <ul style="list-style-type: none"> <li>• report, study, or publication</li> <li>• conference paper and/or presentation</li> <li>• book, journal article, or monograph</li> <li>• training material, educational aid, or curriculum content</li> <li>• plan, process, or analysis</li> <li>• database or dataset</li> <li>• audio, video, or still photography</li> <li>• website content or other Internet component</li> <li>• documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)</li> <li>• software or computer code</li> </ul> <p><b>Note 1:</b> Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p><b>Note 2:</b> If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.</p>	<b>Temporary.</b> Destroy when business use ceases.	DAA-GRS-2013-0008-0003

## 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><b>Classification standards.</b> 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><b>Exclusion:</b> OPM’s case files on classification standards are not covered by this item.</p>	<p><b>Temporary.</b> 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><b>Position descriptions.</b> Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.</p>	<p><b>Official record copy of position description.</b> Copy held at Human Resources office.</p>	<p><b>Temporary.</b> Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>
021		<p><b>Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor’s personnel file.</b></p>	<p>Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)</p>
022		<p><b>All other related records.</b> Includes:</p> <ul style="list-style-type: none"> <li>• case file at position’s program office</li> <li>• background material in Human Resources case file</li> <li>• other copies of records in item 020</li> </ul>	<p><b>Temporary.</b> Destroy when position description is final, but longer retention is authorized if required for business use.</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
030	<p><b>Position reviews and classification appeals.</b> 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><b>Exclusion:</b> OPM's corresponding case file is not covered by this item.</p>	<p><b>Temporary.</b> 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><b>Certificates of classification.</b> Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.</p> <p><b>Exclusion:</b> OPM's file is not covered by this item.</p>	<p><b>Temporary.</b> 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><b>Job vacancy case files.</b> 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"> <li>• request for lists of eligible candidates</li> <li>• job announcement</li> <li>• examination announcement</li> </ul>	<p><b>Records of one-time competitive and Senior Executive Service announcements/selections.</b></p>	<p><b>Temporary.</b> Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.</p>	<p>DAA-GRS-2014-0002-0006</p>
051	<ul style="list-style-type: none"> <li>• job analysis, assessment criteria, and crediting plan</li> <li>• basis for certification</li> <li>• applications, resumes, supplemental forms, other attachments</li> <li>• list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification</li> <li>• certificates, registers or lists of eligible candidates issued to selecting officials</li> <li>• job-related test records</li> <li>• annotated certificates of eligible candidates returned by selecting officials</li> <li>• job offers</li> <li>• records of job offer being accepted or declined</li> <li>• correspondence/documentation of announcement or recruiting operation</li> </ul> <p><b>Legal citation:</b> 5 CFR 335.103</p>	<p><b>Records of standing register competitive files for multiple positions filled over a period of time.</b></p>	<p><b>Temporary.</b> Destroy 2 years after termination of register.</p>	<p>DAA-GRS-2014-0002-0007</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
060	<p><b>Job application packages.</b> 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"> <li>• application</li> <li>• resume</li> <li>• supplemental forms</li> <li>• other attachments</li> </ul> <p><b>Note:</b> 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>	<b>Temporary.</b> Destroy 1 year after date of submission.	DAA-GRS-2014-0002-0011	
070	<p><b>Case files on lost or exposed job test materials.</b> 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>	<b>Temporary.</b> Destroy 5 years after date of final report.	DAA-GRS-2014-0002-0012	
080	<p><b>Requests for non-competitive personnel action.</b> 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>	<b>Temporary.</b> Destroy 1 year after approval is granted or denied.	DAA-GRS-2014-0002-0013	
090	<p><b>Interview records.</b> Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:</p> <ul style="list-style-type: none"> <li>• copies of records in the job vacancy case file (item 050 and 051)</li> <li>• notes of interviews with selected and non-selected candidates</li> <li>• reference check documentation</li> </ul> <p><b>Legal citations:</b> 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>	<b>Temporary.</b> 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><b>Political appointment (Schedule C) records.</b> 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>	<b>Records (except ethics pledges and waivers) related to appointees.</b>	<b>Temporary.</b> 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"> <li>• applications for employment</li> <li>• resumes</li> </ul>	authorized if required for business use.	
101	<ul style="list-style-type: none"> <li>• individuals' background information</li> <li>• ethics pledges and waivers</li> <li>• security clearances</li> </ul>	<b>Ethics pledges and waivers of appointees.</b> File in appointee's Official Personnel File, per Executive Order 13490.	
102	<ul style="list-style-type: none"> <li>• correspondence</li> <li>• other documentation relating to the selection, clearance, and appointment of political appointees</li> </ul> <p><b>Exclusion:</b> 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><b>Legal authorities:</b> 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	<b>Records related to non-appointees.</b> <b>Temporary.</b> 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><b>Excepted service appointment records.</b> 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"> <li>• application, attachments, and supplemental forms</li> <li>• documentation of eligibility for excepted service appointment</li> <li>• proof of special qualifications</li> <li>• resume or other proof of employment, education, or relevant experience</li> <li>• proof of disability issued by a licensed medical professional</li> <li>• certification of job readiness</li> <li>• notice of appointment, terms, and acceptance</li> </ul> <p><b>Note:</b> Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p>	<p><b>Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).</b></p> <p><b>Supersedes:</b> GRS 1, item 40 (N1-GRS-93-2, item 1)</p>	<b>Temporary.</b> Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.  DAA-GRS-2014-0002-0018

Item	Records Description		Disposition Instruction	Disposition Authority	
111	<b>Legal authorities:</b> 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.		<b>Case files related to all other appointees.</b>	<b>Temporary.</b> Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.	DAA-GRS-2014-0002-0019
120	<b>Special hiring authority program records.</b> 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.		<b>Temporary.</b> Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016	
130	<b>Records related to individual employees hired under special temporary authority.</b> Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.		<b>Temporary.</b> 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	<b>Pre-appointment files.</b> Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	<b>Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions.</b> 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		<b>Records appropriate for inclusion in OPF.</b> Such as designation of beneficiary, life insurance election, and health benefits registration.	<b>Records concerning prospective employees who enter on duty.</b>	Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142			<b>Records concerning prospective employees who do not enter on duty.</b>	<b>Temporary.</b> Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009
143	<b>Copies of records included in Job vacancy case file (items 050 or 051).</b>		<b>Temporary.</b> Destroy after prospective employee enters on duty, declines	DAA-GRS-2014-0002-0010	

Item	Records Description	Disposition Instruction	Disposition Authority
		appointment, or is no longer a candidate.	
150	<p><b>Records of delegation of authority for examination and certification.</b>            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.</p> <p><b>Exclusion:</b> OPM's records are not covered by this item.</p>	<p><b>Temporary.</b> Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0002-0021
160	<p><b>Delegated authority audits.</b>            Reports of delegated examining operations audit delivered to the audited agency.</p> <p><b>Exclusion:</b> OPM's records are not covered by this item.</p>	<p><b>Temporary.</b> Destroy when 3 years old but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0002-0022

## GENERAL RECORDS SCHEDULE 2.2: Employee Management Records

This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Employee management administrative records.</b> Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> <li>• reports, including annual reports to the Department of State concerning the number of official passports issued and related matters</li> <li>• reports from subordinate units regarding statistics and other reporting measures</li> <li>• general correspondence with internal agency offices and with OPM</li> <li>• general correspondence with travelers regarding official passport application procedures and documentation requirements</li> <li>• statistics, including lists of official passport holders</li> </ul> <p><b>Exclusion:</b> Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0001</p>
020	<p><b>Workforce and succession planning records.</b> Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> <li>• planning and analysis models</li> <li>• planning data</li> <li>• briefing materials</li> <li>• studies and surveys</li> <li>• lists of functions and staff at key locations</li> </ul> <p><b>Exclusion:</b> Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>	<p><b>Temporary.</b> Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
030	<p><b>Employee incentive award records.</b> Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.</p> <p><b>Exclusion:</b> Records of Department-level awards require agency-specific schedules.</p>	<p><b>Temporary.</b> Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0003</p>	
040	<p><b>Official Personnel Folder (OPF)/electronic OPF (eOPF).</b> The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history.</p> <p><b>Exclusion:</b> Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p>	<p><b>Long-term records.</b> Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.</p> <p><b>Exclusion:</b> OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.</p>	<p><b>Temporary.</b> Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0004</p>
041	<p><b>Exclusion:</b> Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> <p><b>Note 1:</b> For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p><b>Note 2:</b> Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.</p>	<p><b>Short-term records.</b> Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p><b>Exclusion:</b> USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.</p>	<p><b>Temporary.</b> Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.</p>	<p>DAA-GRS-2017-0007-0005</p>

Item	Records Description		Disposition Instruction	Disposition Authority
050	<p><b>Notifications of personnel actions.</b> Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.</p> <p><b>Exclusion:</b> SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.</p>		<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0007-0006</p>
060	<p><b>Employment eligibility verification records.</b> Employment Eligibility Verification form I-9 and any supporting documentation.</p>		<p><b>Temporary.</b> Destroy 3 years after employee separates from service or transfers to another agency.</p>	<p>DAA-GRS-2017-0007-0007</p>
070	<p><b>Employee performance file system records.</b> Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.</p> <p><b>Exclusion:</b> Performance records</p>	<p><b>Acceptable performance appraisals of non-senior executive service employees.</b> Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p><b>Exclusion:</b> Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p><b>Legal citation:</b> 5 CFR Part 293.404</p>	<p><b>Temporary.</b> Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0008</p>
071	<p><b>Exclusion:</b> Performance records</p>	<p><b>Unacceptable performance appraisals of non-senior executive service employees.</b> Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p> <p><b>Legal citations:</b> 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p>	<p><b>Temporary.</b> Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2017-0007-0009</p>

Item	Records Description		Disposition Instruction	Disposition Authority
072	<p>of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p>	<p><b>Records of senior executive service employees.</b> Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p><b>Exclusion:</b> Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p><b>Legal citation:</b> 5 CFR Part 293.404</p>	<p><b>Temporary.</b> Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0010</p>
073		<p><b>Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</b> Superseded performance records of both non-senior executive service employees and senior executive service employees.</p> <p><b>Legal citation:</b> 5 CFR Part 293.404</p>	<p><b>Temporary.</b> Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2017-0007-0011</p>
080	<p><b>Supervisors' personnel files.</b> Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p><b>Exclusion 1:</b> Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.</p> <p><b>Exclusion 2:</b> Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.</p>		<p><b>Temporary.</b> Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p>	<p>DAA-GRS-2017-0007-0012</p>

Item	Records Description		Disposition Instruction	Disposition Authority	
090	<p><b>Records related to official passports.</b> The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p> <p><b>Exclusion:</b> Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>		<p><b>Application records.</b> Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> <li>• copies of passport and visa applications</li> <li>• passport and visa requests</li> <li>• special invitation letters</li> <li>• visa authorization numbers</li> <li>• courier receipts</li> <li>• copies of travel authorizations</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0013</p>
091	<p><b>Official passport registers.</b> Registers and lists of agency personnel who have official passports.</p>		<p><b>Temporary.</b> Destroy when superseded or obsolete.</p>	<p>DAA-GRS-2017-0007-0014</p>	
092	<p><b>Official passports of transferred or separated agency personnel.</b></p>		<p>Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.</p>	<p>None; filing instruction only.</p>	
100	<p><b>Volunteer service program administrative records.</b> Records documenting routine administration, internal procedures, and general activities, including:</p> <ul style="list-style-type: none"> <li>• general correspondence</li> <li>• annual reports on volunteer activities</li> </ul>		<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0015</p>	
110	<p><b>Volunteer service case files.</b> Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include:</p> <ul style="list-style-type: none"> <li>• volunteer agreements documenting position title, office title, duty location, days/hours on duty</li> <li>• parental approval forms</li> </ul>	<p><b>Case files on volunteers.</b></p> <p><b>Exclusion:</b> Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.</p>	<p><b>Temporary.</b> Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0016</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
111	<ul style="list-style-type: none"> <li>• performance evaluations</li> <li>• training information</li> <li>• certificates of appreciation</li> <li>• correspondence documenting inclusive dates of service and total hours or days worked</li> </ul>	<p><b>Case files on individuals whose applications were rejected or withdrawn.</b></p>	<p><b>Temporary.</b> Destroy when 1 year old.</p> <p>DAA-GRS-2017-0007-0017</p>
120	<p><b>Skill set records.</b> Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p> <p><b>Exclusion:</b> Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0007-0018</p>

## GENERAL RECORDS SCHEDULE 2.3: Employee Relations Records

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.

