

# DAA-GRS-2013-0007

## Information Access and Protection Records (GRS 4.2)

This file contains four documents. The “ERA Version” of the schedule is the official version as it appears in the Electronic Records Archives. Because many find its presentation—heavily fielded to ERA architecture—difficult to navigate, a “Review Version” is placed first in this package. Both versions contain the same information. 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.

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National Archives and Records Administration  
Office of the Chief Records Officer  
GRS Team  
August 26, 2013

NOTE: This schedule is intended to be used as an alternate review version of a Request for Records Disposition Authority submitted for approval in the Electronic Records Archive (ERA). This version contains the same information that is in ERA with one exception, it has provided hierarchical overview and item numbers. These numbers reflect the manual citation numbers that will appear in the manual version of the GRS published on NARA's website.

## **REQUEST FOR RECORDS DISPOSITION AUTHORITY**

**Records Schedule Number:** DAA-GRS-2013-0007

**Agency or Establishment:** General Records Schedules (National Archives & Records Adm.)

**Records Group:** General Records Schedules

**Records Schedule applies to:** Government-wide

**Schedule Subject:** GRS 4.2 Records of Information Access and Protection

### **Background Information**

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

### **1. General Information Request Files**

Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also copies of replies or referrals elsewhere.

**Disposition:** Temporary. Destroy when 90 days old; but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0001

**Media Neutral:** Yes

**Supersedes:**

N1-GRS-98-1, item 10          GRS 14, item 1  
GRS 14 (1952), items 2, 13    GRS 14, item 2

### **2. Access Request Files**

Original request, reply, copies of requested records, and related supporting files such as sanitizing instructions created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR), Privacy Act (PA), Classification Challenge, and similar access programs, completed by:

- granting the request in full
- granting the request in part
- denying the request

- inability to fulfill request because records do not exist
- inability to fulfill request because request inadequately describes records
- inability to fulfill request because reproduction fees are not paid
- final adjudication on appeal to any of the above original settlements

**Exclusion:** Official file copies of requested records are not covered by this item. They remain covered by their original disposal authority.

**Disposition:** Temporary. Destroy 6 years after final determination by agency or final adjudication, as appropriate; but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0002

**Media Neutral:** Yes

**Supersedes:**

NC1-64-77-1, item 16a1	GRS 14, item 11a1
NC1-64-77-1, item 16a2a	GRS 14, item 11a2a
NC1-64-77-1, item 16a2b	GRS 14, item 11a2b
NC1-64-77-1, item 16a3a	GRS 14, item 11a3a
NC1-64-77-1, item 16a3b	GRS 14, item 11a3b
N1-GRS-87-4, item 17a	GRS 14, item 12a
NC1-64-77-1, item 25a1	GRS 14, item 21a1
NC1-64-77-1, item 25a2a	GRS 14, item 21a2a
NC1-64-77-1, item 25a2b	GRS 14, item 21a2b
NC1-64-77-1, item 25a3a	GRS 14, item 21a3a
NC1-64-77-1, item 25a3b	GRS 14, item 21a3b
N1-GRS-87-7, item 31a1	GRS 14, item 31a1
N1-GRS-87-7, item 31a2a	GRS 14, item 31a2a
N1-GRS-87-7, item 31a2b	GRS 14, item 31a2b
N1-GRS-87-7, item 31a3a	GRS 14, item 31a3a
N1-GRS-87-7, item 31a3b	GRS 14, item 31a3b
N1-GRS-87-7, item 31c	GRS 14, item 31c
N1-GRS-87-7, item 32a	GRS 14, item 32a

**GAO Approval:** Not required.

### 3. Information Access and Protection Program Operation Records

Includes:

- Regular or ad hoc internal reports documenting program implementation<sup>1</sup>
- Safe and padlock combinations; names of individuals that know them
- Records documenting security approved containers access
- Records documenting receipt, internal routing, dispatch and destruction of unclassified records

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<sup>1</sup> See items 7, 17a, and 17b for external reports. (This footnote is not in the ERA version.)

- Records relating to classified or controlled unclassified document containers such as forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security
- Tracking databases and other records used to manage overall program
- Requests and authorizations for individuals to have access to classified files

**Disposition:** Temporary. Destroy 2 years after last form entry, reply, submission, when associated documents are declassified or destroyed, or when authorization expires, whichever is appropriate; but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0003

**Media Neutral:** Yes

**Supersedes:**

N1-GRS-98-2, item 11	GRS 14, item 14
N1-GRS-89-4, item 1	GRS 14, item 25
N1-GRS-98-2, item 14	GRS 14, item 34
N1-GRS-98-2, item 15	GRS 14, item 35
Authority Unknown	GRS 18, item 2
Authority Unknown	GRS 18, item 3
Authority Unknown	GRS 18, item 4
Authority Unknown	GRS 18, item 6
Authority Unknown	GRS 18, item 7a
N1-GRS-93-1, item 7b	GRS 18, item 7b

**GAO Approval:** Not required.

#### 4. Accounting and Control of Access to Classified, Controlled Unclassified, and Unclassified Records.

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:

- Forms, registers, ledgers, logs and tracking systems documenting requester identity and contact information, request date, and nature/purpose of request
- Inventories of controlled records
- Records documenting receipt, internal routing, dispatch and destruction of classified and unclassified-but-controlled records
- Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

