

DAA-GRS-201x-00xx

Transitory Records
(GRS 5.2)

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.

<i>Document</i>	<i>Page in this PDF</i>
Draft Schedule	2
Appraisal Memorandum	5
Crosswalk to current GRS	7

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
February 23, 2016

GENERAL RECORDS SCHEDULE 5.2: Transitory Records -- **DRAFT**

This schedule provides disposal authority for records defined as transitory. Transitory records are routine communication and work records of short term value (generally less than 180 days), as well as records used in the process of creating, maintaining, updating, using electronic systems that have no value beyond the input transaction. Also included are system output records that have no value beyond immediate use or subsequent query or backup.

Note that this schedule does not cover 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>Transitory records. Records required only for a short time (generally less than 180 days) or related to a routine process of superseding previous records to ensure completion of an action or preparation of a subsequent record, and that are not 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"> ● messages coordinating schedules, appointments, and events ● transmittal documents such as e-mail, 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 ● email received from agency distribution lists or listservs ● “to-do” or task lists and assignments ● working files such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents (see Exclusion 1) ● input or source records: <ul style="list-style-type: none"> o recordings or notes of meetings made exclusively for transcription or creation of meeting minutes (see Exclusion 2) o dictation recordings o hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 3 and Note 1) o electronic input source records such as transaction files or intermediate input/output files 	<p>Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>	<p>DAA-GRS-20XX-XXXX-0001</p>

<ul style="list-style-type: none">● ad hoc reports, including queries on electronic systems● data files output from electronic systems created for the purpose of information sharing or reference (see Exclusion 4) <p>Exclusion 1: 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>Exclusion 2: This item does not cover recordings of Federal Advisory Committee Act committees; such records are covered by GRS 6.2, items 020 and 050. Neither does it cover recordings of proceedings of Presidential commissions or other executive commissions, which must be scheduled by the commission.</p> <p>Exclusion 3: This item does not cover original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.</p> <p>Exclusion 4: This item does not include the following data output files:</p> <ul style="list-style-type: none">● Data files that are created as disclosure-free files to allow public access to the data.● 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.● Data extracts produced by an extraction process which changes the informational content of the source master file or database.● Technical reformat files created for transfer to NARA.● 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>Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destruction of hardcopy input source documents previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input source documents prior to destruction of the input record.</p>		
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	<p>Supersedes:</p> <p>GRS 21, item 22 (N1-GRS-81-9, item V-1) -- <i>immediately</i></p> <p>GRS 21, item 23 (N1-GRS-81-9, item V-2) -- <i>immediately</i></p> <p>GRS 23, item 6a (N1-GRS-80-8, item 3a) -- <i>immediately</i></p> <p>GRS 23, item 6b (N1-GRS-80-8, item 3b) -- <i>immediately</i></p> <p>GRS 23, item 7 (N1-GRS-04-5, item 1) -- except the first bullet -- <i>immediately or no longer needed</i></p> <p>GRS 4.3, item 010 (DAA-GRS-2013-0001-0001) -- <i>immediately</i></p> <p>GRS 4.3, item 011 (DAA-GRS-2013-0001-0002) -- <i>60 days after notification</i></p> <p>GRS 4.3, item 012 (DAA-GRS-2013-0001-0003) -- <i>immediately</i></p> <p>GRS 4.3, item 020 (DAA-GRS-2013-0001-0004) -- <i>immediately</i></p> <p>GRS 4.3, item 030 (DAA-GRS-2013-0001-0005) -- <i>business use ceases</i></p> <p>GRS 4.3, item 031 (DAA-GRS-2013-0001-0006) -- <i>business use ceases</i></p>		
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Date: March 25, 2016
Appraiser: Andrea M. Riley, ACRA
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-20XX-000X

DRAFT

INTRODUCTION

Schedule Overview

GRS 5.2 Transitory Records

Additional Background Information

The purpose of this schedule is to provide disposition for records of short-term value or an intermediary nature—meaning records that need to exist only long enough to create a subsequent or final record. This schedule combines items of short term value from GRS 21 and 23, including the existing item for transitory records, GRS 23, item 7. It also supersedes items from GRS 4.3 for input and output records.