Item	Records Description		Disposition Instruction	Disposition Authority
010	<p><b>Alternative Dispute Resolution (ADR) records.</b></p> <p>ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to</p>	<p><b>ADR program files.</b></p> <p>This item refers to the program management and routine activities of offices running ADR processes. Includes:</p> <ul style="list-style-type: none"> <li>• program-related correspondence (excludes case-related correspondence)</li> <li>• copies of statutes, regulations</li> <li>• meeting minutes</li> <li>• final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended</li> <li>• copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices)</li> <li>• evaluation records of the ADR program</li> <li>• other records relating to the agency's overall administration of its ADR program</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0007-0001</p>
011		<p><b>ADR case files - Informal process.</b></p> <p>This item includes records that are not associated with another employee dispute, complaint or grievance process. Includes:</p> <ul style="list-style-type: none"> <li>• agreements to use ADR</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after case is closed, but longer disposition is</p>	<p>DAA-GRS-2015-0007-0002</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).</p> <ul style="list-style-type: none"> <li>• documentation of the settlement or discontinuance of the ADR case</li> <li>• parties' written evaluations of the process and/or the neutral third party mediator</li> <li>• correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program)</li> </ul>		authorized if required for business use.	
012	<p><b>ADR case files - Formal process.</b> This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances). Includes:</p> <ul style="list-style-type: none"> <li>• agreements to use ADR</li> <li>• documentation of the settlement or discontinuance of the ADR case</li> <li>• parties' written evaluations of the process and/or the neutral third party mediator</li> <li>• correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs)</li> </ul>		<b>Temporary.</b> Destroy 7 years after case is closed, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0003
020	<p><b>Reasonable accommodation records.</b> Includes Information created and maintained while receiving, coordinating, reviewing, processing, approving, and</p>	<p><b>Reasonable accommodation program files.</b> Administrative records not linked to a case file. Includes:</p> <ul style="list-style-type: none"> <li>• instructions</li> <li>• directives</li> <li>• notices</li> <li>• timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation</li> <li>• reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance</li> <li>• notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices</li> </ul>	<b>Temporary.</b> Destroy 3 years after being superseded, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0004

Item	Records Description		Disposition Instruction	Disposition Authority
021	reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.	<p><b>Reasonable accommodation employee case files.</b> Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:</p> <ul style="list-style-type: none"> <li>• request approvals and denials</li> <li>• notice of procedures for informal dispute resolution or appeal processes, including ADR processes</li> <li>• forms</li> <li>• correspondence</li> <li>• emails</li> <li>• policy guidance documents</li> <li>• records of oral conversations</li> <li>• medical records</li> <li>• supporting notes and documentation</li> </ul>	<b>Temporary.</b> Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0005
030	<b>Equal Employment Opportunity (EEO) records.</b>	<p><b>EEO program files.</b> General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.</p>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0006
031		<p><b>EEO official discrimination complaint case files – Informal process.</b> Cases resolved within the agency that did not go to the formal process stage. Includes:</p> <ul style="list-style-type: none"> <li>• intake sheet</li> <li>• summary report</li> <li>• notes</li> <li>• supporting documentation</li> <li>• correspondence</li> </ul>	<b>Temporary.</b> Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0007

Item	Records Description		Disposition Instruction	Disposition Authority
	<p><b>Note:</b> If a formal case is filed, all records in the prior informal case are covered by Item 032.</p>			
032	<p><b>EEO official discrimination complaint case files – Formal process.</b> Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court.</p> <p><b>Note:</b> This item includes all records gathered in the informal process which become the formal process case file once a formal complaint is filed.</p>		<p><b>Temporary.</b> Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0008
033	<p><b>EEO case files that did not result in an EEO complaint.</b> Includes cases that did <b>not</b> result in an official formal or informal EEO complaint.</p>		<p><b>Temporary.</b> Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0009
034	<p><b>EEO compliance review files.</b> Reviews, background documents, and correspondence relating to contractor employment practices.</p>		<p><b>Temporary.</b> Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0010
035	<p><b>EEO reports and employment statistics files.</b> Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.</p>		<p><b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0011
040	<p><b>Anti-harassment records.</b> Records related to harassment outside of</p>	<p><b>Anti-harassment program files.</b> Includes:</p> <ul style="list-style-type: none"> <li>• program administration</li> <li>• correspondence</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after being superseded or obsolete, but longer retention is</p>	DAA-GRS-2015-0007-0012

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p><b>Note:</b> Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p> <ul style="list-style-type: none"> <li>• program implementation records</li> <li>• reports and responses to oversight agencies and senior level management</li> </ul> <p><b>Exclusion:</b> This item does not apply to government-wide program oversight records created and received by OPM and EEOC.</p>		authorized if required for business use.	
041	<p>orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p><b>Note:</b> Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p>	<p><b>Anti-harassment complaint case files.</b> Includes:</p> <ul style="list-style-type: none"> <li>• correspondence</li> <li>• notes</li> <li>• relevant forms</li> <li>• supporting material</li> <li>• background information documentation documents relating to the agency investigation</li> <li>• statements of witnesses</li> <li>• documents relating to management’s determination as to whether harassment occurred</li> <li>• documentation of preventive or corrective measures taken by the agency</li> <li>• documents of interim or intermediate measures taken by the agency</li> <li>• other related records</li> </ul> <p><b>Exclusion:</b> Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including union grievance procedures), and reporting to the Office of Inspector General, are excluded from this series and should be included instead with the related case file.</p>	<b>Temporary.</b> Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0013
050	<p><b>Labor management relations agreement negotiation records.</b> Records relating to negotiations with labor unions. Includes:</p>	<b>Office(s) responsible for negotiations.</b>	<b>Temporary.</b> Destroy 5 years after expiration of agreement, but longer	DAA-GRS-2015-0007-0014

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• negotiation agreements</li> <li>• requests to bargain</li> </ul>		retention is authorized if required for business use.	
051	<ul style="list-style-type: none"> <li>• bargaining session records/notes</li> <li>• correspondence</li> <li>• memoranda</li> </ul>		<b>Temporary.</b> Destroy when no longer needed for business use.	DAA-GRS-2015-0007-0015
052	<ul style="list-style-type: none"> <li>• reports</li> <li>• forms</li> <li>• other records relating to the negotiated agreements and general relationship between management, employee unions and other groups</li> </ul>		<b>Temporary.</b> Destroy 5 years after final resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0016
060	<p><b>Administrative grievance, disciplinary, and adverse action files.</b></p> <p><b>Note:</b> OPM has determined that agencies may decide how long, within the range of 4 to 7 years, administrative grievance, adverse action and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention</p>	<p><b>Administrative grievance files.</b> Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes:</p> <ul style="list-style-type: none"> <li>• grievance documents (copy of original grievance submission and supporting documentation/evidence)</li> <li>• statements of witnesses</li> <li>• reports of interviews and hearings</li> <li>• examiner's findings and recommendations</li> <li>• copy of the original decision</li> <li>• related correspondence and exhibits</li> </ul> <p><b>Exclusion:</b> Item excludes EEO complaints and negotiated grievances by bargaining unit employees.</p>	<b>Temporary.</b> Destroy no sooner than 4 years but no less than 7 years after case is closed.	DAA-GRS-2015-0007-0017
061		<p><b>Adverse action files.</b> Case files and records related to effected adverse actions against employees. Includes:</p> <ul style="list-style-type: none"> <li>• copy of the proposed adverse action</li> <li>• supporting documents</li> <li>• statements of witnesses</li> </ul>	<b>Temporary.</b> Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0018

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>period, between 4 and 7 years. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p>	<ul style="list-style-type: none"> <li>• employee's reply</li> <li>• hearing notices</li> <li>• reports</li> <li>• decisions</li> <li>• appeal records</li> <li>• supporting documentation of letters of reprimand</li> </ul> <p><b>Exclusion:</b> Excludes letters of reprimand which are filed in the OPF.</p>		
062		<p><b>Performance-based action files.</b> Case files and records related to effected performance based actions against employees. Includes:</p> <ul style="list-style-type: none"> <li>• performance appraisal</li> <li>• performance improvement plan</li> <li>• supporting documents</li> <li>• copy of the proposed performance-based action</li> <li>• employee's reply</li> <li>• decision notices</li> <li>• hearing notices</li> <li>• appeal records</li> </ul>	<p><b>Temporary.</b> Destroy no sooner than 4 years but no later than 7 years after case is closed.</p>	DAA-GRS-2015-0007-0023
070	<p><b>Displaced employee program files.</b></p> <p><b>Exclusion:</b> These items do not apply to the Department of Defense.</p>	<p><b>Displaced employee program files.</b> Includes:</p> <ul style="list-style-type: none"> <li>• program related correspondence</li> <li>• program implementation records</li> <li>• reporting and tracking files sent to oversight agencies such as OPM, and to senior level management</li> <li>• control files</li> <li>• information collected about displaced employees</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after being superseded, but longer disposition is authorized if required for business use.</p>	DAA-GRS-2015-0007-0019
071		<p><b>Displaced employee program application records.</b> Includes:</p> <ul style="list-style-type: none"> <li>• applications</li> </ul>	<p><b>Temporary.</b> Destroy when employee is no longer eligible for</p>	DAA-GRS-2015-0007-0020

Item	Records Description		Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• registrations</li> <li>• forms</li> <li>• data</li> <li>• other related documentation</li> </ul>	displaced employee programs, but longer retention is authorized if required for business use.	
080	<b>Telework /alternate worksite records.</b>	<p><b>Telework/alternative worksite program files.</b> Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:</p> <ul style="list-style-type: none"> <li>• correspondence</li> <li>• notes</li> <li>• policy implementation documents</li> <li>• form development files</li> <li>• planning records</li> <li>• program evaluation documentation/data</li> <li>• reports provided to senior management and oversight agencies such as OPM</li> <li>• other related records generated by the agency or by participating employees</li> </ul>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0021
081		<p><b>Forms, requests, or applications to participate in telework/alternate worksite programs.</b> Includes:</p> <ul style="list-style-type: none"> <li>• agreements between the agency and the employee</li> <li>• records such as questionnaires relating to the safety of the worksite</li> <li>• forms, checklists and similar records regarding the installation and use of equipment, hardware, and software</li> <li>• the use of secure, classified information or data subject to the Privacy Act, or agencies' Personally Identifiable Information policies</li> </ul> <p><b>Note:</b> "End of employee participation" in the disposition instruction refers to if employee leaves telework entirely, is rejected, denied, or barred from telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment.</p>	<b>Temporary.</b> Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0022

