

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2015-0001
Schedule Status Modified Approved 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 GRS 6.2: Federal Advisory Committee Records

Internal agency concurrences will be provided No

Background Information This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments.

If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply.

For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	2	4	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2015-0001

Sequence Number	
1	Committee Records
1.1	Substantive Committee Records (Non-Grant Review Committees) Disposition Authority Number: DAA-GRS-2015-0001-0001
1.2	Substantive Audiovisual Records (Non-Grant Review Committees) Disposition Authority Number: DAA-GRS-2015-0001-0002
1.3	Grant Review Committee Records Disposition Authority Number: DAA-GRS-2015-0001-0003
1.4	Committee Accountability Records Disposition Authority Number: DAA-GRS-2015-0001-0004
1.5	Non-substantive Committee Records Disposition Authority Number: DAA-GRS-2015-0001-0005
2	Committee Management Records
2.1	Committee Management Records Disposition Authority Number: DAA-GRS-2015-0001-0006

Records Schedule Items

Sequence Number

1

Committee Records

1.1

Substantive Committee Records (Non-Grant Review Committees)

Disposition Authority Number **DAA-GRS-2015-0001-0001**

EXCLUSION: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include:

- Records related to the establishment of the committee: Charters (original, renewal, re-establishment, and amended); enacting legislation; explanation of committee need, when required; filing letters to Congress; organization charts; committee specific bylaws, standard operating procedures, or guidelines; any other materials that document the organization and functions of the committee and its components
- Records related to committee membership: memos or similar documentation of how and/or why individual members were selected;; membership balance plans; membership rosters; appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.; resignation or termination letters
- Records of committee meetings and hearings: agency head's determination that a meeting or portion of a meeting may be closed to the public; agendas; materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations; meeting minutes; public comments; testimony received during hearings; transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 0002)
- Records related to committee findings and recommendations: one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee; responses from agency to committee regarding recommendations; committee presentations or briefings of findings
- Records created by committee members: correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)
- Records related to research collected or created by the committee: records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data); raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies
- Documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): records relating to the formation of the

subcommittee or working group, if they exist, such as decision documents, membership and statement of purpose or other documentation of duties and responsibilities; records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee, including but not limited to, meeting minutes, transcripts, reports, briefing materials and substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer); background materials •Records related to committee termination (i.e., email, letter, memo, etc.); •Other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records. NOTE: Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to the NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).

Final Disposition Permanent
 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 6.2, item 010	

GRS or Superseded Authority Citation N1-GRS-07-5, item 2a (in part)
 N1-GRS-07-1, item 2c1 (in part)

Disposition Instruction

Transfer to the National Archives for Accessioning Transfer when records are 15 years old or upon termination of committee, whichever is sooner.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
 Records exist in multiple agencies.

How frequently will your agency transfer these records to the National Archives? **Unknown**
Records exist in multiple agencies.

1.2

Substantive Audiovisual Records (Non-Grant Review Committees)

Disposition Authority Number **DAA-GRS-2015-0001-0002**

EXCLUSION: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records include:
 •Audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed
 •Captioned formal and informal analog or digital photographs, and any related finding aids, of Committee members and staff, meetings, or hearings
 •Posters (2 copies) produced by or for the committee

Final Disposition **Permanent**

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 6.2, item 020	

GRS or Superseded Authority Citation **N1-GRS-07-5, item 2a (in part)**

Disposition Instruction

Transfer to the National Archives for Accessioning **Transfer when records are 3 years old or upon termination of committee, whichever is sooner.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
Records exist in multiple agencies.

How frequently will your agency transfer these records to the National Archives? **Unknown**
Records exist in multiple agencies.

1.3

Grant Review Committee Records

Disposition Authority Number **DAA-GRS-2015-0001-0003**

Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 0001 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials. **NOTE: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.**

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 6.2, item 030	

Disposition Instruction

Retention Period **Destroy upon termination of committee.**

Additional Information

GAO Approval **Not Required**

1.4

Committee Accountability Records

Disposition Authority Number **DAA-GRS-2015-0001-0004**

Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include: travel costs; committee member payments; meeting room costs; contractor costs; Federal Register notice costs Exclusion: Forms filed under the Ethics in Government Act (see note). Note: Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).

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? **No**

Manual Citation	Manual Title
GRS 6.2, item 040	

GRS or Superseded Authority Citation **N1-GRS-04-1, item 4 (in part)**

Disposition Instruction

Retention Period **Destroy when 6 years old. Longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Non-substantive Committee Records

Disposition Authority Number **DAA-GRS-2015-0001-0005**

Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere. •Drafts and copies of Federal Register notices •Audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) •Photographs of committee social functions, routine award events, and other non-mission-related activities •Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc. •Routine correspondence: correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues); public requests for information •Non-substantive committee membership records, including: resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee; member credentials (resumes or biographies); member files (personnel-type records) •Non-substantive web content Note 1: Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative. Note 2: Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 5.1, item 020.

1.5

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? No

Manual Citation	Manual Title
GRS 6.2, item 050	

GRS or Superseded Authority Citation N1-GRS-07-1, item 2b
 N1-GRS-07-1, item 2c1
 N1-GRS-07-1, item 2c3
 N1-GRS-04-1, item 4 (in part)

Disposition Instruction

Retention Period Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.

Additional Information

GAO Approval Not Required

Committee Management Records

Committee Management Records

Disposition Authority Number DAA-GRS-2015-0001-0006

Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include: agency guidelines; correspondence; requests for approval of committee nominees; copies of records about committees maintained for reporting purposes, such as: information provided to GSA Secretariat for annual comprehensive reviews; statistical data files and reports; annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act; financial operating plans and final cost accountings. NOTE: This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.

Final Disposition Temporary

2
2.1

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 6.2, item 060	

GRS or Superseded Authority Citation **N1-GRS-04-1, item 4**

Disposition Instruction

Retention Period **Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. 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
10/31/2014	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/23/2015	Submit for Concurrence	Andrea Riley	Supervisory Records Specialist	National Archives and Records Administration - Records Management Services
04/16/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/16/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/20/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Revision 1. [Unknown date]. RG 0399, Records of the Federal Railroad Administration, added to the list of record groups to which this schedule applies. --GRW

Revision 2. April 17, 2017: RG 0060, General Records of the Department of Justice, added to the list of record groups to which this schedule applies. --GRW

Revision 3. May 17, 2017: RG 0434, General Records of the Department of Energy, added to the list of record groups to which this schedule applies. --GRW

Revision 4. July 28, 2017: RG 411, Records of the General Accountability Office, and RG 514, Records of the Office of the Assistant Secretary for Health, were added to the list of record groups to which this schedule applies. --GRW

Revision 5. January 16, 2018: Item 0005 (GRS 6.2, item 050) Note 2 revised to direct user to GRS 5.1, item 020, rather than GRS 4.3, 040, which has been rescinded. --GRW