

Request for Records Disposition Authority

Records Schedule Number **DAA-GRS-2013-0002**
Schedule Status **Approved**

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 **GRS 4.1: Records Management Records**

Internal agency concurrences will be provided **No**

Background Information **This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2013-0002

Sequence Number	
1	Tracking and Control Records Disposition Authority Number: DAA-GRS-2013-0002-0016
2	Records Management Program Records Disposition Authority Number: DAA-GRS-2013-0002-0007
3	Vital or Essential Records Program Records Disposition Authority Number: DAA-GRS-2013-0002-0008
4	Copies of Vital Records Disposition Authority Number: DAA-GRS-2013-0002-0015
5	Forms Management Records Disposition Authority Number: DAA-GRS-2013-0002-0009

Records Schedule Items

Sequence Number

1

Tracking and Control Records

Disposition Authority Number **DAA-GRS-2013-0002-0016**

Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes: • indexes • lists • registers • inventories • logs Exclusion: This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records. Exclusion (2): This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.

Final Disposition **Temporary**

Item Status **Active**

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**

Manual Citation	Manual Title
GRS 4.1, item 010	

GRS or Superseded Authority Citation **N1-GRS-95-2, item 9
N1-GRS-81-9, item VI-2
N1-GRS-98-2, item 45
N1-GRS-98-2, item 46
N1-GRS-03-1, item 4b**

Disposition Instruction

Retention Period **Destroy when no longer needed**

Additional Information

GAO Approval **Not Required**

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Records Management Program Records

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

Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include: • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventorying records and conducting records surveys • scheduling records • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions) • conducting records "clean out" days • conducting special projects Records include: • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States Exclusion: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.

Final Disposition Temporary
Item Status Active
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

Manual Citation	Manual Title
GRS 4.1, item 020	

GRS or Superseded Authority Citation N1-GRS-98-2, item 19 - in part
N1-GRS-98-2, item 16
N1-GRS-98-2, item 17
N1-GRS-91-4, item 1
N1-GRS-98-2, item 22
N1-GRS-98-2, item 18

Disposition Instruction

Retention Period Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded,

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but longer retention is authorized if needed for business use.

Additional Information

GAO Approval Not Required

Vital or Essential Records Program Records

Disposition Authority Number DAA-GRS-2013-0002-0008

Records involved in planning, operating, and managing the agency's vital or essential records program. Includes: • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests

Final Disposition Temporary

Item Status Active

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

Manual Citation	Manual Title
GRS 4.1, item 030	

GRS or Superseded Authority Citation N1-GRS-98-2 item 19 - in part

Disposition Instruction

Retention Period Destroy 3 year(s) after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.

Additional Information

GAO Approval Not Required

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Copies of Vital Records

Disposition Authority Number DAA-GRS-2013-0002-0015

Copies of agency records deemed essential to restore agency functions in case of emergency.

Final Disposition Temporary

Item Status **Active**
 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**

Manual Citation	Manual Title
GRS 4.1, item 031	

Disposition Instruction

Retention Period **Destroy when superseded by the next cycle.**

Additional Information

GAO Approval **Not Required**

Forms Management Records

Disposition Authority Number **DAA-GRS-2013-0002-0009**

Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form • background materials and specifications

Final Disposition **Temporary**

Item Status **Active**

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**

Manual Citation	Manual Title

5

GRS 4.1, item 040	
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GRS or Superseded Authority
Citation

NC1-GRS-81-4, item 1
NC1-64-77-8, item 4b

Disposition Instruction

Retention Period

Destroy 3 year(s) after form is discontinued,
superseded, or cancelled, but longer retention is
authorized if needed 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
04/30/2013	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/29/2015	Submit for Concurrence	Laura McHale	Senior Records Analyst	National Archives and Records Administration - Records Management Services
02/03/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
02/04/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/05/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

GENERAL RECORDS SCHEDULE 4.1: Records Management Records

This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p>Tracking and control records. Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes:</p> <ul style="list-style-type: none"> • indexes • lists • registers • inventories • logs <p>Exclusion: This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.</p> <p>Exclusion (2): This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.</p>	<p>Temporary. Destroy when no longer needed.</p>	<p>DAA-GRS-2013-0002-0016</p>
020	<p>Records management program records. Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:</p> <ul style="list-style-type: none"> • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventorying records and conducting records surveys • scheduling records • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions) • conducting records "clean out" days • conducting special projects <p>Records include:</p>	<p>Temporary. Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2013-0002-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States <p>Exclusion: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.</p>		
030	<p>Vital or essential records program records. Records involved in planning, operating, and managing the agency's vital or essential records program. Includes:</p> <ul style="list-style-type: none"> • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests 	Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0008
031	<p>Copies of vital records. Copies of agency records deemed essential to restore agency functions in case of emergency.</p>	Temporary. Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
040	<p>Forms management records. Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes:</p> <ul style="list-style-type: none"> • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form • background materials and specifications 	Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0009

New GRS 4.1 Crosswalk to Old GRS (DAA-GRS-2013-0002)

New GRS				Old GRS			
GRS No.	Item No.	Retention	ERA Number/Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
4.1	010	When no longer needed	DAA-GRS-2013-0002-0016	20	9	No longer needed	N1-GRS-95-2 item 9
				21	29	With related a/v records	N1-GRS-81-9 item VI-2
				23	8	2 years	N1-GRS-98-2 item 45
				23	9	With related records	N1-GRS-98-2 item 46
				24	4b	Superseded or obsolete	N1-GRS-03-1 item 4b
4.1	020	No sooner than 6 years but longer retention is authorized	DAA-GRS-2013-0002-0007	16	2a1	2 years	N1-GRS-98-2 item 16
				16	2a2	6 years	N1-GRS-98-2 item 17
				16	2b	2 years	N1-GRS-98-2 item 18
				16	7	6 years	N1-GRS-98-2 item 19 (in part)
				16	10a	1 year	N1-GRS-91-4 item 1
				16	10b	2 years	N1-GRS-98-2 item 22
4.1	030	3 years	DAA-GRS-2013-0002-0008	16	7	6 years	N1-GRS-98-2 item 19 (in part)
4.1	031	When superseded	DAA-GRS-2013-0002-0015	New item.			
4.1	040	3 years	DAA-GRS-2013-0002-0009	16	3a	5 years	NC1-GRS-81-4 item 1
				16	3b	Superseded or obsolete	NC1-64-77-8 item 4b