## GENERAL RECORDS SCHEDULE 2.4: Employee Compensation and Benefits Records

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
<b>Payroll</b>			
010	<p><b>Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.</b></p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• additions to paychecks <ul style="list-style-type: none"> <li>○ child care subsidies</li> <li>○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number)</li> <li>○ other additions</li> </ul> </li> <li>• deductions from paychecks <ul style="list-style-type: none"> <li>○ insurance</li> <li>○ retirement accounts (e.g. Thrift Savings Plan, <i>my</i> Retirement Account, etc.)</li> <li>○ flexible spending accounts, such as medical savings and dependent care assistance</li> <li>○ union dues</li> <li>○ Combined Federal Campaign</li> <li>○ garnishments (IRS form 668A—Notice of Levy—and similar records)</li> <li>○ Treasury bond purchases</li> <li>○ other deductions</li> </ul> </li> <li>• authorizations for deposits into bank accounts</li> <li>• changes or corrections to previous transactions either at paying agency or payroll processor</li> </ul>	<p><b>Temporary.</b> Destroy 2 years after employee separation or retirement, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p><b>Tax withholding and adjustment documents.</b> Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.</p> <p><b>Legal citation:</b> IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.</p>	<p><b>Temporary.</b> Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0002</p>
030	<p><b>Time and attendance records.</b> Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.</p> <p><b>Legal citation:</b> 29 U.S.C. 516.5a</p>	<p><b>Temporary.</b> Destroy after GAO audit or when 3 years old, whichever is sooner.</p>	<p>DAA-GRS-2016-0015-0003</p>
040	<p><b>Agency payroll record for each pay period.</b> Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.</p> <p><b>Legal citation:</b> 5 U.S.C. 8466</p>	<p><b>Temporary.</b> Destroy when 56 years old.</p>	<p>DAA-GRS-2016-0015-0004</p>
050	<p><b>Wage and tax statements.</b> Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.</p> <p><b>Legal citations:</b> Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).</p>	<p><b>Temporary.</b> Destroy when 4 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0005</p>

Item	Records Description		Disposition Instruction	Disposition Authority
060	<b>Payroll program administrative records.</b> Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.	<b>Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.</b>	<b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0006
061		<b>Payroll system reports providing fiscal information on agency payroll.</b>	<b>Temporary.</b> Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0007
<b>Compensation and Benefits Administrative Program Records</b>				
070	<b>Donated leave program administrative records.</b> Records related to managing the program, including: <ul style="list-style-type: none"> <li>• records of leave bank management</li> <li>• records of leave bank governing board award decisions</li> <li>• publicity and program announcements</li> <li>• statistical and narrative reports</li> <li>• similar records not linked to individual employee participation</li> </ul>		<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0008
071	<b>Donated leave program individual case files.</b> Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.		<b>Temporary.</b> Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0009
080	<b>Wage survey files.</b> Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys;		<b>Temporary.</b> Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention	DAA-GRS-2016-0015-0010

Item	Records Description	Disposition Instruction	Disposition Authority	
	development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	is authorized if required for business use.		
090	<p><b>Incentive package records.</b> Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.</p>	<p><b>Temporary.</b> Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0011	
100	<p><b>Workers' Compensation (personnel injury compensation) records.</b> Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:</p>	<p><b>Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.</b></p>	<p><b>Temporary.</b> Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.</p>	DAA-GRS-2016-0015-0012
101	<ul style="list-style-type: none"> <li>• forms, reports, correspondence, claims</li> <li>• medical and investigatory records</li> <li>• administrative determinations or court rulings</li> <li>• payment records</li> </ul> <p><b>Exclusion 1:</b> Copies filed in the Employee Medical Folder.</p> <p><b>Exclusion 2:</b> Records created and maintained by the Department of Labor's Office of Workers' Compensation.</p>	<p><b>Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.</b></p>	<p><b>Temporary.</b> Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.</p>	DAA-GRS-2016-0015-0013
110	<p><b>Requests for health benefits under spouse equity.</b> Applications and related papers. If applications are denied, may include denial</p>	<p><b>Successful applications, including those denied and successfully appealed.</b></p>	<p>Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
111	<p>letters, appeal letters, and court orders.</p> <p><b>Denied applications.</b></p>	<b>Temporary.</b> Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014
120	<p><b>Child care subsidy program administrative records.</b> Records related to managing the program, including:</p> <ul style="list-style-type: none"> <li>• determining amount of subsidy available to employees</li> <li>• verifying child care centers' accreditation</li> <li>• tracking funds disbursed to individual child care centers</li> <li>• publicity and program announcements</li> <li>• statistical and narrative reports</li> <li>• similar records not linked to individual employee participation</li> </ul>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0015
121	<p><b>Child care subsidy program individual case files.</b> Case files of individual employee participation in child care subsidy programs, such as:</p> <ul style="list-style-type: none"> <li>• enrollment documentation</li> <li>• applications and supporting documents</li> <li>• eligibility verification (employment, proof of income)</li> <li>• records of other subsidies the employee received</li> <li>• agreements between agencies and employees</li> <li>• notice of approval or denial of participation in program</li> <li>• child care provider information</li> </ul>	<b>Temporary.</b> Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0016
130	<p><b>Transportation subsidy program administrative records.</b> Records related to managing the program, including:</p> <ul style="list-style-type: none"> <li>• determining subsidy amount available to employees</li> <li>• publicity and program announcements</li> <li>• records of program-wide benefit delivery and receipt</li> <li>• statistical and narrative reports</li> <li>• similar records not linked to individual employee participation</li> </ul>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0017
131	<p><b>Transportation subsidy program individual case files.</b> Case files of individual employee participation in transportation subsidy programs, such as:</p> <ul style="list-style-type: none"> <li>• applications and supporting documents</li> </ul>	<b>Temporary.</b> Destroy 2 years after employee participation concludes, but longer	DAA-GRS-2016-0015-0018

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• eligibility verification</li> <li>• notice of approval or denial of participation in program</li> <li>• participant training documentation</li> <li>• periodic estimates of transit expenses</li> <li>• record of individual benefit delivery and receipt</li> <li>• de-enrollment documents</li> <li>• settlement of outstanding debts by employee or Government when employee leaves program</li> </ul>	retention is authorized if required for business use.	
140	<p><b>Family Medical Leave Act program administrative records.</b> Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.</p> <p><b>Legal citation:</b> 29 CFR 825.500</p>	<b>Temporary.</b> Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0019
141	<p><b>Family Medical Leave Act program individual case files.</b> Includes:</p> <ul style="list-style-type: none"> <li>• employee eligibility to participate in program</li> <li>• eligibility notice given to employee</li> <li>• notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them</li> <li>• medical certifications</li> <li>• employee identification data</li> <li>• records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid</li> <li>• leave request, approval/non-approval</li> <li>• leave records</li> <li>• records of premium payments of employee benefits</li> <li>• records of disputes between employers and eligible employees regarding designation of leave as FMLA leave</li> <li>• periodic reports of employee status and intent to return to work</li> </ul> <p><b>Legal citation:</b> 29 CFR 825.500</p>	<b>Temporary.</b> Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0020

## GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

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

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

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

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

## GENERAL RECORDS SCHEDULE 2.6: Employee Training Records

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

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

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

## GENERAL RECORDS SCHEDULE 2.8: Employee Ethics Records

This schedule covers records documenting the activities of executive branch agency ethics program offices.

Records *not* covered by this schedule: Records pertaining to legislative branch and judicial branch 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.

Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. 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 4.1, *Tracking and Control Records*. Master Lists that are used for purposes other than 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. For ethics training records, see GRS 2.6, *Employee Training Records*.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>General ethics program records.</b> Records created and maintained to coordinate and manage an agency’s ethics program. Records relate 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. Includes:</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Determinations, including advice and counseling to individual employees, and supporting records.</li> <li>• Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.</li> </ul>	<p><b>Temporary.</b> Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0006-0001
020	<p><b>Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files.</b> Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of</p>	<p><b>Temporary.</b> Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is</p>	DAA-GRS-2014-0005-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, <i>Notification of Conflict of Interest Referral</i> .		authorized if required for business use.	
030	<b>Reports of payments accepted from non-Federal sources.</b>	<p><b>Agency reports.</b> Reports, including the “Semiannual Report of Payments Accepted from a Non-Federal Source,” submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). 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.</p>	<b>Temporary.</b> Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0003
031		<p><b>Supporting documentation.</b> Documentation, such as statements and forms, used to complete the submitted reports.</p>	<b>Temporary.</b> Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0004
040	<p><b>Office of Government Ethics program questionnaire records.</b> Questionnaires completed by ethics officials, such as the “Annual Agency Ethics Program Questionnaire,” the “Annual Agency Ethics Officer (DAEO) Survey,” and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.</p>		<b>Temporary.</b> Destroy 3 years after submission, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0005
050	<p><b>Ethics program review records.</b> 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. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.</p>		<b>Temporary.</b> Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0006

Item	Records Description		Disposition Instruction	Disposition Authority
060	<p><b>Public financial disclosure reports.</b> Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p>	<p><b>Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR 2634.603</p>	<p><b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0007</p>
061		<p><b>All other reports.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR part 2634.603</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0008</p>
062		<p><b>Periodic transaction reports.</b> OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p><b>Legal Citation:</b> STOCK Act, Pub. L. 112-105</p>	<p><b>Temporary.</b> Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0009</p>

Item	Records Description		Disposition Instruction	Disposition Authority
063	<p><b>Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105(b)(2)</p>		<p><b>Temporary.</b> Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0010</p>
070	<p><b>Confidential financial disclosure reports.</b> Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE</p>	<p><b>Reports for individuals not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	<p><b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0011</p>
071	<p>Optional Form 450-A), and related records.</p>	<p><b>All other reports.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0012</p>

Item	Records Description		Disposition Instruction	Disposition Authority
072	<p><b>OGE Optional Form 450-A reports.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604, 5 CFR 2634.905</p> <p><b>Note:</b> The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The “supporting OGE Form 450” cannot be destroyed until the last OGE Form 450-A report is ready for destruction.</p>		<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0013
080	<p><b>Alternative or additional financial disclosure reports and related records.</b></p>	<p><b>Reports for individuals not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105</p>	<p><b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0014
081		<p><b>All other reports.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0015

Item	Records Description	Disposition Instruction	Disposition Authority	
090	<p><b>Financial disclosure supporting documentation.</b> Supporting documentation used to review and verify the filer’s report submission. Includes records such as:</p> <ul style="list-style-type: none"> <li>• reviewer’s notes</li> <li>• background research reports</li> <li>• memorialized verbal comments of filer in response to reviewer questions</li> </ul>	<p><b>Temporary.</b> Destroy at the same time an individual’s related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.</p>	DAA-GRS-2014-0005-0016	
100	<p><b>Ethics agreements records.</b> Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:</p> <ul style="list-style-type: none"> <li>• review of recusals, resignations, reassignments, and divestitures</li> <li>• determinations</li> <li>• authorizations</li> <li>• waivers</li> <li>• waivers of disqualifications</li> </ul> <p><b>Note:</b> Ethics Pledges and associated waiver certifications are filed in the political appointee’s Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): <i>Prescribing Standards of Ethical Conduct for Government Officers and Employees.</i></p>	<p><b>Agreements for employees who do not file financial disclosure reports.</b></p>	<p><b>Temporary.</b> Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	DAA-GRS-2014-0005-0017
101	<p><b>Note:</b> Ethics Pledges and associated waiver certifications are filed in the political appointee’s Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): <i>Prescribing Standards of Ethical Conduct for Government Officers and Employees.</i></p>	<p><b>Agreements for employees who file financial disclosure reports.</b></p>	<p><b>Temporary.</b> Destroy at the same time as the employee’s last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	DAA-GRS-2014-0005-0018

