

ATTACHMENT 1

CHANGES/ADDITIONS TO GRS 20, Items 2, 3, and 11, TO IMPLEMENT MEDIA NEUTRALITY AND ASSIST AGENCIES IN IMPLEMENTING ELECTRONIC RECORDKEEPING

2. Input/Source Records

(a) Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).

(1) Hard copy documents that NARA has designated as permanent records that must be transferred to NARA, even if records have been copied/converted to an electronic format.

Permanent. Transfer to NARA in accordance with previously approved schedule.

(2) Hard copy records that were previously approved as permanent that are converted to electronic records where the electronic records do not meet the standards for permanent electronic records included in NARA guidance in effect at the time of conversion.

Permanent. Transfer to NARA in accordance with previously approved schedule.

(3) Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations).

Apply previously approved schedule.

(4) Hard copy documents other than those covered by Items 2(a)(1) – (3).

Destroy after the information has been converted to an electronic medium and verified or when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, whichever is later.

Note: The term hard copy records or non-electronic records as used in this schedule includes, in addition to traditional textual files: still picture negatives, prints, slides, and transparencies; aerial photography, maps, charts, and drawings; motion picture film and analog videotape; and analog sound recordings.

3. Electronic Records That Replace Temporary Hard Copy Records

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

(a) Scanned images.

Delete after the expiration of the retention period authorized for the hard copy records.

(b) Electronic formats other than scanned images.

(1) Records covered by temporary items in the GRS **other than** GRS 1, Items 21, 22, 25f; GRS 12, Item 3; and GRS 18, Item 5 or by temporary items in an agency-specific schedule that pertain to administrative/housekeeping activities.

Delete after the expiration of the retention period authorized for the hard copy records.

(2) Records covered by GRS 1, Items 21, 22, 25f; GRS 12, Item 3; and GRS 18, Item 5.

Submit SF 115 to NARA.

(3) Digital versions of temporary still pictures, sound recordings, motion picture film, and video-recordings.

Delete after the expiration of the retention period authorized for the hard copy records.

(4) Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records.

Delete after the expiration of the retention period specified in the previously approved schedule.

(5) Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4).

Submit SF 115 to NARA.

Notes:

1. Items 3(b)(1), 3(b)(3), and 3(b)(4) may be applied to electronic records consisting of information drawn from multiple previously scheduled hard copy series of administrative housekeeping records. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules.

2. Disposition authorities included in Item 3 may be applied to copies of records maintained on agency web sites only in the case of administrative housekeeping records. These items may not be applied to web site copies of program records, which must be scheduled separately.

3.1 Electronic Records That Replace Permanent Hard Copy Records

Electronic records that replace hard copy records approved as permanent in a previously approved schedule.

Permanent. Submit notification to NARA in accordance with 36 CFR 1228.31(c).

Notes:

1. Electronic versions of permanent records that are retained as recordkeeping copies must meet the standards contained in NARA guidance concerning the creation, maintenance, and transfer of permanent electronic records.

2. Item 3.1 may be applied if the electronic records consist of information drawn from multiple previously scheduled permanent series. In cases where the electronic records include information drawn from both temporary and permanent hard copy series, an agency may apply Item 3.1 or submit an SF 115 that proposes disposal of the records if the agency believes the electronic records do not warrant permanent retention.

3.2 Hard copy printouts created from electronic records to meet ad hoc business needs.

(a) Printouts derived from electronic records that are scheduled for destruction under the GRS or an agency-specific schedule for administrative housekeeping records.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

(b). Printouts derived from electronic records other than records scheduled for destruction under the GRS or an agency-specific schedule for administrative housekeeping records.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records.

11. Documentation

(a) Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, data base or other electronic records.

(1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related electronic records, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

(2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.

Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

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