**Disposition:** Temporary. Destroy or delete 5 years after date of last entry, final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status) or final adjudication by courts, as may apply, whichever is later; but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0004

**Media Neutral:** Yes

**Supersedes:**

NC1-64-76-3, item 11a	GRS 14, item 13a
NC1-64-76-3, item 11b	GRS 14, item 13b
NC1-64-77-1, item 28a	GRS 14, item 24a
NC1-64-77-1, item 28b	GRS 14, item 24b
N1-GRS-87-7, item 33a	GRS 14, item 33a
N1-GRS-87-7, item 33b	GRS 14, item 33b
Authority Unknown	GRS 18, item 5a
Authority Unknown	GRS 18, item 5b

**GAO Approval:** Not required.

**5. [Current GRS 14, item 23, unchanged.]**

**6. Erroneous Release Records.**

Files relating to the inadvertent release of non-public 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. Files may include the official copy of records requested or copies thereof.

**Disposition:** Temporary. Destroy when related records are destroyed.

**Disposition Authority:** DAA-GRS-2013-0007-0005

**Media Neutral:** Yes

**Supersedes:**

N1-GRS-89-2, item 1a	GRS 14, item 36a
N1-GRS-89-2, item 1b	GRS 14, item 36b

**GAO Approval:** Not required.

**7. Agency/department reports to the Congress, Department of Justice, or other entities regarding FOIA, Mandatory Declassification Review, Privacy Act, and similar access programs.**

Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.

**Disposition:** Temporary. Destroy 2 years after date of report; but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0006

**Media Neutral:** Yes

**GAO Approval:** Required and not received.

**8. Privacy Act Amendment Request 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 or appeal brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g). Records may include the 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.

**Disposition:** Destroy 4 years after close of case (final determination by agency or final adjudication, whichever applies) or with the records for which amendment was requested, whichever is later; but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0007

**Media Neutral:** Yes

**Supersedes:**

NC1-64-77-1, item 26a      GRS 14, item 22a

NC1-64-77-1, item 26b      GRS 14, item 22b

NC1-64-77-1, item 26c      GRS 14, item 22c

**GAO Approval:** Not required.

## 9. Automatic and Systematic Declassification Review Program Records

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 declassification. Files include program records documenting declassification decisions.

**Disposition:** Temporary. Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0008

**Media Neutral:** Yes

**GAO Approval:** Not required.

## 10. Classification Guides

Classification decisions recorded in guides

**Disposition:** Permanent. Close file upon production of a new guide per Executive Order 13526, Section 1.9a. Transfer paper records to the National Archives 30 years after closure. Transfer electronic records as a preaccession to NARA 5 years after closure and as an accession 30 years after closure.

**Disposition Authority:** DAA-GRS-2013-0007-0009

**Media Neutral:** Yes

## 11. Declassification Guides

Records documenting

Interagency Security Classification Appeals Panel (ISCAP).

**Disposition:** Permanent. Close file upon revision of guide. Transfer paper records to the National Archives 30 years after closure. Transfer electronic records as a preaccession to NARA 5 years after closure and as an accession 30 years after closure.

**Disposition Authority:** DAA-GRS-2013-0007-0010

**Media Neutral:** Yes

## 12. Fundamental Classification Guidance Review Files

Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9.

Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).

**Disposition:** Temporary. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0011

**Media Neutral:** Yes

**GAO Approval:** Not required.

## 13. [Current GRS 18, item 25a, unchanged.]

## 14. [Current GRS 18, item 25b, unchanged.]

## 15. Personally Identifiable Information Extracts

System-generated or hard copy printouts generated for business purposes that contain Personally Identifiable Information.

**Disposition:** Temporary. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.

**Disposition Authority:** DAA-GRS-2013-0007-0012

**Media Neutral:** Yes

**GAO Approval:** Not required.

## 16. Personally Identifiable Information Extract Logs

Logs that track the use of PII Abstracts 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.

**Disposition:** Temporary. Destroy when business use ceases.

**Disposition Authority:** DAA-GRS-2013-0007-0013

**Media Neutral:** Yes

**GAO Approval:** Not required.

## 17. Legal and Regulatory Compliance Reporting Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347) Title III (Federal Information Security Management Act) and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. 101.

### a. Annual reports by agency CIO, Inspector General or Senior Agency Official for Privacy.

**Disposition:** Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0014

**Media Neutral:** Yes

**Supersedes:**

N1-GRS-04-4, item 4 GRS 27, item 4

**GAO Approval:** Not required.

### b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).



**Disposition:** Temporary. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.

**Disposition Authority:** DAA-GRS-2013-0007-0015

**Media Neutral:** Yes

**GAO Approval**



## NATIONAL ARCHIVES

**Date:** August 26, 2013  
**Appraiser:** Galen R. Wilson, ACNR  
**Agency:** General Records Schedules (GRS)  
**Subject:** DAA-GRS-2013-0007

AMR 8/26/13

### INTRODUCTION

#### Schedule Overview

GRS 4.2 Records of Information Access and Protection

#### Additional Background Information

This schedule covers records documenting two disparate but related functions: (1) public or internal government access to agency information and (2) agency protection of classified or unclassified controlled information. The schedule fits into the structure of the new GRS as a section of its broad category of records concerning Information Management.

