

DAA-GRS-2016-00xx

**Administrative Records**  
**(Additions to GRS 1.1, 3.1, 4.2)**

This file contains three documents. The draft schedule describes the records proposed for inclusion in this new GRS. The appraisal memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. The crosswalk matches authorities in the draft schedule with current GRS authorities.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

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National Archives and Records Administration  
Office of the Chief Records Officer  
GRS Team  
April 7, 2016

## ADDITIONS TO GRS 1.1, 3.1, and 4.2: ADMINISTRATIVE RECORDS -- **DRAFT**

This schedule provides disposition authorities for general administrative records related to financial management and reporting, technology management, and information access and protection. These items will be integrated into the GRS they relate to upon issuance.

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
1.1	001	<p><b>Financial management and reporting administrative records.</b>  Records related to the management of 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>Supersedes:</b>  GRS 3, item 2 (NC1-64-77-5, item 3) -- <i>2 years</i>  GRS 6, item 5a (NC1-64-77-11, item 5a) -- <i>2 years</i>  GRS 6, items 5b (NC1-64-77-11, item 5b) -- <i>3 years</i>  GRS 7, item 1 (GRS 7, 1952, item 1) -- <i>2 years</i>  GRS 8, item 1 (GRS 8, 1952, item 1) -- <i>2 years</i>  GRS 9, item 4a (N1-GRS-91-3, item 4a) -- <i>2 years</i></p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-20XX-XXXX-0001
3.1	001	<p><b>Technology management administrative records.</b>  Records related to the day-to-day, routine management of information technology</p> <ul style="list-style-type: none"> <li>• correspondence</li> <li>• subject files including briefings, reports, presentations, 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>Note:</b> This item does not apply to the records of the Chief Information Officer.</p>	<p><b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-20XX-XXXX-0002
4.2	001	<p><b>FOIA, Privacy Act, and classified documents administrative records.</b>  Records related to the management of information access and protection activities, including:</p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer</p>	DAA-GRS-20XX-XXXX-0003

		<ul style="list-style-type: none"><li>• correspondence related to FOIA and Privacy Act routine implementation, 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.</p> <p><b>Supersedes:</b> GRS 14, item 15 (N1-GRS-98-2, item 12) -- 2 years GRS 14, item 26 (N1-GRS-98-2, item 13) -- 2 years GRS 18, item 1 (GRS 18, 1960, item 2) -- 2 years</p>	retention is authorized if needed for business use.	
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DRAFT



**Date:** April 6, 2016  
**Appraiser:** Andrea Riley, ACRA  
**Agency:** General Records Schedules (GRS) ***DRAFT***  
**Subject:** DAA-GRS-20XX-00XX

## INTRODUCTION

### Schedule Overview

Addition of Administrative Items by Function

### Additional Background Information

This schedule provides disposition authorities for general administrative records related to administrative activities. It is not intended to expand beyond the scope long established in the GRS for such records, generally labeled as “correspondence files,” although the descriptions sometimes include subject files, reports, forms, and data as well as correspondence. A working group made up of ACRA appraisal archivists, a policy analyst from ACPP, and members of the GRS Team met to discuss how to schedule administrative records in the GRS. We considered creating a single item to be in GRS 5.1 that would supersede the various “correspondence files” items in the current GRS, but realized that such an item—which would include such things as subject files and reports—could be easily misapplied unless it was made clear that the item only applied to administrative functions, such as those covered by other GRS. We decided that there would be much less likelihood of misuse if we put these administrative items in their related GRS instead of having a single item for all GRS. This would also allow for greater customization as needed. The items on this schedule provide authority for administrative items in GRS that have already been issued: GRS 1.1, GRS 3.1, and GRS 4.2.

### Overall Recommendation

I recommend approval of the attached schedule.

## APPRAISAL

### **Item 0001 (GRS 1.1, item 001): Financial management and reporting administrative records.**

This series aggregates a number of previously approved GRS items for routine administrative records related to financial management and reporting. This item can be used to cull electronic messages as they relate to this administrative activity.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary.

GRS 3, item 2 (NC1-64-77-5, item 3) -- 2 years

GRS 6, item 5a (NC1-64-77-11, item 5a) – 2 years

GRS 6, item 5b (NC1-64-77-11, item 5b) -- 3 years

GRS 7, item 1 (GRS 7, 1952, item 1) -- 2 years

GRS 8, item 1 (GRS 8, 1952, item 1) -- 2 years

GRS 9, item 4a (N1-GRS-91-3, item 4a) -- 2 years

**Adequacy of Proposed Retention Period(s):** Adequate from the standpoint of legal rights and accountability. The previous retention for these records ranged from 2 to 3 years. A 3 year retention was selected as it is considered a best practice for retention of administrative electronic messages.

**Media Neutrality:** Requested and approved

**Item 0002 (GRS 3.1, item 001): Technology management administrative records.**

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Has little or no research value. Records are administrative in nature and do not document significant decisions or actions.

**Adequacy of Proposed Retention Period(s):** Adequate from the standpoint of legal rights and accountability. Although this item does not supersede GRS 27, item 6 (N1-GRS-04-4, item 6) (which is to be rescinded with the issuance of GRS 5.1, General Administrative Records), the justification for retaining information technology office files remains valid. The records are retained for 5 years to ensure continuity between administrations.

**Media Neutrality:** Requested and approved

**Item 0003 (GRS 4.2, item 001): FOIA, Privacy Act, and classified documents administrative records.**

This series aggregates three items for administrative records related to FOIA, Privacy Act, and classified documents. This item can be used to cull certain electronic messages described in the item as they relate to an administrative activity.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Previously approved as temporary.

GRS 14, item 15 (N1-GRS-98-2, item 12) -- 2 years

GRS 14, item 26 (N1-GRS-98-2, item 13) -- 2 years

GRS 18, item 1 (GRS 18, 1960, item 2) -- 2 years

**Adequacy of Proposed Retention Period(s):** Adequate from the standpoint of legal rights and accountability. The previous retention for these records was 2 years. The retention was extended to 3 years because it is considered a best practice for retention of administrative electronic messages.

**Media Neutrality:** Requested and approved

ANDREA M. RILEY

Appraiser

**GRS 1.1, 3.1, 4.2 additions**

**Crosswalk**

<b>New GRS</b>				<b>Old GRS</b>			
<b>GRS No.</b>	<b>Item No.</b>	<b>Retention</b>	<b>ERA Number/ Disposition Authority</b>	<b>GRS No.</b>	<b>Item No.</b>	<b>Retention</b>	<b>Disposition Authority</b>
1.1	001	3 years	DAA-GRS-20XX-XXXX-0001	3	2	2 years	NC1-64-77-5, item 3
				6	5a	2 years	NC1-64-77-11, item 5a
				6	5b	3 years	NC1-64-77-11, item 5b
				7	1	2 years	GRS 7, 1952, item 1
				8	1	2 years	GRS 8, 1952, item 1
				9	4a	2 years	N1-GRS-91-3, item 4a
3.1	001	5 years	DAA-GRS-20XX-XXXX-0002	New Item			
4.2	001	3 years	DAA-GRS-20XX-XXXX-0003	14	15	2 years	N1-GRS-98-2, item 12
				14	26	2 years	N1-GRS-98-2, item 13
				18	1	2 years	GRS 18, 1960, item 2