## GENERAL RECORDS SCHEDULE 3.1: General Technology Management Records

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

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

Item	Records Title/Description		Disposition Instruction	Disposition Authority
001	<p><b>Technology management administrative records.</b> Records on day-to-day, routine information technology management. Records include:</p> <ul style="list-style-type: none"> <li>• correspondence</li> <li>• subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making</li> <li>• data calls</li> <li>• operational and managerial guidance to organizational segments of the agency</li> </ul> <p><b>Exclusion:</b> This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule.</p>		<p><b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2016-0013-0002</p>
010	<p><b>Information technology development project records.</b></p>	<p><b>Infrastructure project records.</b> Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:</p> <ul style="list-style-type: none"> <li>• maintaining network servers, desktop computers, and other hardware,</li> <li>• installing and upgrading network operating systems and shared applications, and</li> <li>• providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.</li> </ul>	<p><b>Temporary.</b> Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0006</p>

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	<p>Includes records such as:</p> <ul style="list-style-type: none"> <li>• installation and testing records</li> <li>• installation reviews and briefings</li> <li>• quality assurance and security review</li> <li>• requirements specifications</li> <li>• technology refresh plans</li> <li>• operational support plans</li> <li>• test plans</li> <li>• models, diagrams, schematics, and technical documentation</li> </ul> <p><b>Exclusion:</b> Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.</p> <p><b>Note:</b> Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p>			
011	<p><b>System development records.</b> These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:</p> <ul style="list-style-type: none"> <li>• project plans</li> <li>• feasibility studies</li> <li>• cost analyses</li> <li>• requirements documents</li> <li>• compliance documents including: <ul style="list-style-type: none"> <li>○ Privacy Threshold Analyses (PTAs)</li> <li>○ Privacy Impact Assessments (PIAs)</li> </ul> </li> </ul>		<p><b>Temporary.</b> Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if</p>	<p>DAA-GRS-2013-0005-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>○ Security Plan</li> <li>○ Information Protection Plan</li> <li>● change control records</li> <li>● Project Schedule</li> <li>● Plan of Action and Milestones (POA&amp;M)</li> <li>● Configuration Management Plan</li> <li>● Resource Management Plan</li> <li>● Risk Assessment/Mitigation Plan</li> <li>● Security Plan</li> <li>● Disaster Recovery Plan</li> <li>● Test /Acceptance Plan</li> <li>● Quality Control Plan</li> <li>● Deployment Guide</li> <li>● User Guide</li> <li>● Training Guide</li> </ul> <p><b>Exclusion:</b> This item does not apply to system data or content.</p> <p><b>Note 1:</b> For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.</p> <p><b>Note 2:</b> This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.</p>	required for business use.	
012	<p><b>Special purpose computer programs and applications.</b> Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.</p>	<b>Temporary.</b> Delete when related master file or database has been	DAA-GRS-2013-0005-0008

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<p><b>Exclusion 1:</b> This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.</p> <p><b>Exclusion 2:</b> This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.</p> <p><b>Note:</b> Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.</p>	deleted, but longer retention is authorized if required for business use.	
020	<p><b>Information technology operations and maintenance records.</b> Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>• files identifying IT facilities and sites</li> <li>• files concerning implementation of IT facility and site management</li> <li>• equipment support services provided to specific sites: <ul style="list-style-type: none"> <li>○ reviews</li> <li>○ site visit reports</li> <li>○ trouble reports</li> <li>○ equipment service histories</li> <li>○ reports of follow-up actions</li> <li>○ related correspondence</li> </ul> </li> <li>• inventories of IT assets, network circuits, and building or circuitry diagrams</li> <li>• equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices</li> </ul>	<b>Temporary.</b> Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0004

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• requests for service</li> <li>• work orders</li> <li>• service histories</li> <li>• workload schedules</li> <li>• run reports</li> <li>• schedules of maintenance and support activities</li> <li>• problem reports and related decision documents relating to the software infrastructure of the network or system</li> <li>• reports on operations               <ul style="list-style-type: none"> <li>○ measures of benchmarks</li> <li>○ performance indicators</li> <li>○ critical success factors</li> <li>○ error and exception reporting</li> <li>○ self-assessments</li> <li>○ performance monitoring</li> <li>○ management reports</li> </ul> </li> <li>• website administration               <ul style="list-style-type: none"> <li>○ frames</li> <li>○ templates</li> <li>○ style sheets</li> <li>○ site maps</li> <li>○ codes that determine site architecture</li> <li>○ change requests</li> <li>○ site posting logs</li> <li>○ clearance records</li> <li>○ requests for correction of incorrect links or content posted</li> <li>○ requests for removal of duplicate information</li> <li>○ user logs</li> <li>○ search engine logs</li> <li>○ audit logs</li> </ul> </li> <li>• records to allocate charges and track payment for software and services</li> </ul>		

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<p><b>Note 1:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p><b>Note 2:</b> Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.</p>		
030	<p><b>Configuration and Change Management Records.</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 records such as:</p> <ul style="list-style-type: none"> <li>• data and detailed reports on implementation of systems, applications and modifications</li> <li>• application sizing, resource and demand management records</li> <li>• documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes</li> <li>• documentation of software distribution (including COTS software license management files) and release or version management</li> </ul> <p><b>Note 1:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p><b>Note 2:</b> Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>Note 3:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	<p><b>Temporary.</b> Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0005-0005
040	<p><b>Information technology oversight and compliance records.</b> Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:</p>	<p><b>Temporary.</b> Destroy 5 years after the project/activity/</p>	DAA-GRS-2013-0005-0010

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• recurring and special reports</li> <li>• responses to findings and recommendations</li> <li>• reports of follow-up activities</li> <li>• statistical performance data</li> <li>• metrics</li> <li>• inventory of web activity</li> <li>• web use statistics</li> <li>• comments/feedback from web site or application users</li> <li>• internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act</li> <li>• system availability reports</li> <li>• target IT architecture reports</li> <li>• systems development lifecycle handbooks</li> <li>• computer network assessments and follow-up documentation</li> <li>• vulnerability assessment reports</li> <li>• assessment and authorization of equipment</li> <li>• Independent Verification and Validation (IV&amp;V) reports</li> <li>• contractor evaluation reports</li> <li>• quality assurance reviews and reports</li> <li>• market analyses and performance surveys</li> <li>• benefit-cost analyses</li> <li>• make vs. buy analysis</li> <li>• reports on implementation of plans</li> <li>• compliance reviews</li> <li>• data measuring or estimating impact and compliance</li> </ul> <p><b>Note:</b> Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.</p>	<p>transaction is completed or superseded, but longer retention is authorized if required for business use.</p>	

Item	Records Title/Description		Disposition Instruction	Disposition Authority
050	<p><b>Data administration records.</b></p> <p>Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic</p>	<p><b>Documentation necessary for preservation of permanent electronic records.</b></p> <p>Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:</p> <ul style="list-style-type: none"> <li>• data/database dictionary records</li> <li>• data systems specifications</li> <li>• file specifications</li> <li>• code books</li> <li>• record layouts</li> <li>• metadata</li> <li>• user guides</li> <li>• output specifications</li> </ul> <p><b>Note 1:</b> Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>Note 2:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	<p><b>Permanent.</b></p> <p>Transfer to the National Archives with the permanent electronic records to which the documentation relates.</p>	<p>DAA-GRS-2013-0005-0002</p>
051	<p>Records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic</p>	<p><b>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</b></p> <p>Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including</p> <ul style="list-style-type: none"> <li>• data/database dictionary records</li> <li>• data systems specifications</li> <li>• file specifications</li> <li>• code books</li> <li>• record layouts</li> <li>• metadata</li> <li>• user guides</li> <li>• output specifications</li> </ul> <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p> <ul style="list-style-type: none"> <li>• software operating manuals</li> <li>• data standards</li> </ul>	<p><b>Temporary.</b></p> <p>Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention</p>	<p>DAA-GRS-2013-0005-0003</p>

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

## GENERAL RECORDS SCHEDULE 3.2: Information Systems Security Records

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

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p><b>Systems and data security records.</b> These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as:</p> <ul style="list-style-type: none"> <li>• System Security Plans</li> <li>• Disaster Recovery Plans</li> <li>• Continuity of Operations Plans</li> <li>• published computer technical manuals and guides</li> <li>• examples and references used to produce guidelines covering security issues related to specific systems and equipment</li> <li>• records on disaster exercises and resulting evaluations</li> <li>• network vulnerability assessments</li> <li>• risk surveys</li> <li>• service test plans</li> <li>• test files and data</li> </ul>	<p><b>Temporary.</b> Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.</p>	DAA-GRS-2013-0006-0001
020	<p><b>Computer security incident handling, reporting and follow-up records.</b> A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as:</p> <ul style="list-style-type: none"> <li>• reporting forms</li> <li>• reporting tools</li> <li>• narrative reports</li> </ul>	<p><b>Temporary.</b> Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0006-0002

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> <li>background documentation</li> </ul> <p><b>Note:</b> Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.</p>			
030	<p><b>System access records.</b> These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:</p> <ul style="list-style-type: none"> <li>user profiles</li> </ul>	<p><b>Systems not requiring special accountability for access.</b> These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0006-0003</p>
031	<ul style="list-style-type: none"> <li>log-in files</li> <li>password files</li> <li>audit trail files and extracts</li> <li>system usage files</li> <li>cost-back files used to assess charges for system use</li> </ul> <p><b>Exclusion 1.</b> Excludes records relating to electronic signatures.</p> <p><b>Exclusion 2.</b> Does not include monitoring for agency mission activities such as law enforcement.</p>	<p><b>Systems requiring special accountability for access.</b> These are user identification records associated with systems which are highly sensitive and potentially vulnerable.</p>	<p><b>Temporary.</b> Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0006-0004</p>
040	<p><b>System backups and tape library records.</b> Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p>	<p><b>Incremental backup files.</b></p>	<p><b>Temporary.</b> Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</p>	<p>DAA-GRS-2013-0006-0005</p>
041		<p><b>Full backup files.</b></p>	<p><b>Temporary.</b> Destroy</p>	<p>DAA-GRS-</p>

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

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

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

## 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.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p><b>Tracking and control records.</b> Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes:</p> <ul style="list-style-type: none"> <li>• indexes                      • inventories</li> <li>• lists                              • logs</li> <li>• registers</li> </ul> <p><b>Exclusion 1:</b> 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.</p> <p><b>Exclusion 2:</b> 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.</p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>DAA-GRS-2013-0002-0016</p>
020	<p><b>Records management program records.</b> 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:</p> <ul style="list-style-type: none"> <li>• providing oversight of entire records management program</li> <li>• transferring, destroying, and retrieving records</li> <li>• inventorying records and conducting records surveys</li> <li>• scheduling records</li> <li>• 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)</li> <li>• conducting records "clean out" days</li> <li>• conducting special projects</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• agency records management program surveys or evaluations</li> </ul>	<p><b>Temporary.</b> 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.</p>	<p>DAA-GRS-2013-0002-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• reports of surveys or evaluations</li> <li>• reports of corrective action taken in response to agency program surveys or evaluations</li> <li>• disposal authorizations, schedules, and reports</li> <li>• records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority)</li> <li>• SF 135, Records Transmittal and Receipt</li> <li>• OF 11, Reference Request</li> <li>• Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States</li> </ul> <p><b>Exclusion:</b> 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.</p>		
030	<p><b>Vital or essential records program records.</b> Records involved in planning, operating, and managing the agency’s vital or essential records program. Includes:</p> <ul style="list-style-type: none"> <li>• vital records inventories</li> <li>• vital records cycling plans</li> <li>• results of tests, surveys, or evaluations</li> <li>• reports of corrective action taken in response to agency vital records tests</li> </ul>	<b>Temporary.</b> 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	<p><b>Copies of vital records.</b> Copies of agency records deemed essential to restore agency functions in case of emergency.</p>	<b>Temporary.</b> Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
040	<p><b>Forms management records.</b> 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:</p> <ul style="list-style-type: none"> <li>• registers or databases used to record and control the numbers and other identifying data assigned to each form</li> <li>• 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</li> <li>• background materials and specifications</li> </ul>	<b>Temporary.</b> 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

## GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

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

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

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

Item	Records Description	Disposition Instruction	Disposition Authority
032	<p><b>Records relating to classified or controlled unclassified document containers.</b> Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.</p> <p><b>Note:</b> Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p>	<p><b>Temporary.</b> Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0002-0003</p>
040	<p><b>Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR.</b> Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:</p> <ul style="list-style-type: none"> <li>• forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request</li> <li>• inventories of controlled records</li> <li>• forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data</li> <li>• agent and researcher files</li> </ul>	<p><b>Temporary.</b> Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later; but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0002-0004</p>
050	<p><b>Privacy Act accounting of disclosure files.</b> Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:</p> <ul style="list-style-type: none"> <li>• forms with the subject individual's name</li> <li>• records of the requester's name and address</li> <li>• explanations of the purpose for the request</li> <li>• date of disclosure</li> <li>• proof of subject individual's consent</li> </ul>	<p><b>Temporary.</b> Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.</p>	<p>NC1-64-77-1 item 27</p>

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

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

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

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

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

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

**This schedule was entirely superseded by GRS 5.1, item 020, and GRS 5.2, item 020 in July 2017. See Disposition Authority column for details.**

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

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

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p><del>Hardcopy or analog input/source records.</del></p> <p>The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be included are:</p>	<p><del>Hardcopy or analog input/source records previously scheduled as temporary.</del></p> <p>Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p><del>Temporary.</del></p> <p>Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0001</p> <p><b>Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</b></p>
011	<p><del>Hardcopy or analog input/source records previously scheduled as permanent.</del></p> <p>Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards.</p> <ul style="list-style-type: none"> <li>• hardcopy forms used for data input</li> <li>• hardcopy documents that are scanned into an electronic recordkeeping system</li> <li>• hardcopy or analog still</li> </ul>	<p><del>Hardcopy or analog input/source records previously scheduled as permanent.</del></p> <p>Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards.</p>	<p><del>Temporary.</del></p> <p>Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful</p>	<p>DAA-GRS-2013-0001-0002</p> <p><b>Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-</b></p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>pictures, sound recordings, motion picture film, or video recordings that were previously scheduled as temporary</p>	<p><b>Exclusion:</b> The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule:</p> <ul style="list-style-type: none"> <li>● Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format.</li> <li>● Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</li> <li>● Hardcopy records that are not incorporated in their entirety into an electronic system.</li> <li>● Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.</li> </ul> <p><b>Legal citations:</b> 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p>conversion, but longer retention is authorized if required for business use.</p>	<p>0002)</p>
012		<p><b>Hardcopy or analog input/source records not previously scheduled.</b> Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p><b>Exclusion 1:</b> Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</p> <p><b>Exclusion 2:</b> Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p><b>Exclusion 3:</b> Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.</p>	<p><b>Temporary.</b> Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0003 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	Not media neutral. Applies to hardcopy or analog records only.			
020	<p><b>Electronic input/source records.</b> Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:</p> <ul style="list-style-type: none"> <li>• electronic files that duplicate information from a source electronic system for input into another electronic system</li> <li>• electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions)</li> <li>• 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</li> <li>• 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</li> </ul> <p><b>Exclusion 1:</b> Original electronic records maintained in the source system.</p> <p><b>Exclusion 2:</b> Electronic input records required for audit and legal purposes.</p> <p><b>Exclusion 3:</b> Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.</p> <p>Not media neutral. Applies to electronic records only.</p>		<p><b>Temporary.</b> Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0004 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>
030	<p><b>Output records.</b> Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not</p>	<p><b>Ad hoc reports.</b> Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p><b>Exclusion 1:</b> Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0005 Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<p><del>created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system.</del></p>			
031	<p><del><b>Exclusion 1:</b> Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</del></p> <p><del><b>Exclusion 2:</b> Any hardcopy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</del></p>	<p><del><b>Exclusion 2:</b> Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA approved schedule that covers the series in which they are filed.)</del></p> <p><b>Data file outputs:</b> Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including:</p> <ul style="list-style-type: none"> <li>• data files consisting of summarized or aggregated information (See exclusions)</li> <li>• electronic files consisting of extracted information (See exclusions)</li> <li>• print file (electronic files extracted from a master file or database without changing it and used solely to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports)</li> <li>• technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions)</li> </ul> <p><b>Exclusion 1:</b> Data files that are created as disclosure free files to allow public access to the data.</p> <p><b>Exclusion 2:</b> Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed.</p> <p><b>Exclusion 3:</b> Data extracts produced by an extraction process which changes the informational content of the source master file or database.</p> <p><b>Exclusion 4:</b> Technical reformat files created for transfer to NARA.</p>	<p><del><b>Temporary.</b> Destroy when business use ceases.</del></p>	<p><del>DAA-GRS-2013-0001-0006</del> Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p><b>Exclusion 5:</b> Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012).</p> <p>Not media neutral. Applies to electronic records only.</p>		
040	<p><b>Non-recordkeeping copies of electronic records.</b></p> <p>Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:</p> <ul style="list-style-type: none"> <li>• documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent</li> <li>• senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to a recordkeeping system or otherwise preserved</li> <li>• electronic spreadsheets</li> <li>• digital video or audio files</li> <li>• digital maps or architectural drawings</li> <li>• copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves</li> </ul> <p><b>Note 1:</b> Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.</p> <p><b>Note 2:</b> For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p> <p>Not media neutral. Applies to electronic records only.</p>	<p><b>Temporary.</b> Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0007 <b>Superseded by GRS 5.1, item 020 (DAA-GRS-2016-0016-0002)</b></p>

## GENERAL RECORDS SCHEDULE 4.4: Library Records

Agency library and information centers collect material related to their agency’s mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library’s administration and daily operations. This schedule does not cover nonrecord material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Library administrative records.</b> Records documenting a library’s planning and management. Records may document library policies, procedures, and statistics. Includes records such as:</p> <ul style="list-style-type: none"> <li>• strategic plans, project plans</li> <li>• policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material</li> <li>• promotional material describing library services and resources</li> <li>• correspondence and records on library staffing and relations with other libraries</li> <li>• quick guides to library databases and resources , topical or customized reading lists, and bibliographies</li> </ul> <p><b>Note:</b> For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.</p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.</p>	<p>DAA-GRS-2015-0003-0001</p>
020	<p><b>Library operations records.</b> Records documenting the daily activities of running a library. Includes:</p> <ul style="list-style-type: none"> <li>• reference inquiries and responses</li> <li>• correspondence and records about normal cataloging, circulation, and document delivery activities</li> <li>• visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms</li> <li>• photocopying and digitization requests</li> </ul>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2015-0003-0002</p>
030	<p><b>Inter Library-Loan (ILL) requests.</b></p>	<p><b>Temporary.</b> Destroy 5 years after completing the transaction.</p>	<p>DAA-GRS-2015-0003-0003</p>

## GENERAL RECORDS SCHEDULE 5.1: Common Office Records

This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established. The only mission-related records this schedule covers are non-recordkeeping copies of electronic records (item 020) that are maintained for decision-making purposes or taking action. Copies maintained solely for convenience of reference are considered non-record materials. This schedule may be applied to records in offices that carry out mission-related activities, but only those records that are described here.

This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and the records covered in this schedule is that the records here generally have a longer period of business use than transitory records. This schedule also does not cover materials an agency determines to be non-record or personal.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Administrative records maintained in any agency office.</b></p> <p>Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:</p> <ul style="list-style-type: none"> <li>• staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)</li> <li>• office-level administrative policies and procedures and files related to their development (see Note 1)</li> <li>• calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level)</li> <li>• informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)</li> <li>• internal office activity and workload reports</li> <li>• studies and analyses of office administrative functions and activities</li> <li>• non-mission related management reviews and surveys</li> <li>• minutes of meetings related to administrative activities</li> </ul> <p><b>Exclusion 1:</b> This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2016-0016-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p><b>Note 1:</b> This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.</p>		
020	<p><b>Non-recordkeeping copies of electronic records.</b> Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:</p> <ul style="list-style-type: none"> <li>• documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent</li> <li>• senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments</li> <li>• electronic spreadsheets</li> <li>• digital still pictures or posters</li> <li>• digital video or audio files</li> <li>• digital maps or architectural drawings</li> <li>• copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves</li> </ul> <p><b>Note 1:</b> Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records.</p> <p><b>Note 2:</b> For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p>	<p><b>Temporary.</b> Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0016-0002
030	<p><b>Records of non-mission related internal agency committees.</b> Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include:</p> <ul style="list-style-type: none"> <li>• meeting minutes, summaries, agendas, and transcripts</li> </ul>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	DAA-GRS-2016-0016-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• reports and studies</li> <li>• membership records</li> <li>• correspondence, mailing, and distribution records</li> </ul> <p><b>Exclusion:</b> These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records.</p> <p><b>Note:</b> Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.</p>		

## GENERAL RECORDS SCHEDULE 5.2: Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

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

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Transitory records.</b> Records required only for a short time (generally less than 180 days) <b>and</b> that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• messages coordinating schedules, appointments, and events</li> <li>• transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments</li> <li>• received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees</li> <li>• messages received from agency distribution lists or listservs</li> <li>• “to-do” or task lists and assignments</li> </ul>	<p><b>Temporary.</b> Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>	<p>DAA-GRS-2017-0003-0001</p>
020	<p><b>Intermediary records.</b> Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:</p> <ul style="list-style-type: none"> <li>• non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and</li> </ul>	<p><b>Temporary.</b> Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.</p>	<p>DAA-GRS-2017-0003-0002</p>

	<p>calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.</p> <ul style="list-style-type: none"> <li>• audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)</li> <li>• dictation recordings</li> <li>• input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:             <ul style="list-style-type: none"> <li>○ hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)</li> <li>○ electronic input source records such as transaction files or intermediate input/output files</li> </ul> </li> <li>• ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report</li> <li>• data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2)</li> </ul> <p><b>Exclusion 1:</b> This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unclassified, the agency must submit a schedule for them.</p> <p><b>Exclusion 2:</b> This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):</p> <ul style="list-style-type: none"> <li>• files created only for public access purposes</li> <li>• summarized information from unclassified electronic records or inaccessible permanent records</li> <li>• data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original</li> <li>• data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)</li> </ul>		
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	<p><b>Note 1:</b> An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.</p> <p><b>Legal citations:</b> 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>		
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## GENERAL RECORDS SCHEDULE 5.3: Continuity and Emergency Planning Records

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

This schedule does not include the following:

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

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

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

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

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

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

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

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

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

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

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

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

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

Item	Records Description	Disposition Instruction	Disposition Authority
	<b>Exclusion:</b> Original formal accident and incident investigation records (covered under GRS 5.6).		

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

This schedule covers records related to:

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

This schedule specifically excludes certain records from coverage:

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

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

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

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

## GENERAL RECORDS SCHEDULE 5.6: Security Records

This schedule covers records about protecting an organization’s personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.

Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers.

Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.