The schedule was developed with discussion from NARA and NASA offices responsible for FOIA and Privacy Act programs; NARA's Information Security Oversight Office and Interagency Security Classification Appeals Panel; and the United States Army, Navy, and Air Force classification/declassification programs. It was also crafted to cover records created in response to Executive Order 13526 (December 29, 2009). Approved individual agency schedules covering records created in carrying out Freedom of Information Act, Privacy Act, and Mandatory Declassification Review programs were reviewed.

This schedule replaces most of current GRS 14 (all items except 1-6, 15, and 26) and GRS 18, items 1-7b, 25a, and 25b.

Three current GRS items will appear in the GRS 4.2 verbatim and retain current authorities. GRS 18, items 25a and 25b (N1-GRS-95-1, items 1a and 1b) will be published as GRS 4.2, items 12 and 13. GRS 14, item 23 (NC1-64-77-1, item 27), will become GRS 4.2, item 4.

#### Overall Recommendation

I recommend approval of this schedule.

### APPRAISAL

#### Item 0001: General Information Request Files

##### Proposed Disposition

Temporary

##### Appropriateness of Proposed Disposition

NATIONAL ARCHIVES *and*  
RECORDS ADMINISTRATION

3150 SPRINGBORO ROAD  
DAYTON, OH 45439-1969  
[www.archives.gov](http://www.archives.gov)

Appropriate

### **Appraisal Justification**

\*Previously approved as temporary:

GRS 14, item 1            N1-GRS-98-1, item 10  
GRS 14, item 2            GRS 14 (1952), items 2, 13

\*Has little or no research value. This item merges two current GRS items whose zero research value has long been recognized by their 90-day retention.

### **Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. The retention period has not changed.

### **Media Neutrality**

Approved

### **Item 0002: Access Request Files.**

#### **Proposed Disposition**

Temporary

#### **Appropriateness of Proposed Disposition**

Appropriate

#### **Appraisal Justification**

\*Previously approved as temporary:

GRS 14, item 11a1        NC1-64-77-1, item 16a1  
GRS 14, item 11a2a        NC1-64-77-1, item 16a2a  
GRS 14, item 11a2b        NC1-64-77-1, item 16a2b  
GRS 14, item 11a3a        NC1-64-77-1, item 16a3a  
GRS 14, item 11a3b        NC1-64-77-1, item 16a3b  
GRS 14, item 12a        N1-GRS-87-4, item 17a  
GRS 14, item 21a1        NC1-64-77-1, item 25a1  
GRS 14, item 21a2a        NC1-64-77-1, item 25a2a  
GRS 14, item 21a2b        NC1-64-77-1, item 25a2b  
GRS 14, item 21a3a        NC1-64-77-1, item 25a3a  
GRS 14, item 21a3b        NC1-64-77-1, item 25a3b

GRS 14, item 31a1        N1-GRS-87-7, item 31a1  
GRS 14, item 31a2a        N1-GRS-87-7, item 31a2a  
GRS 14, item 31a2b        N1-GRS-87-7, item 31a2b  
GRS 14, item 31a3a        N1-GRS-87-7, item 31a3a  
GRS 14, item 31a3b        N1-GRS-87-7, item 31a3b  
GRS 14, item 31c        N1-GRS-87-7, item 31c  
GRS 14, item 32a        N1-GRS-87-7, item 32a

\*Has little or no research value. Newly scheduled are classification challenge files. These differ from the other types of access requests in this item in that they can originate only within an agency, and do not come from the general public. But such requests are processed and adjudicated in a fashion similar to other access request files. Records of such challenges are essentially summarized in the associated classified records themselves, which will bear the history of when and how declassified.

#### **Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. Retention period reflects the statute of limitations. Current retention (2, 3, 5, or 6 years) is linked to whether the request was granted in full or in part, denied, unable to be filled, or appealed/adjudicated. The new disposition extends the retention of many of these records to comply with the statute of limitations (6 years). Offices processing requests emphatically stated two points: (1) a universal retention period tied to the statute of limitations for filing a challenge or appeal is necessary, and (2) segregating case files into smaller units based on the way the file closed is extra labor poorly invested when records are stored electronically. Some agencies have already merged many of these granular items into a unified retention<sup>1</sup>. The new proposed retention assures that records are retained for as long as a requester has the right to challenge or appeal a denial or the adequacy of a positive response.

### **Media Neutrality**

Approved

### **Item 0003: Information Access and Protection Program Operation Records.**

#### **Proposed Disposition**

Temporary

#### **Appropriateness of Proposed Disposition**

Appropriate

#### **Appraisal Justification**

\*Previously approved as temporary:

GRS 14, item 14	N1-GRS-98-2, item 11
GRS 14, item 25	N1-GRS-89-4, item 1
GRS 14, item 34	N1-GRS-98-2, item 14
GRS 14, item 35	N1-GRS-98-2, item 15
GRS 18, item 2	Authority Unknown
GRS 18, item 3	Authority Unknown
GRS 18, item 4	Authority Unknown
GRS 18, item 6	Authority Unknown
GRS 18, item 7a	Authority Unknown
GRS 18, item 7b	N1-GRS-93-1, item 7b

\*Has little or no research value. Newly scheduled in this item are tracking databases. These provide in an electronic environment the same function accomplished by paper records referred to in the superseded items. They bear the same temporary value, having information needed only on a short-term basis.

