

GRS 5.2 Transitory & Intermediary Records

This file contains two documents. The Draft Schedule contains the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule.

THE SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
March 22, 2021

DRAFT

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.

Exclusions:

1. Original source records that have been digitized. GRS 4.5, Digitizing Records, covers these records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Transitory records. Records required for only a short time (generally less than 180 days) and 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">• messages coordinating schedules, appointments, and events• 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• received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees• messages received from agency distribution lists or listservs• “to-do” or task lists, assignments, and work orders, including for custodial services or minor repair work• general information request files requiring no policy decision or special compilations or research• ad hoc reports, including queries on electronic systems, used for one-time reference (see GRS 5.2, item 020, for ad hoc reports used to create subsequent reports)• data output files from electronic systems for information sharing or short-term reference (see Exclusion 1) <p>Exclusion 1: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet):</p>	<p>Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>	DAA-GRS-2021-000X-0001

GRS 5.2: Transitory and Intermediary Records, page 2

	<ul style="list-style-type: none"> ● files created only for public access purposes ● summarized information from unscheduled electronic records or inaccessible permanent records ● data extracts produced by a process that significantly changes the content of the file from the source records' content, effectively creating a new database file ● 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>Supersedes: DAA-GRS-2013-0007-0001 (GRS 4.2, item 010) DAA-GRS-2016-0011-0009 (GRS 5.4, item 071) DAA-GRS-2017-0003-0001 (GRS 5.2, item 010) DAA-GRS-2017-0003-0002 (GRS 5.2, item 020) – in part</p>		
020	<p>Intermediary records. A subset of transitory records, records of an intermediary nature exist for the purpose of creating a subsequent record. To qualify as an intermediary record, the record must 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"> ● 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. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proofreading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials. ● 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) ● dictation recordings ● ad hoc reports, including queries on electronic systems, used to create a subsequent report (see GRS 5.2, item 010, for ad hoc reports used for reference) 	<p>Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.</p> <p>If the records are subject to an information sharing agreement, they should be disposed of in accordance with that agreement.</p>	DAA-GRS-2021-000X-0002

	<ul style="list-style-type: none">● non-electronic input source records that are not digitized and are used solely for data entry, where all information on the source record is captured as data in the electronic system (see Note 1)● electronic input source records, such as transaction files or intermediate input/output files, which agencies generate in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction● copies of electronic input source records received from another federal agency or state, local, or tribal government entities. See Note 2. <p>Exclusions:</p> <ol style="list-style-type: none">1. Original source records that have been digitized. GRS 4.5, item 010, covers these records.2. Electronic input source records that have been purchased from a non-government (Federal, state, local, or tribal) entity. <p>Note:</p> <ol style="list-style-type: none">1. An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying non-electronic input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.2. The GRS provides disposition only for copies of records from one system that are used as input source records to another system. The GRS does not apply to either the originating system itself or the final system in which the final records reside. These systems must be disposed of per an agency-specific schedule, or if appropriate, another GRS that covers the original records. It is possible that sometimes information is moved from one system to another without the creation of an input copy. <p>Supersedes: DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)—in part</p>		
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Office of the Chief
Records Officer for the
U.S. Government

Date: November 10, 2020
Appraiser: Andrea Riley, ACRS
Agency: General Records Schedule (GRS)
Subject: DAA-GRS-2021-00XX

DRAFT

INTRODUCTION

Schedule Subject

GRS 5.2, Transitory and Intermediary Records Revision

Additional Background Information

NARA is updating GRS 5.2 to reflect changes related to issuance of GRS 4.5, Digitizing Records, which includes a new item for original source records that supersedes GRS 5.2, item 020, in part. Specifically, the revision removes the bullet point “hardcopy input source documents where all information on the document is incorporated in an electronic system” as it is being superseded by GRS 4.5, item 010, Original Source Records.

The background information was updated to remove references to original hardcopy input records and to add the exclusion for original source records, which are now scheduled in GRS 4.5, Digitizing Records.

Overall Recommendation

Approval of the attached schedule is recommended based on NARA Directive 1441 Appraisal Policy of the National Archives and Records Administration.

APPRAISAL

Item 0001 (GRS 5.2, item 010): Transitory Records

The following revisions were made to this item:

- Added three bullets to the list of examples that were previously covered in other GRS items, but the records clearly met the definition of transitory. These were for general information requests (GRS 4.2, item 010), work orders for custodial services and minor repairs (GRS 5.4, item 071), ad hoc reports and data file outputs created for short-term information sharing and reference (GRS 5.2, item 020).
- Added an exclusion that had been in GRS 5.2, item 020, that applies to data file outputs.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary:

DAA-GRS-2013-0007-0001 (GRS 4.2, item 010) – 90 days

DAA-GRS-2016-0011-0009 (GRS 5.4, item 071) – 90 days

DAA-GRS-2017-0003-0001 (GRS 5.2, item 010) – *no longer needed or base predetermined business rule*

DAA-GRS-2017-0003-0002 (GRS 5.2, item 020), in part – *verification of successful creation of the final document or file*

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. There is no change to the retention period.

Media Neutrality: Approved.

Item 0002 (GRS 5.2, item 020): Intermediary Records.

The following revisions were made to this item:

- Updated the description to clarify that intermediary records are a type of transitory record. They are scheduled separately because they have a more specific retention requirement in that the records cannot be destroyed until the subsequent record has been finalized.
- Removed references to input source records that are now covered by GRS 4.5.
- Updated examples of input records to distinguish between original source records (which are digitized) versus other non-electronic input records (such as hardcopy forms used for data entry) and electronic input records.
- Added a bullet to cover electronic input records received from other organizations.
- Revised the exclusions to include original source records and electronic input records that have been purchased from another entity (the record status of these latter records is questionable).
- Added a note to clarify that the GRS only covers the copies of input records that are used to get information from one system to another and to note that this process does not always result in a record that requires disposition.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

*Previously approved as temporary. DAA-GRS-2017-0003-0002 (GRS 5.2, item 020), in part – *verification of successful creation of the final document or file*

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The disposition instruction has been revised for clarity, but has not substantively changed.

Media Neutrality: Approved.

ANDREA M. RILEY

Appraiser

Supervisor Concurrence: PENDING FINAL MEMO