Item	Records Description		Disposition Instruction	Disposition Authority
010	<p><b>Security administrative records.</b> Records about routine facility security, protective services, and personnel security program administration. Includes:</p> <ul style="list-style-type: none"> <li>• status reports on cleared individuals and other reports</li> <li>• staffing level and work planning assessments, such as guard assignment records</li> <li>• standard operating procedures manuals</li> </ul>		<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0001</p>
020	<p><b>Key and card access accountability records.</b> Records accounting for keys and electronic access cards.</p>	<p><b>Areas requiring highest level security awareness.</b> Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p><b>Temporary.</b> Destroy 3 years after return of key, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0002</p>
021	<p><b>All other facility security areas.</b> Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>		<p><b>Temporary.</b> Destroy 6 months after return of key, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0003</p>
030	<p><b>Uniform and equipment tracking records.</b> Records tracking uniforms and equipment issued to security personnel, including:</p> <ul style="list-style-type: none"> <li>• firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.)</li> <li>• communication devices issued to security personnel such as mobile radios and walkie-talkies</li> <li>• body armor such as bullet-proof vests</li> </ul>		<p><b>Temporary.</b> Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> <li>• police baton and holder</li> <li>• handcuffs and keys</li> </ul>			
040	<p><b>Property pass records.</b> Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.</p>	<p><b>Temporary.</b> Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0005	
050	<p><b>Records of credit card abuse and postal irregularities.</b> Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes:</p> <ul style="list-style-type: none"> <li>• postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail</li> <li>• semi-annual reports on Government charge card violations</li> </ul> <p><b>Exclusion:</b> Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.</p>	<p><b>Temporary.</b> Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0006	
060	<p><b>Unclaimed personal property records.</b> Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:</p> <ul style="list-style-type: none"> <li>• lost-and-found logs and release forms</li> </ul>	<p><b>Records for property valued over \$500.</b></p> <p><b>Legal Citation:</b> 41 CFR 102-41.130</p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0007
061	<ul style="list-style-type: none"> <li>• loss statements</li> <li>• receipts</li> <li>• reports</li> </ul>	<p><b>Records for property valued at \$500 or less.</b></p> <p><b>Legal citation:</b> 41 CFR 102-41.130</p>	<p><b>Temporary.</b> Destroy 30 days after the property is found, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0008
<b>Facility and physical security records.</b>				
070	<p><b>Interagency Security Committee member records.</b> Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:</p> <ul style="list-style-type: none"> <li>• agendas</li> </ul>	<p><b>Temporary.</b> Destroy when 10 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0009	

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• meeting minutes</li> <li>• best practice and standards documents</li> <li>• funding documents for security countermeasures</li> </ul> <p><b>Exclusion:</b> Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.</p>			
080	<p><b>Facility security assessment records.</b> Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes:</p> <ul style="list-style-type: none"> <li>• facility notes</li> <li>• inspector notes and reports</li> <li>• vulnerability assessments</li> </ul>	<p><b>Areas requiring highest level security awareness.</b> Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p><b>Temporary.</b> Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0010
081		<p><b>All other facility security areas.</b> Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p><b>Temporary.</b> Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0011
090	<p><b>Records of routine security operations.</b> Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> <li>• control center key or code records</li> <li>• registers of patrol and alarm services</li> <li>• service reports on interruptions and tests</li> <li>• emergency alarm contact call lists</li> <li>• temporary identification cards</li> <li>• correspondence or lists of facility occupants authorized to enter with a prohibited or</li> </ul>		<p><b>Temporary.</b> Destroy when 30 days old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0012

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>controlled item on an identified date</p> <ul style="list-style-type: none"> <li>• round and perimeter check reports, including facility patrol tour data</li> <li>• surveillance records               <ul style="list-style-type: none"> <li>○ recordings of protective mobile radio transmissions</li> <li>○ video surveillance recordings</li> <li>○ closed circuit television (CCTV) records</li> </ul> </li> <li>• door slip summaries</li> </ul> <p><b>Exclusion:</b> Law enforcement officer-related records, which are covered by agency-specific schedules.</p> <p><b>Note:</b> Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.</p>		
100	<p><b>Accident and incident records.</b> Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes:</p> <ul style="list-style-type: none"> <li>• statements of witnesses</li> <li>• warning notices</li> <li>• records about arrests, commitments, and traffic violations</li> <li>• accident and incident reports</li> <li>• law enforcement agency requests for information</li> </ul> <p><b>Exclusion 1:</b> Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules.</p> <p><b>Exclusion 2:</b> Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.</p> <p><b>Exclusion 3:</b> Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.</p>	<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	DAA-GRS-2017-0006-0013

Item	Records Description		Disposition Instruction	Disposition Authority	
110	<p><b>Visitor processing records.</b> Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.</p>		<p><b>Areas requiring highest level security awareness.</b> Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p><b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0014</p>
111	<p><b>Note:</b> GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.</p>		<p><b>All other facility security areas.</b> Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p><b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0015</p>
120	<p><b>Personal identification credentials and cards.</b> Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p>	<p><b>Application and activation records.</b> Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> <li>• application for identification card</li> <li>• a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected</li> <li>• lost or stolen credential documentation or police report</li> </ul> <p><b>Note:</b> GRS 3.2, Information Systems Security Records, covers applications for access to information systems.</p>	<p><b>Temporary.</b> Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0016</p>	
121	<p><b>Exclusion:</b> Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.</p>	<p><b>Cards.</b></p>	<p><b>Temporary.</b> Destroy after expiration, confiscation, or return.</p>	<p>DAA-GRS-2017-0006-0017</p>	
130	<p><b>Local facility identification and card access records.</b> Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility</p>		<p><b>Temporary.</b> Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance</p>	<p>DAA-GRS-2017-0006-0018</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> <li>• temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance</li> <li>• supplemental cards issued to access elevators</li> <li>• personnel identification records stored in an identity management system for temporary card issuance</li> <li>• parking permits</li> </ul>	<p>due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.</p>	
140	<p><b>Sensitive Compartmented Information Facility (SCIF) accreditation records.</b> Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> <li>• initial Fixed Facility Checklist</li> <li>• pre-accreditation inspection report</li> <li>• Construction Security Plan (CSP)</li> <li>• TEMPEST Checklist</li> </ul>	<p><b>Temporary.</b> Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0019
150	<p><b>Sensitive Compartmented Information Facility (SCIF) inspection records.</b> Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> <li>• Fixed Facility Checklists</li> <li>• accreditation authorization documents</li> <li>• inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation</li> <li>• operating procedures</li> <li>• Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters</li> <li>• memoranda of agreements (MOAs)</li> <li>• Emergency Action Plans</li> <li>• copies of any waivers granted by the Cognizant Security Authority (CSA)</li> <li>• co-utilization approvals</li> </ul>	<p><b>Temporary.</b> Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0020
160	<p><b>Canine (K-9) service records.</b> Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> <li>• acquisition records</li> <li>• breeder and lineage records</li> <li>• vaccination and medical history records</li> <li>• microchip number and identification records</li> </ul>	<p><b>Temporary.</b> Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0021

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>• deficiencies/remedies</li> <li>• training courses taken and resulting grades and certifications</li> <li>• initial report of positive detections and bite incidents</li> <li>• end-of-service documentation (through retirement or death)</li> </ul>			
<b>Personnel security records.</b>				
170	<b>Personnel security investigative reports.</b> Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	<b>Personnel suitability and eligibility investigative reports.</b>	<b>Temporary.</b> Destroy in accordance with the investigating agency instruction.	DAA-GRS-2017-0006-0022
171		<b>Reports and records created by agencies conducting investigations under delegated investigative authority.</b>	<b>Temporary.</b> Destroy in accordance with delegated authority agreement or memorandum of understanding.	DAA-GRS-2017-0006-0023
180	<b>Personnel security and access clearance records.</b> Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: <ul style="list-style-type: none"> <li>• questionnaires</li> <li>• summaries of reports prepared by the investigating agency</li> <li>• documentation of agency adjudication process and final determination</li> </ul> <b>Note:</b> GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.	<b>Records of people not issued clearances.</b> Includes case files of applicants not hired.  <b>Exclusion:</b> Copies of investigative reports covered in items 170 and 171.	<b>Temporary.</b> Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0024
181		<b>Records of people issued clearances.</b>  <b>Exclusion:</b> Copies of investigative reports covered in items 170 and 171.	<b>Temporary.</b> Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0025
190	<b>Index to the personnel security case files.</b> Lists or reports showing the current security clearance status of individuals.		<b>Temporary.</b> Destroy when superseded or obsolete.	DAA-GRS-2017-0006-0026
200	<b>Information security violations records.</b> Case files about investigating alleged violations of executive orders, laws, or agency regulations		<b>Temporary.</b> Destroy 5 years after close of case or final action,	DAA-GRS-2017-0006-

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.</p> <p><b>Exclusion 1:</b> Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.</p> <p><b>Exclusion 2:</b> Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p>whichever occurs sooner, but longer retention is authorized if required for business use.</p>	<p>0027</p>
<b>Insider threat records.</b>			
210	<p><b>Insider threat administrative and operations records.</b> Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> <li>• correspondence related to data gathering</li> <li>• briefing materials and presentations</li> <li>• status reports</li> <li>• procedures, operational manuals, and related development records</li> <li>• implementation guidance</li> <li>• periodic inventory of all information, files, and systems owned</li> <li>• plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> <li>○ independent and self-assessments</li> <li>○ corrective action plans</li> <li>○ evaluative reports</li> </ul> </li> </ul> <p><b>Note:</b> GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.</p>	<p><b>Temporary.</b> Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0028</p>
220	<p><b>Insider threat inquiry records.</b> Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p> <p><b>Exclusion:</b> Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p><b>Temporary.</b> Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0029</p>

Item	Records Description	Disposition Instruction	Disposition Authority
230	<p><b>Insider threat information.</b> Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Counterintelligence and security information <ul style="list-style-type: none"> <li>○ personnel security files</li> <li>○ polygraph examination reports</li> <li>○ facility access records, including visitor records</li> <li>○ security violation files</li> <li>○ travel records</li> <li>○ foreign contact reports</li> <li>○ financial disclosure filings</li> <li>○ referral records</li> <li>○ intelligence records</li> </ul> </li> <li>• Information assurance information <ul style="list-style-type: none"> <li>○ personnel usernames and aliases</li> <li>○ levels of network access</li> <li>○ levels of physical access</li> <li>○ enterprise audit data which is user attributable</li> <li>○ unauthorized use of removable media</li> <li>○ print logs</li> </ul> </li> <li>• Human resources information <ul style="list-style-type: none"> <li>○ personnel files</li> <li>○ payroll and voucher files</li> <li>○ outside work and activities requests</li> <li>○ disciplinary files</li> <li>○ personal contact records</li> <li>○ medical records/data</li> </ul> </li> <li>• Investigatory and law enforcement information <ul style="list-style-type: none"> <li>○ statements of complainants, informants, suspects, and witnesses</li> <li>○ agency, bureau, or department data</li> </ul> </li> <li>• Public information <ul style="list-style-type: none"> <li>○ court records</li> </ul> </li> </ul>	<p><b>Temporary.</b> Destroy when 25 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0030</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>○ private industry data</li> <li>○ personal biographical and identification data, including U.S. Government name check data</li> <li>○ generic open source and social media data</li> </ul> <p><b>Exclusion:</b> Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>		
240	<p><b>Insider threat user activity monitoring (UAM) data.</b> User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:</p> <ul style="list-style-type: none"> <li>● identify and evaluate anomalous activity involving National Security Systems (NSS)</li> <li>● identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders</li> <li>● support authorized inquiries and investigations</li> </ul> <p><b>Exclusion:</b> Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p> <p><b>Legal authority:</b> CNSSD No. 504, 4 February 2014</p>	<p><b>Temporary.</b> Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0031</p>