#### **Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. Retention period is unchanged.

### **Media Neutrality**

Approved

### **Item 0004: Accounting and Control of Access to Classified, Controlled Unclassified, and Unclassified Records.**

<sup>1</sup> See N1-079-08-08 and N1-556-11-01 (both 7 years); and N1-370-08-05, N1-064-07-05, N1-059-10-16, N1-048-08-22, and N1-484-96-01 (all 6 years).

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Previously approved as temporary:

GRS 14, item 13a	NC1-64-76-3, item 11a
GRS 14, item 13b	NC1-64-76-3, item 11b
GRS 14, item 24a	NC1-64-77-1, item 28a
GRS 14, item 24b	NC1-64-77-1, item 28b
GRS 14, item 33a	N1-GRS-87-7, item 33a
GRS 14, item 33b	N1-GRS-87-7, item 33b
GRS 18, item 5a	Authority Unknown
GRS 18, item 5b	Authority Unknown

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. This item simply merges and supersedes eight items in the current GRS concerning records of identical work processes applied to different records, with identical retention periods. There is no change to the retention period.

**Media Neutrality**

Approved

**Item 0005: Erroneous Release Records.**

This item refers to mistaken release of records, such as when John Smith of Albuquerque's military personnel file is mistakenly sent to John Smith of Phoenix. It does not refer to intentional leaks of classified information, however "erroneous" those may be.

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Previously approved as temporary:

GRS 14, item 36a	N1-GRS-89-2, item 1a
GRS 14, item 36b	N1-GRS-89-2, item 1b

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. Retention period (destroy with related records) is slightly altered from the current GRS (6 years or with related files, whichever is longer). Current GRS items assume that records of erroneous releases are a discrete records series. This is no longer the case. Agencies participating in drafting this schedule stated that documentation of erroneous release is simply filed with the released records themselves. In other words, offices no longer document erroneous release in and of itself, but only document individual instances in the context of the actual released records. Tying retention of erroneous release information to the released records means that information will survive as long as the associated records, and no longer.

**Media Neutrality**

Approved

**Item 0006: Agency/department reports to the Congress, Department of Justice, or other entities regarding FOIA, Mandatory Declassification Review, Privacy Act, and similar access programs.**

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\* Has little or no research value. Previously, the GRS stated that agencies must schedule these records independently. Many have done so, with retention periods ranging from 2 years to permanent<sup>2</sup>. Permanent dispositions appear to be linked to the recipient being Congress.

Even though received by Congress, the content of these reports is statistical, not narrative. Government-wide reports consolidating responses from all agencies are specifically excluded from this proposed item, and must be scheduled separately by the summarizing agent as a record of its programs. If these statistics have permanent value, it will be found in the summarized reports covering the entire Federal government in one unified source.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. The proposed retention duplicates the shortest retention period selected by agencies that have scheduled these records independently (see footnote 1, above). Disposition allows agencies to retain records longer if they have a business need to do so.

**Media Neutrality**

Approved

**Item 0007: Privacy Act Amendment Request Files.**

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Previously approved as temporary:

GRS 14, item 22a      NC1-64-77-1, item 26a

GRS 14, item 22b      NC1-64-77-1, item 26b

GRS 14, item 22c      NC1-64-77-1, item 26c

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. This item simply merges and supersedes three current GRS items with retention periods (4 years or 3 years based on how the request was settled). The new retention period (4 years) replaces these with one

<sup>2</sup> See N1-15-92-1, N1-48-10-6, N1-58-97-8, N1-184-06-2, N1-255-94-1, N1-330-08-9, N1-412-07-2, N1-440-09-19, N1-485-94-1, N1-507-93-2, N1-560-03-6 (all permanent); N1543-00-1 (30 years); N1-138-02-2 (10 years); N1-556-11-1 (7 years); N1-431-00-17 (6 years); N1-220-04-8 and N1-522-96-1 (5 years); N1-218-10-5 and N1-474-97-5 (3 years); and N1-58-05-1, N1-218-00-10, N1-408-05-1 and N1-557-05-5 (2 years).

item and uses the longer retention. The additional year's retention for certain case files negates staff time needlessly invested in segregating records by how cases are settled.

**Media Neutrality**

Approved

**Item 0008: Automatic and Systematic Declassification Review Program Records.**

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\* Captured elsewhere in permanent records. Declassification decisions are reflected in the permanent records that are declassified via the process and as a result become available for research.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. Thirty years' retention ensures that records from the declassification activity when records are 25 years old survive until the next declassification round which must happen by the time the records are 50 years old, and again at 75 years of age.

**Media Neutrality**

Approved

**Item 0009: Classification Guides.**

**Item 0010: Declassification Guides.**

These two items are closely related. They differ only by virtue of method to determine that a guide is a closed record whose transfer-to-NARA clock has begun ticking.

**Proposed Disposition**

Permanent

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\* High potential research value. Government secrecy is a "hot" topic among professional and lay historians as well as the general public, and this interest is not likely to soon abate.

\* Documents significant actions of Federal officials. These guides tell a very important story about the Federal government's process in determining what records need to be classified to protect American security.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability.