This schedule expands the notion of transitory from records of short-term (less than 180 days) value to add records that are intermediary in nature—meaning they exist to get information from one place to another or from one format to another. This change effectively resulted in moving most of the records currently scheduled in GRS 4.3 for input and output records. The GRS Team has long struggled with how these records fit into the new framework for the GRS that focuses on the functionality of records. GRS 4.3 never seemed to fit very well anywhere until we hit upon the idea that input and output records, as defined in GRS 4.3, are transitory or intermediary records. The idea came while researching how other archival institutions define and schedule transitory records. The Library and Archives Canada (LAC) defines transitory records as “those records that are required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record.” LAC’s authority includes input/source records and intermediary input/output records.¹ A team made up of appraisal archivists from ACRA, a policy analysis from ACPP, and members of the GRS Team met to discuss this change and decided that intermediary records such as input/out records were a logical addition to the definition of transitory record. The proposed schedule was also reviewed by the Acting Chief Records Officer and NARA’s General Counsel.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

¹2.1 Authority for the Destruction of Transitory Records, <http://www.bac-lac.gc.ca/eng/services/government-information-resources/disposition/multi-institutional-disposition-authorities/Pages/1990-transitory-records.aspx>.

Item 0001 (GRS 5.2, item 010): Transitory records.

The new item for transitory records combines a number of records series of short-term value or that are for intermediary records similarly of short-term value. The item incorporates two types of audio records used for transcription purposes, suspense files, transitory records, and input/source and output records. There is very little new content; most changes made have been to clarify what is meant by a transitory record, especially where email is concerned. New content includes working files, considered to be intermediary or of short-term value. The definition of working files comes from 36 CFR 1222.12(c) and an exclusion identifying working files that may not be of temporary value is included. This exclusion is based on existing guidance for scheduling working files provided in records management training. Inclusion of working files has the added benefit of making it clear that they are Federal records that need to be managed and for the most part are temporary records. Various exclusions and notes have been migrated from GRS 4.3 and new exclusions and notes have been included to clarify what the item does and does not cover.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 21, item 22 (N1-GRS-81-9, item V-1) -- *immediately*

GRS 21, item 23 (N1-GRS-81-9, item V-2) -- *immediately*

GRS 23, item 6a (N1-GRS-80-8, item 3a) -- *immediately*

GRS 23, item 6b (N1-GRS-80-8, item 3b) -- *immediately*

GRS 23, item 7 (N1-GRS-04-5, item 1) -- except the first bullet -- *immediately or no longer needed*

GRS 4.3, item 010 (DAA-GRS-2013-0001-0001) -- *immediately*

GRS 4.3, item 011 (DAA-GRS-2013-0001-0002) -- *60 days after notification*

GRS 4.3, item 012 (DAA-GRS-2013-0001-0003) -- *immediately*

GRS 4.3, item 020 (DAA-GRS-2013-0001-0004) -- *immediately*

GRS 4.3, item 030 (DAA-GRS-2013-0001-0005) -- *business use ceases*

GRS 4.3, item 031 (DAA-GRS-2013-0001-0006) -- *business use ceases*

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention has not significantly changed for any of these records. All of the retentions are to destroy immediately after an action is taken. To accommodate the idea that business rules may trigger destruction we have included in the instruction that records may be destroyed “according to agency predetermined time period or business rule.” Such rules can include anything from an auto-delete function in an email system to a business process to verify successful conversion of hardcopy records to an electronic format. We have also included a note reminding agencies about the requirement to submit a notification per 36 CFR 1225.24(a)(1) before destroying input records that were previously scheduled as permanent and to schedule electronic versions before destroying hardcopy input records that were never scheduled.

Media Neutrality: Requested and approved.

ANDREA M. RILEY
Appraiser

**GRS 5.2 Transitory
Crosswalk**

New GRS				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.2	010	no longer needed	DAA-GRS-20XX-00XX-0001	21	22	immediately	N1-GRS-81-9, item V-1
				21	23	immediately	N1-GRS-81-9, item V-2
				23	6a	after action taken	N1-GRS-80-8, item 3a
				23	6b	immediately	N1-GRS-80-8, item 3b
				23	7	immediately or no longer needed	N1-GRS-04-5, item 1 -- except first bullet covered in GRS 4.2
				4.3	010	immediately	DAA-GRS-2013-0001-0001
				4.3	011	60 days after notification	DAA-GRS-2013-0001-0002
				4.3	012	immediately	DAA-GRS-2013-0001-0003
				4.3	020	immediately	DAA-GRS-2013-0001-0004
				4.3	030	business use ceases	DAA-GRS-2013-0001-0005
				4.3	031	business use ceases	DAA-GRS-2013-0001-0006