## GENERAL RECORDS SCHEDULE 5.8: Administrative Help Desk Records

Help desk services are provided by service centers to respond to Government and contract employees' technical and administrative questions. This schedule covers records on managing administrative, technical, and information technology (IT) help desks. It includes records on assistance provided both within the agency and through inter-agency service agreements on functions such as IT help, security, parking, payroll, timekeeping, human resources, etc.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Technical and administrative help desk operational records.</b></p> <ul style="list-style-type: none"> <li>• records of incoming requests (and responses) made by phone, email, web portal, etc.</li> <li>• trouble tickets and tracking logs</li> <li>• quick guides and “Frequently Asked Questions” (FAQs)</li> <li>• evaluations and feedback about help desk services</li> <li>• analysis and reports generated from customer management data</li> <li>• customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports</li> </ul> <p><b>Exclusion:</b> Public customer service records scheduled under GRS 6.5.</p>	<p><b>Temporary.</b> Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>	<p>DAA-GRS-2017-0001- 0001</p>

## GENERAL RECORDS SCHEDULE 6.1: Email Managed under a Capstone Approach

This schedule applies *only* to Federal agencies that implement a Capstone approach as described in this GRS. When implementing this GRS, agencies should consult the FAQs about GRS 6.1, Email Managed under a Capstone Approach. Agencies are reminded that this GRS should not be implemented in isolation, and should be supplemented with agency-wide policies and training, as well as incorporated into agency records management implementation tools, such as manuals and file plans. Agencies adopting a Capstone approach should also consult other resources available from NARA related to email management, specifically the Capstone approach. These resources are available on NARA's [email management page](#) and are summarized in the introduction to the FAQ.

Agencies must not implement this GRS until approval of [NARA form 1005 \(NA-1005\), Verification for Implementing GRS 6.1](#). Additional information, including a link to the form, may be found in FAQ 3 and in the instructions accompanying the form.

### GRS Scope

Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. This GRS may apply to records affiliated with other commonly available functions of email programs such as calendars/appointments, tasks, and chat.

Each agency is responsible for determining the scope of implementation when using Capstone, including, 1) The range of implementation in an organization (agency-wide, specific office, etc.); and 2) The range of implementation regarding email technology and system platforms. Brief information on the scope of an agency's Capstone implementation is also required on NA-1005.

Agencies are also responsible for defining (and documenting through policy) the official recordkeeping version of email to be managed under a Capstone approach, especially when email is captured or retained in multiple locations (e.g., an email archive vs. the live system). All other versions of email can be considered nonrecord, the retention of which should be addressed in agency email policy.

Agencies are expected to apply documented selection criteria to cull the email of Capstone officials (permanent accounts) to the greatest extent possible before transfer to NARA. Culling refers to the removal – or otherwise excluding from capture – of nonrecord, personal, or transitory messages and attachments. Culling typically includes the removal of spam, email blasts received (such as agency-wide communications), and personal materials (such as emails to family members not related to agency business). Culling may be manual, automated, or a hybrid of both. Agencies may develop their own policies and procedures for the culling of temporary accounts.

### Applying this GRS

When applying this GRS in part, agencies must ensure that all other email records are covered by another NARA-approved disposition authority. Agencies NOT managing any of their email under the Capstone approach are still responsible for managing their email by applying NARA-approved records schedules.

If an agency is implementing a Capstone disposition approach different from what is provided in this GRS, the agency must submit a records schedule. For example, an agency may want to narrow the list of required positions in item 010, use shorter retention lengths for temporary records, or extend the time frame for transfer of permanent records.

Agencies have discretion to designate individual email messages, with their attachments as permanent, or as longer-term temporary records that should be crossfiled elsewhere pursuant to agency policies and business needs.

Agencies must transfer to NARA the emails of Capstone officials captured during their tenure as a Capstone official. Therefore, email of Capstone officials created prior to their designation as a Capstone official (e.g., prior to their promotion/rotation into a Capstone position) should be treated as temporary and not transferred to NARA. For guidance on transferring email as a permanent record, see NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records and the relevant sections of [36 CFR Part 1235](#).

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Email of Capstone officials.</b></p> <p>Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual's name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), <i>Verification for Implementing GRS 6.1</i>, and <i>must</i> include, when applicable:</p> <ol style="list-style-type: none"> <li>1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent;</li> <li>2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s);</li> <li>3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s);</li> <li>4. Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides;</li> <li>5. Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s);</li> <li>6. Directors of significant program offices, and/or their equivalent(s);</li> <li>7. Principal regional officials, such as Regional Administrators, and/or their equivalent(s);</li> <li>8. Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General,</li> </ol>	<p><b>Permanent.</b> Cut off in accordance with agency's business needs. Transfer to NARA 15-25 years after cutoff, or after declassification review (when applicable), whichever is later.</p>	<p>DAA-GRS-2014-0001-0001</p>

	<p>etc.;</p> <p>9. Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions); and</p> <p>10. Additional roles and positions that predominately create permanent records related to mission critical functions or policy decisions and/or are of historical significance.</p> <p>This includes those officials in an acting capacity for any of the above positions longer than 60 days. Agencies may also include individual emails from otherwise temporary accounts appropriate for permanent disposition in this category.</p> <p>This item <i>must</i> include all existing legacy email accounts that correlate to the roles and positions described above.</p> <p>If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of these records must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.</p> <p>Please consult NA-1005, for more information on which positions are included within each category.</p> <p>Not media neutral; applies to records managed in an electronic format only.</p> <p><b>Note 1:</b> Cabinet level agencies implementing a Capstone approach that includes their components/operatives must apply the above definition to each component individually. In these cases, each component/operative is considered a separate agency in terms of the above definition of Capstone Officials. A component/operative of a cabinet level agency can implement a Capstone approach independent of their department but must also conform to the entirety of this definition.</p> <p><b>Note 2:</b> Smaller agencies, micro-agencies or Commissions implementing a Capstone approach may find that some of their Capstone positions fall into several of the categories above and/or that they do not have applicable roles or positions for all categories.</p>		
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011	<p><b>Email of Non-Capstone officials.</b> Email of all other officials, staff, and contractors not included in item 010.</p> <p>Not media neutral; applies to records managed in an electronic format only.</p> <p><b>Note:</b> Agencies <i>only</i> using item 011 and/or item 012 of this GRS may not dispose of any email of officials in item 010, Email of Capstone Officials, of this GRS without authority from NARA in the form of another GRS or agency-specific schedule. Submission and approval of NA-1005 is still required in these instances to document those being exempted from Capstone.</p>	<p><b>All others except those in item 012.</b> Includes positions and email not covered by items 010 or 012 of this schedule.</p> <p>This item applies to the majority of email accounts/users within an agency adopting a Capstone approach.</p>	<p><b>Temporary.</b> Delete when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0001-0002
012		<p><b>Support and/or administrative positions.</b> Includes non-supervisory positions carrying out routine and/or administrative duties. These duties comprise general office or program support activities and frequently facilitate the work of Federal agencies and their programs. This includes, but is not limited to, roles and positions that: process routine transactions; provide customer service; involve mechanical crafts, or unskilled, semi-skilled, or skilled manual labor; respond to general requests for information; involve routine clerical work; and/or primarily receive nonrecord and/or duplicative email.</p>	<p><b>Temporary.</b> Delete when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0001-0003

## GENERAL RECORDS SCHEDULE 6.2: Federal Advisory Committee Records

This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments.

If a committee is a Presidential advisory committee, check with the agency’s General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply.

For convenience, the term “committee” is used in this schedule to mean “advisory committee” pursuant to FACA.

Item	Records Description	Disposition Instruction	Disposition Authority
<b>Committee Records</b>			
010	<p><b>Substantive Committee Records (Non-Grant Review Committees)</b></p> <p><b>Exclusion:</b> This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</p> <p>Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include:</p> <ul style="list-style-type: none"> <li>• records related to the establishment of the committee: <ul style="list-style-type: none"> <li>○ charters (original, renewal, re-establishment, and amended)</li> <li>○ enacting legislation</li> <li>○ explanation of committee need, when required</li> <li>○ filing letters to Congress</li> <li>○ organization charts</li> <li>○ committee specific bylaws, standard operating procedures, or guidelines</li> <li>○ any other materials that document the organization and functions of the committee and its components</li> </ul> </li> <li>• records related to committee membership: <ul style="list-style-type: none"> <li>○ memos or similar documentation of how and/or why individual members were selected</li> </ul> </li> </ul>	<p><b>Permanent.</b> Transfer when records are 15 years old or upon termination of committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>○ membership balance plans</li> <li>○ membership rosters</li> <li>○ appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.</li> <li>○ Resignation or termination letters</li> <li>● records of committee meetings and hearings: <ul style="list-style-type: none"> <li>○ agency head's determination that a meeting or portion of a meeting may be closed to the public</li> <li>○ agendas</li> <li>○ materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations</li> <li>○ meeting minutes</li> <li>○ public comments</li> <li>○ testimony received during hearings</li> <li>○ transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020)</li> </ul> </li> <li>● records related to committee findings and recommendations: <ul style="list-style-type: none"> <li>○ one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee</li> <li>○ responses from agency to committee regarding recommendations</li> <li>○ committee presentations or briefings of findings</li> </ul> </li> <li>● records created by committee members: <ul style="list-style-type: none"> <li>○ correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)</li> </ul> </li> <li>● records related to research collected or created by the committee: <ul style="list-style-type: none"> <li>○ records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)</li> <li>○ raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies</li> </ul> </li> <li>● documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): <ul style="list-style-type: none"> <li>○ records relating to the formation of the subcommittee or working group, if they exist</li> </ul> </li> </ul>		

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> <li>▪ decision documents</li> <li>▪ membership</li> <li>▪ statement of purpose or other documentation of duties and responsibilities</li> <li>○ records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to:               <ul style="list-style-type: none"> <li>▪ meeting minutes</li> <li>▪ transcripts</li> <li>▪ reports</li> <li>▪ briefing materials</li> <li>▪ substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer)</li> <li>▪ background materials</li> </ul> </li> <li>• records related to committee termination (i.e., email, letter, memo, etc.).</li> <li>• other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records.</li> </ul> <p><b>Note:</b> Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).</p>		
020	<p><b>Substantive Audiovisual Records (Non-Grant Review Committees)</b></p> <p><b>Exclusion:</b> This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>• audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed</li> <li>• captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings</li> <li>• posters (2 copies) produced by or for the committee</li> </ul>	<p><b>Permanent.</b> Transfer when records are 3 years old or upon termination of committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
030	<p><b>Grant Review Committee Records</b> Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials.</p> <p><b>Note:</b> If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.</p>	<p><b>Temporary.</b> Destroy upon termination of committee.</p>	<p>DAA-GRS-2015-0001-0003</p>
040	<p><b>Committee Accountability Records</b> Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include:</p> <ul style="list-style-type: none"> <li>• travel costs</li> <li>• committee member payments</li> <li>• meeting room costs</li> <li>• contractor costs</li> <li>• Federal Register notice costs</li> </ul> <p><b>Exclusion:</b> Forms filed under the Ethics in Government Act (see note).</p> <p><b>Note:</b> Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).</p>	<p><b>Temporary.</b> Destroy when 6 years old. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0001-0004</p>
050	<p><b>Non-substantive Committee Records</b> Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.</p> <ul style="list-style-type: none"> <li>• drafts and copies of Federal Register notices</li> <li>• audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)</li> <li>• photographs of committee social functions, routine award events, and other non-mission-related</li> </ul>	<p><b>Temporary.</b> Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>activities</p> <ul style="list-style-type: none"> <li>• records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.</li> <li>• routine correspondence: <ul style="list-style-type: none"> <li>○ correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues)</li> <li>○ public requests for information</li> </ul> </li> <li>• Non-substantive committee membership records, including: <ul style="list-style-type: none"> <li>○ Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee</li> <li>○ Member credentials (resumes or biographies)</li> <li>○ Member files (personnel-type records)</li> </ul> </li> <li>• Non-substantive web content</li> </ul> <p><b>Note 1:</b> Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.</p> <p><b>Note 2:</b> Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 4.3, item 040.</p>		
<b>Committee Management Records</b>			
060	<p><b>Committee Management Records</b></p> <p>Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include:</p> <ul style="list-style-type: none"> <li>• agency guidelines</li> <li>• correspondence</li> <li>• requests for approval of committee nominees</li> <li>• copies of records about committees maintained for reporting purposes, such as: <ul style="list-style-type: none"> <li>○ information provided to GSA Secretariat for annual comprehensive reviews</li> <li>○ statistical data files and reports</li> <li>○ annual reports to the Library of Congress describing the agency's compliance with the</li> </ul> </li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0001-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Government in the Sunshine Act</p> <ul style="list-style-type: none"><li>○ financial operating plans and final cost accountings</li></ul> <p><b>Note:</b> This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.</p>		