**Media Neutrality**

Approved

**Item 0011: Fundamental Classification Guidance Review Files.**

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\* Expected to be captured elsewhere in permanent records. Reports received by the Information Security Oversight Office (ISOO) in this relatively new program have not yet been scheduled, but based on ISOO's current comprehensive schedule (N1-64-06-4, item 4c) these records are certainly slated for permanent retention at ISOO. Individual agency reports are not as valuable as the compiled set received and maintained by ISOO.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability.

**Media Neutrality**

Approved

**Item 0012: Personally Identifiable Information Extracts.****Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Has little or no research value. These records are extracts from other records pulled for business purposes but containing Personally Identifiable Information (PII). Potential research value, if any, is held in the original records from which these extracts were taken.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. Their destruction within 90 days is required by OMB Memorandum M-06-16 (June 23, 2006).

**Media Neutrality**

Approved

**Item 0013: Personally Identifiable Information Extract Logs.****Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Has little or no research value.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. These logs, required by OMB Memorandum M-07-16 (May 22, 2007), track records whose retention period is, for the most part, 90 days—but with some exceptions. A flexible retention period of “when business use ceases” allows destruction of records as soon as possible, relative to the retention of the records being tracked.

**Media Neutrality**

Approved

**Item 0014: Legal and Regulatory Compliance Reporting Records: Annual reports by agency CIO, Inspector General or Senior Agency Official for Privacy.****Proposed Disposition**

Temporary



**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Has little or no research value.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. The 5-year retention for these annual reports ensures an agency's ability to analyze its own program for trends, consistency, and identification/resolution of problems.

**Media Neutrality**

Approved

**Item 0015: Legal and Regulatory Compliance Reporting Records: All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).**

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

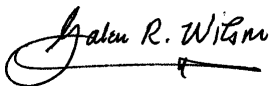
\*Has little or no research value. These reports are further consolidated in the annual reports which are themselves appraised as of temporary value in the previous item.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. OMB Directive M-11-33 (September 14, 2011) refers to monthly and quarterly (as well as annual: see previous item) reporting. Two-year retention provides agencies with an ample cycle of these iterative reports to identify and analyze trends.

**Media Neutrality**

Approved



GALEN R. WILSON  
Senior Records Analyst

Old GRS				New GRS			
GRS No.	Item No.	Retention	Disposition Authority	GRS No.	Item No.	Retention	ERA Number/ Disposition Authority
14	1	3 months	N1-GRS-98-2, item 10	4.2	1	90 days	DAA-GRS-2013-0007-0001
14	2	3 months	GRS 14 (1952), items 2 and 3	4.2	1	90 days	DAA-GRS-2013-0007-0001
14	3	3 months	Authority not found	Rescheduling pending			
14	4	1 year	Authority not found	Rescheduling pending			
14	5	1 year	GRS 14 (1952), item 4	Rescheduling pending			
14	6	3 months	Authority not found	Rescheduling pending			
14	11a1	2 years	NC1-64-77-1, item 16a1	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	11a2a	2 years	NC1-64-77-1, item 16a2a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	11a2b	6 years or 3 years or with related records	NC1-64-77-1, item 16a2b	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	11a3a	6 years	NC1-64-77-1, item 16a3a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	11a3b	6 years or 3 years or with related records	NC1-64-77-1, item 16a3b	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	11b	According to authority for related records	NC1-64-77-1, item 16b	Rescinded			
14	12a	6 years or 3 years	N1-GRS-87-4, item 17a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	12b	With related records	N1-GRS-87-4, item 17b	Rescinded			
14	13a	5 years	NC1-64-76-3, item 11a	4.2	4	5 years	DAA-GRS-2013-0007-0004
14	13b	5 years	NC1-64-76-3, item 11b	4.2	4	5 years	DAA-GRS-2013-0007-0004
14	14	2 years	N1-GRS-98-2, item 11	4.2	2	2 years	DAA-GRS-2013-0007-0003
14	15	2 years	N1-GRS-98-2 item 12	Rescheduling pending			
14	21a1	2 years	NC1-64-77-1, item 25a1	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	21a2a	2 years	NC1-64-77-1, item 25a2a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	21a2b	4 years or 3 years or with related records	NC1-64-77-1, item 25a2b	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	21a3a	5 years	NC1-64-77-1, item 25a3a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	21a3b	4 years or 3 years or with related records	NC1-64-77-1, item 25a3b	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	21b	According to authority for related records	NC1-64-77-1, item 25b	Rescinded			
14	22a	4 years or with related records	NC1-64-77-1, item 26a	4.2	8	4 years	DAA-GRS-2013-0007-0007
14	22b	4 years or 3 years or with related records	NC1-64-77-1, item 26b	4.2	8	4 years	DAA-GRS-2013-0007-0007
14	22c	3 years or with related records	NC1-64-77-1, item 26c	4.2	8	4 years	DAA-GRS-2013-0007-0007
14	23	5 years	NC1-64-77-1 item 27	4.2	5	5 years	NC1-64-77-1 item 27
14	24a	5 years	NC1-64-77-1, item 28a	4.2	4	5 years	DAA-GRS-2013-0007-0004
14	24b	5 years	NC1-64-77-1, item 28b	4.2	4	5 years	DAA-GRS-2013-0007-0004
14	25	2 years	N1-GRS-89-4, item 1	4.2	3	2 years	DAA-GRS-2013-0007-0003
14	26	2 years	N1-GRS-98-2 item 13	Rescheduling pending			
14	31a1	2 years	N1-GRS-87-7, item 31a1	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	31a2a	2 years	N1-GRS-87-7, item 31a2a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	31a2b	4 years or with related records	N1-GRS-87-7, item 31a2b	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	31a3a	5 years	N1-GRS-87-7, item 31a3a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	31a3b	4 years or with related records	N1-GRS-87-7, item 31a3b	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	31b	According to authority for related records	N1-GRS-87-7, item 31b	Rescinded			
14	31c	With related records	N1-GRS-87-7, item 31c	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	32a	4 years	N1-GRS-87-7, item 32a	4.2	2	6 years	DAA-GRS-2013-0007-0002
14	32b	According to authority for related records	N1-GRS-87-7, item 32b	Rescinded			
14	33a	5 years	N1-GRS-87-7, item 33a	4.2	4	5 years	DAA-GRS-2013-0007-0004
14	33b	5 years	N1-GRS-87-7, item 33b	4.2	4	5 years	DAA-GRS-2013-0007-0004
14	34	2 years	N1-GRS-98-2, item 14	4.2	3	2 years	DAA-GRS-2013-0007-0003

Old GRS				New GRS			
GRS No.	Item No.	Retention	Disposition Authority	GRS No.	Item No.	Retention	ERA Number/ Disposition Authority
14	35	2 years	N1-GRS-98-2, item 15	4.2	3	2 years	DAA-GRS-2013-0007-0003
14	36a	6 years or with related records	N1-GRS-89-2, item 1a	4.2	6	With related records	DAA-GRS-2013-0007-0005
14	36b	6 years	N1-GRS-89-2, item 1b	4.2	6	With related records	DAA-GRS-2013-0007-0005
				Rescheduling pending			
18	1	2 years	Authority unknown				
18	2	2 years	Authority unknown	4.2	3	2 years	DAA-GRS-2013-0007-0003
18	3	2 years	Authority unknown	4.2	3	2 years	DAA-GRS-2013-0007-0003
18	4	2 years	Authority unknown	4.2	3	2 years	DAA-GRS-2013-0007-0003
18	5a	5 years	Authority unknown	4.2	4	5 years	DAA-GRS-2013-0007-0004
18	5b	When related document is downgraded, transferred or destroyed	Authority unknown	4.2	4	5 years	DAA-GRS-2013-0007-0004
18	6	2 years	Authority unknown	4.2	3	2 years	DAA-GRS-2013-0007-0003
18	7a	Superseded by new form	Authority unknown	4.2	3	2 years	DAA-GRS-2013-0007-0003
18	7b	3 months	N1-GRS-93-1, item 7b	4.2	3	2 years	DAA-GRS-2013-0007-0003
18	8-24			Rescheduling pending			
18	25a	70 years	N1-GRS-95-1 item 1a	4.2	13	70 years	N1-GRS-95-1 item 1a
18	25b	Apply disposition of OPF	N1-GRS-95-1 item 1b	4.2	14	Apply disposition of OPF	N1-GRS-95-1 item 1b
18	26-29			Rescheduling pending			
				Rescheduling pending			
27	4	5 years	N1-GRS-04-4, item 4	4.2	17a	5 years	DAA-GRS-2013-0007-0014

## Request for Records Disposition Authority

Records Schedule Number      DAA-GRS-2013-0007  
Schedule Status                 Appraiser Working Version

Agency or Establishment        General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group    General Records Schedules

Records Schedule applies to        Government-wide

Schedule Subject                  Records of Information Access and Protection

Internal agency concurrences will be provided      No

Background Information              This schedule covers records created in course of the Federal government (1) responding to requests for access to government information, and (2) protecting information that is classified or controlled unclassified, or contains personal data whose protection is required by law.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
15	2	13	0

### GAO Approval

0006

## Outline of Records Schedule Items for DAA-GRS-2013-0007

Sequence Number	
1	General Information Request Files Disposition Authority Number: DAA-GRS-2013-0007-0001
2	Access Request Files Disposition Authority Number: DAA-GRS-2013-0007-0002
3	Information Access and Protection Program Operation Records Disposition Authority Number: DAA-GRS-2013-0007-0003
4	Accounting and Control of Access to Classified, Controlled Unclassified, and Unclassified Records. Disposition Authority Number: DAA-GRS-2013-0007-0004
5	Erroneous Release Records Disposition Authority Number: DAA-GRS-2013-0007-0005
6	Agency/department reports to the Congress, Department of Justice, or other entities regarding FOIA, Mandatory Declassification Review, Privacy Act, and similar access programs Disposition Authority Number: DAA-GRS-2013-0007-0006
7	Privacy Act Amendment Request Files Disposition Authority Number: DAA-GRS-2013-0007-0007
8	Automatic and Systematic Declassification Review Program Records Disposition Authority Number: DAA-GRS-2013-0007-0008
9	Classification Guides Disposition Authority Number: DAA-GRS-2013-0007-0009
10	Declassification Guides Disposition Authority Number: DAA-GRS-2013-0007-0010
11	Fundamental Classification Guidance Review Files Disposition Authority Number: DAA-GRS-2013-0007-0011
12	Personally Identifiable Information Extracts Disposition Authority Number: DAA-GRS-2013-0007-0012
13	Personally Identifiable Information Extract Logs Disposition Authority Number: DAA-GRS-2013-0007-0013
14	Legal and Regulatory Compliance Reporting Records
14.1	Annual reports by agency CIO, Inspector General or Senior Agency Official for Privacy. Disposition Authority Number: DAA-GRS-2013-0007-0014
14.2	All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP). Disposition Authority Number: DAA-GRS-2013-0007-0015