## GENERAL RECORDS SCHEDULE 6.4: Public Affairs Records

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

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

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

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

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

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

## GENERAL RECORDS SCHEDULE 6.5: Public Customer Service Records

This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll-free numbers), dialogue (via chat), and email.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Public customer service operations records.</b> Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes:</p> <ul style="list-style-type: none"> <li>• incoming requests and responses</li> <li>• trouble tickets and tracking logs</li> <li>• recordings of call center phone conversations with customers used for quality control and customer service training</li> <li>• system data, including customer ticket numbers and visit tracking</li> <li>• evaluations and feedback about customer services</li> <li>• information about customer services, such as “Frequently Asked Questions” (FAQs) and user guides</li> <li>• reports generated from customer management data</li> <li>• complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.</li> </ul> <p><b>Exclusion 1:</b> Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency-specific schedule.</p> <p><b>Exclusion 2:</b> Reports that recommend changes or revisions to an agency’s customer service operation; agencies must schedule these records on an agency-specific schedule.</p>	<p><b>Temporary.</b> Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>	<p>DAA-GRS-2017-0002-0001</p>
020	<p><b>Customer/client records.</b> Distribution lists used by an agency to deliver specific goods or services. Records include:</p> <ul style="list-style-type: none"> <li>• contact information for customers or clients</li> <li>• subscription databases for distributing information such as publications and data sets produced by the agency</li> <li>• files and databases related to constituent and community outreach or relations</li> <li>• sign-up, request, and opt-out forms</li> </ul>	<p><b>Temporary.</b> Delete when superseded, obsolete, or when customer requests the agency to remove the records.</p>	<p>DAA-GRS-2017-0002-0002</p>

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## INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

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

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

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

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

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

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

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

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

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

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

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

## GENERAL RECORDS SCHEDULE 1

### Civilian Personnel Records

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

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

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

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

a. ~~Transferred employees. 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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

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.

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

20. Health Unit Control Files.

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

- a. If information is summarized on statistical report.

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

- b. If information is not summarized.

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

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

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

- (1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

- (2) Separated employees.

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

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

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

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

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

item 21c)

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

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

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

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

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

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

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

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

~~**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)**

c. ~~Supplemental Files~~

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

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

b. Alcohol and Drug Abuse Program.

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

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

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

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

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

- a. ~~General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program. **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-2014-0002-0006)**

~~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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

~~c. Correspondence or notices received from eligibles indicating a change in name, address, or availability. **Superseded by GRS 2.1, item 050 (DAA-GRS-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

~~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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

~~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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

~~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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

~~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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~

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-2014-0002-0006) and GRS**~~

**2.1, item 051 (DAA-GRS-2014-0002-0007)**

- 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-2014-0002-0006) and GRS 2.1, item 051 (DAA-GRS-2014-0002-0007)**~~
- 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.

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

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

a. ~~Health benefits denied, not appealed. **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.

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

- b. Employee acknowledgment of notice forms.

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

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

- c. Selection/scheduling records.

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

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

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

- (1) "Record Books."

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

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

- (2) Chain of custody records.

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

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

e. Test results.

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

(1) Positive results.

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

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

(b) Applicants not accepted for employment.

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

(2) Negative results.

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

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

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

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

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

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

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

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

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

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

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

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

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

## GENERAL RECORDS SCHEDULE 4

### Property Disposal Records

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

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

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

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

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

1. ~~Property Disposal Correspondence Files.~~

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

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

3. ~~Surplus Property Case Files.~~

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

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

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

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

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

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

## GENERAL RECORDS SCHEDULE 5

### Budget Preparation, Presentation, and Apportionment Records

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

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

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

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

1. Budget Correspondence Files.

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

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

2. Budget Background Records.

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

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

3. Budget Reports Files.

Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of fiscal year).

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

b. All other reports.

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

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

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

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

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

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

## GENERAL RECORDS SCHEDULE 6

### ~~Accountable Officers' Accounts Records~~

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

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

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

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

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

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

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

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

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

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

OF 1114 — Bill of Collection

OF 1114A — Official Receipt

OF 1114B — Collection Voucher

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

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

2. — GAO Exceptions Files.

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

3. — Certificates Settlement Files.

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

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

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

4. — General Fund Files.

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

5. — Accounting Administrative Files.

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

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

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

6. — Federal Personnel Surety Bond Files.

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

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

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

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

7. ~~Gasoline Sales Tickets.~~

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

8. ~~Telephone Toll Tickets.~~

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

9. ~~Telegrams.~~

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

10. ~~Administrative Claims Files.~~

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

Destroy when 3 years old. (GRS 13, 1952, item 6a)

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

Destroy 1 year after date of report. (GRS 13, 1952, item 6b)

6. ~~Internal Management Files.~~

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

## GENERAL RECORDS SCHEDULE 14

### Information Services Records

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

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

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

1. Information Requests Files.

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

2. Acknowledgment Files.

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

3. Press Service Files.

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

4. Information Project Files.

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

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

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records. **Superseded 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).  
  
Destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)
  - b. Case files related to (a) above that document aspects of the development of the issuance.

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

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

2. ~~Records Disposition Files.~~

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

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

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

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

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

3. ~~Forms Files.~~

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

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

4. ~~Records Holdings Files.~~

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

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

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

5. Project Control Files.

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

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

6. Reports Control Files.

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

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

~~7. Records Management Files.~~

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

8. Reserved.

~~9. Feasibility Studies.~~

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

~~10. Microform Inspection Records.~~

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

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

11. IRM Triennial Review Files.

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

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

12. Information Collection Budget Files.

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

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

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

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

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

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

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

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

14. Management Control Records.

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

- a. Policy, procedure, and guidance files.

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

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

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

b. Management control plans.

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

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

c. Risk analyses.

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

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

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

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

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

e. Tracking files.

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

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

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

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

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

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

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

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

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

## GENERAL RECORDS SCHEDULE 17

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

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

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

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

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

2. ~~Reserved.~~

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

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

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

5. ~~Contract Negotiation Drawings.~~

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

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

6. ~~Space Assignment Plans.~~

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

7. ~~Reserved.~~

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

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

9. ~~Drawings Reflecting Minor Modifications.~~

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

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

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

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

## GENERAL RECORDS SCHEDULE 18

### ~~Security and Protective Services Records~~

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

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

### **CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS**

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

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

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

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

2. ~~Document Receipt Files.~~

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

3. ~~Destruction Certificates Files.~~

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

4. ~~Classified Document Inventory Files.~~

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

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

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

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

6. ~~Access Request Files.~~

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

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

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

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

**FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS**

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

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

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

~~Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later. **Superseded by GRS 4.3, items 010 (DAA-GRS-2013-0001-0001), 011 (DAA-GRS-2013-0001-0002), and 012 (DAA-GRS-2013-0001-0003)**~~
- b. ~~Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~

- c. ~~Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~
- d. ~~Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~

~~3. Electronic Records That Replace Temporary Hard Copy Records.~~

~~Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)~~

~~a. Scanned images. **Rescinded 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 5.3, item 010 (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. **GRS 20 was entirely superseded by GRS Transmittal 24.**

#### 1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[**Note:** This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[**Note:** Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

4. ~~Legal and Regulatory Compliance Records~~

~~Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. **Superseded by GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)**~~

5. CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[**Note:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. ~~CIO Subject and Office Records~~

~~Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency. **Rescinded per GRS Transmittal 27**~~

~~[**Note:** Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere.]~~

7. ~~Schedules of Daily Activities~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems. **Rescinded per GRS Transmittal 27**~~

~~[**Note:** This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]~~

**GRS 27, Records of the Chief Information Officer**

**Implementation Guide**

ITEM TITLE	TYPES OF RECORDS
<p><b>1. Information Technology (IT) Program Planning Records</b></p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records.</p> <p>[<b>Note:</b> This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]</p>
<p><b>2. Enterprise Architecture Records</b></p> <p>Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency’s baseline or target enterprise architecture (EA).</p> <p>[<b>Note:</b> An “iteration” would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.]</p> <p>[<b>Note:</b> This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.]</p>
<p><b>3. IT Capital Investment Records</b></p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency’s capital investment portfolio; and related clearance and review records.</p> <p>[<b>Note:</b> Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, “Financing of IT Resources and Services,” covers many such records.]</p>

<p><b>4. Legal and Regulatory Compliance Records</b></p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Records of agency-wide compliance with Federal laws and regulations governing information resources management.</p>
<p><b>5. CIO Committee Records</b></p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> <p>[<b>Note:</b> Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]</p>
<p><b>6. CIO Subject and Office Records</b></p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above.</p> <p>[<b>Note:</b> Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, "Files Related to Maintaining the Security of Systems and Data."]</p>
<p><b>7. Schedules of Daily Activities</b></p> <p>Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.</p>	<p>Official calendars, appointment books, schedules, logs, and diaries.</p> <p>[<b>Note:</b> This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]</p>

**Frequently Asked Questions about General Records Schedule 27,  
*Records of the Chief Information Officer***

**1. To whom does General Records Schedule 27 apply?**

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

**2. Does this schedule describe all of the records of Federal CIOs?**

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

**3. How does this schedule differ from GRS 20, *Electronic Records*, and GRS 24, *Information Technology (IT) Operations and Management Records*?**

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

**4. How does GRS 27/4, “Legal and Regulatory Compliance Records,” differ from GRS 24/1, “Oversight and Compliance Files”?**

GRS 27/4 covers CIO records that document an agency’s compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office’s or a system’s compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

**5. Does this schedule cover records related to IT security?**

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, “Legal and Regulatory Compliance Records.” However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, “Files Related to Maintaining the Security of Systems and Data.” Records related to specific security breaches or incidents are covered by GRS 24/7, “Computer Security Incident Handling, Reporting and Follow-up Records.”

**6. Does this schedule cover system data?**

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency’s mission must be scheduled individually by submission of an SF 115 to the National Archives.

**7. Do records have to be arranged in these categories?**

No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

**8. Is this schedule only for paper records?**

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

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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