## Records Schedule Items

Sequence Number	
1	<p><b>General Information Request Files</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2013-0007-0001</b></p> <p>Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also copies of replies or referrals elsewhere.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Pending</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-GRS-98-1, item 10 GRS 14 (1952), item 2 GRS 14 (1952), items 13</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                        <b>Destroy immediately after 90 days; but longer retention is authorized if required for business use.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Access Request Files</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2013-0007-0002</b></p> <p>Original request, reply, copies of requested records, and related supporting files such as sanitizing instructions created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR), Privacy Act (PA), Classification Challenge, and similar access programs, completed by: • granting the request in full • granting the request in part • denying the request • inability to fulfill request because records do not exist • inability to fulfill request because request inadequately describes records • inability to fulfill request because reproduction fees are not paid • final adjudication on appeal to any of the above original settlements Exclusion: Official file copies of requested records are not covered by this item. They remain covered by their original disposal authority.</p> <p>Final Disposition                        <b>Temporary</b></p>

Item Status	Pending
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	NC1-64-77-1, item 16a1 NC1-64-77-1, item 16a2a NC1-64-77-1, item 16a2b NC1-64-77-1, item 16a3a NC1-64-77-1, item 16a3b N1-GRS-87-4, item 17a NC1-64-77-1, item 25a1 NC1-64-77-1, item 25a2a NC1-64-77-1, item 25a2b NC1-64-77-1, item 25a3a NC1-64-77-1, item 25a3b N1-GRS-87-7, item 31a1 N1-GRS-87-7, item 31a2a N1-GRS-87-7, item 31a2b N1-GRS-87-7, item 31a3a N1-GRS-87-7, item 31a3b N1-GRS-87-7, item 31c N1-GRS-87-7, item 32a
Disposition Instruction	
Retention Period	Destroy 6 year(s) after final determination by agency or final adjudication, as appropriate; but longer retention is authorized if required for business use.
Additional Information	
GAO Approval	Not Required
<b>Information Access and Protection Program Operation Records</b>	
Disposition Authority Number	DAA-GRS-2013-0007-0003
Includes: • Regular or ad hoc reports documenting program implementation (except annual reports: see item 6) • Safe and padlock combinations; names of individuals that know them • Records documenting security approved containers access • Records documenting receipt, internal routing, dispatch and destruction of unclassified records • Records relating to classified or controlled unclassified document containers such as forms placed on safes, cabinets, or vaults that record	

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opening, closing, and routine checking of container security • Tracking databases and other records used to manage overall program • Requests and authorizations for individuals to have access to classified files

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation  
N1-GRS-98-2, item 11  
N1-GRS-89-4, item 1  
N1-GRS-98-2, item 14  
N1-GRS-98-2, item 15  
Authority Unknown (GRS 18, item 2)  
Authority Unknown (GRS 18, item 3)  
Authority Unknown (GRS 18, item 4)  
Authority Unknown (GRS 18, item 7a)  
N1-GRS-93-1, item 7b  
Authority Unknown (GRS 18, item 6)

Disposition Instruction

Retention Period Destroy 2 years after last form entry, reply, submission, or when associated documents are declassified or destroyed, whichever is later; but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Accounting and Control of Access to Classified, Controlled Unclassified, and Unclassified Records.

Disposition Authority Number DAA-GRS-2013-0007-0004

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: • Forms, registers, ledgers, logs and tracking systems documenting requester identity and contact information, request date, and nature/purpose of request • Inventories of controlled records • Records documenting receipt, internal routing, dispatch and destruction of classified and unclassified-but-controlled records • Forms accompanying

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documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation  
NC1-64-76-3, item 11a  
NC1-64-76-3, item 11b  
NC1-64-77-1, item 28a  
NC1-64-77-1, item 28b  
N1-GRS-87-7, item 33a  
N1-GRS-87-7, item 33b  
Authority Unknown (GRS 18, item 5a)  
tAuthority Unknown (GRS 18, item 5b)

**Disposition Instruction**

Retention Period Destroy 5 year(s) after date of last entry, final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status) or final adjudication by courts, as may apply, whichever is later; but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

**Erroneous Release Records**

Disposition Authority Number DAA-GRS-2013-0007-0005

Files relating to the inadvertent release of non-public 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. Files may include the official copy of records requested or copies thereof.

Final Disposition Temporary

Item Status Pending

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6	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-GRS-89-2, item 1a N1-GRS-89-2, item 1b
	<b>Disposition Instruction</b>	
	Retention Period	Destroy when related records are destroyed.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	Agency/department reports to the Congress, Department of Justice, or other entities regarding FOIA, Mandatory Declassification Review, Privacy Act, and similar access programs	
	Disposition Authority Number	DAA-GRS-2013-0007-0006
	<b>Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</b>	
	Final Disposition	Temporary
Item Status	Pending	
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
<b>Disposition Instruction</b>		
Retention Period	Destroy 2 years after date of report; but longer retention is authorized if required for business use.	
<b>Additional Information</b>		
GAO Approval	Required and Not Received	
<b>Privacy Act Amendment Request Files</b>		
Disposition Authority Number	DAA-GRS-2013-0007-0007	
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 or appeal brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g). Records may include the 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.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation  
NC1-64-77-1, item 26a  
NC1-64-77-1, item 26b  
NC1-64-77-1, item 26c

**Disposition Instruction**

Retention Period Destroy 4 year(s) after close of case (final determination by agency or final adjudication, whichever applies) or with the records for which amendment was requested, whichever is later; but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

**Automatic and Systematic Declassification Review Program Records**

Disposition Authority Number DAA-GRS-2013-0007-0008

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 declassification. Files include program records documenting declassification decisions.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in

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9	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Retention Period	Destroy 30 year(s) after completion of review, but longer retention is authorized if required for business use.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Classification Guides</b>	
	Disposition Authority Number	DAA-GRS-2013-0007-0009
	Classification decisions recorded in guides created and used by agencies as the basis for making derivative classification decisions.	
	Final Disposition	Permanent
	Item Status	Pending
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	If this item has multiple sections, indicate here records to which this section apply	Electronic Records
	Cutoff Instruction	Close file upon production of a new guide per Executive Order 13526, Section 1.9a.
	Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after 5 years
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 30 year(s) after closure.
	<b>Additional Information</b>	

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
**Not known at this time.**

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**Not known at this time.**

### Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **Close file upon production of a new guide per Executive Order 13526, Section 1.9a.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 30 year(s) after closure.**

### Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
**Unknown.**

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**Unknown.**

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### Declassification Guides

Disposition Authority Number **DAA-GRS-2013-0007-0010**

**Records documenting the authority to exempt historic information from automatic declassification when 25, 50, or 75 years old, or other milestones as stipulated by Federal law. Note: This item does not cover declassification guides of all agencies compiled by the Interagency Security Classification Appeals Panel (ISCAP).**

Final Disposition **Permanent**

Item Status **Pending**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

### Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

**Electronic Records**

Cutoff Instruction

Close file upon revision of guide.

Transfer Electronic Records to the National Archives for Pre-Accessioning

Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 30 year(s) after closure.

### Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown  
Not known at this time.

How frequently will your agency transfer these records to the National Archives?

Unknown  
Not known at this time.

### Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

**Non-electronic Textual Records**

Cutoff Instruction

Close file upon revision of guide.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 30 year(s) after closure.

### Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown  
Unknown.

How frequently will your agency transfer these records to the National Archives?

Unknown  
Unknown.

### Fundamental Classification Guidance Review Files

Disposition Authority Number

**DAA-GRS-2013-0007-0011**

**Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required**

by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

#### Disposition Instruction

Retention Period Destroy 5 year(s) after report is submitted to ISOO, but longer retention is authorized if required for business use.

#### Additional Information

GAO Approval Not Required

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#### Personally Identifiable Information Extracts

Disposition Authority Number DAA-GRS-2013-0007-0012

System-generated or hard copy printouts generated for business purposes that contain Personally Identifiable Information.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Retention Period Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.

#### Additional Information

13	<p>GAO Approval <span style="float: right;">Not Required</span></p> <p><b>Personally Identifiable Information Extract Logs</b></p> <p>Disposition Authority Number <span style="float: right;">DAA-GRS-2013-0007-0013</span></p> <p>Logs that track the use of PII Abstracts 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> <p>Final Disposition <span style="float: right;">Temporary</span></p> <p>Item Status <span style="float: right;">Pending</span></p> <p>Is this item media neutral? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item exist as structured electronic data? <span style="float: right;">Yes</span></p> <p>Disposition Instruction</p> <p>Retention Period <span style="float: right;">Destroy when business use ceases.</span></p> <p>Additional Information</p>
14	<p>GAO Approval <span style="float: right;">Not Required</span></p> <p><b>Legal and Regulatory Compliance Reporting Records</b></p> <p>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>
14.1	<p>Annual reports by agency CIO, Inspector General or Senior Agency Official for Privacy.</p> <p>Disposition Authority Number <span style="float: right;">DAA-GRS-2013-0007-0014</span></p> <p>Final Disposition <span style="float: right;">Temporary</span></p> <p>Item Status <span style="float: right;">Pending</span></p> <p>Is this item media neutral? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <span style="float: right;">No</span></p>



14.2	GRS or Superseded Authority Citation	N1-GRS-04-4, item 4
	Disposition Instruction	
	Retention Period	Destroy 5 years after submission of report, but longer retention is authorized if required for business use.
	Additional Information	
	GAO Approval	Not Required
	All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).	
	Disposition Authority Number	DAA-GRS-2013-0007-0015
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Retention Period	Destroy 2 years after submission of report, but longer retention is authorized if required for business use.
	Additional Information	
GAO Approval	Not Required	

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
08/26/2013	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services

## Executive Summary

### Summary

Permanent Item Numbers            0009, 0010

Federal Register Notice

Publication Date

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