

## Request for Records Disposition Authority

Records Schedule Number      DAA-GRS-2016-0002  
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                Alterations to General Records Schedule 4.2: Information Access and Protection Records

Internal agency concurrences will be provided      No

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

## Outline of Records Schedule Items for DAA-GRS-2016-0002

Sequence Number	
1	Access and disclosure request files. Disposition Authority Number: DAA-GRS-2016-0002-0001
2	Information access and protection operational records.
2.1	Information access and protection tracking and control records. Disposition Authority Number: DAA-GRS-2016-0002-0002
2.2	Records relating to classified or controlled unclassified document containers. Disposition Authority Number: DAA-GRS-2016-0002-0003
3	Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR. Disposition Authority Number: DAA-GRS-2016-0002-0004

## Records Schedule Items

Sequence Number					
1	<p><b>Access and disclosure request files.</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2016-0002-0001</b></p> <p><b>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by • granting the request in full • granting the request in part • denying the request for any reason including: o inability to fulfill request because records do not exist o inability to fulfill request because request inadequately describes records o inability to fulfill request because search or reproduction fees are not paid • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal Includes: • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file. Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td><b>GRS 4.2, item 020</b></td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>DAA-GRS-2013-0007-0002</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                      <b>Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</b></p>	Manual Citation	Manual Title	<b>GRS 4.2, item 020</b>	
Manual Citation	Manual Title				
<b>GRS 4.2, item 020</b>					

2  
2.1

**Additional Information**

GAO Approval **Not Required**

Information access and protection operational records.

Information access and protection tracking and control records.

Disposition Authority Number **DAA-GRS-2016-0002-0002**

**Includes:** • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files

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 4.2, item 030	

GRS or Superseded Authority Citation **DAA-GRS-2013-0007-0003**

**Disposition Instruction**

Retention Period **Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval **Not Required**

2.2

Records relating to classified or controlled unclassified document containers.

Disposition Authority Number **DAA-GRS-2016-0002-0003**

**Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702. Note:**

Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.

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? No

Manual Citation	Manual Title
GRS 4.2, item 032	

GRS or Superseded Authority Citation DAA-GRS-2013-0007-0021

**Disposition Instruction**

Retention Period Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

3

Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR.

Disposition Authority Number DAA-GRS-2016-0002-0004

Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes: • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records • forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files

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 4.2, item 040	

GRS or Superseded Authority Citation **DAA-GRS-2013-0007-0004**

**Disposition Instruction**

Retention Period **Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later; but 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
01/12/2016	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/18/2016	Submit for Concurrence	Galen Wilson	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/27/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/02/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/05/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

## Executive Summary

### Summary

The National Archives and Records Administration requests disposition authority for revisions to the General Records Schedule for information access and protection records. Proposed as temporary are revisions to clarify coverage of records under previously approved items. The records are temporary because they were previously approved as temporary.

### Permanent Item Numbers

### Federal Register Notice

Publication Date 2016-03-16

Copies Requested 2

*AMR 5/17/2016*

Comments Received 0



## [Alterations to] GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

Item	Records Description	Disposition Instruction	Disposition Authority
010	[No change]		
020	<p><b>Access and disclosure request files.</b></p> <p>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by</p> <ul style="list-style-type: none"> <li>• granting the request in full</li> <li>• granting the request in part</li> <li>• denying the request for any reason including:                             <ul style="list-style-type: none"> <li>○ inability to fulfill request because records do not exist</li> <li>○ inability to fulfill request because request inadequately describes records</li> <li>○ inability to fulfill request because search or reproduction fees are not paid</li> </ul> </li> <li>• final adjudication on appeal to any of the above original settlements</li> <li>• final agency action in response to court remand on appeal</li> </ul> <p>Includes:</p> <ul style="list-style-type: none"> <li>• requests (either first-party or third-party)</li> <li>• replies</li> <li>• copies of requested records</li> <li>• administrative appeals</li> <li>• related supporting documents (such as sanitizing instructions)</li> </ul> <p><b>Note 1:</b> Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.</p> <p><b>Note 2:</b> Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p> <p><b>Supersedes:</b> DAA-GRS-2013-0007-0002</p>	<p><b>Temporary.</b> Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0002-0001</p>

Item	Records Description		Disposition Instruction	Disposition Authority
030	<b>Information access and protection operational records.</b>	<b>Information access and protection tracking and control records.</b> Includes: <ul style="list-style-type: none"> <li>• records documenting receipt, internal routing, dispatch, and destruction of unclassified records</li> <li>• tracking databases and other records used to manage overall program</li> <li>• requests and authorizations for individuals to have access to classified files</li> </ul> <b>Supersedes:</b> DAA-GRS-2013-0007-0003	<b>Temporary.</b> Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0002
031		[No change]		
032		<b>Records relating to classified or controlled unclassified document containers.</b> Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.  <b>Note:</b> Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.  <b>Supersedes:</b> DAA-GRS-2013-0007-0021	<b>Temporary.</b> Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0003
040	<b>Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR.</b> Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes: <ul style="list-style-type: none"> <li>• forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request</li> <li>• inventories of controlled records</li> <li>• forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data</li> <li>• agent and researcher files</li> </ul> <b>Supersedes:</b> DAA-GRS-2013-0007-0004		<b>Temporary.</b> Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later; but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0004

Item	Records Description	Disposition Instruction	Disposition Authority
050 to end	[No change]		

<b>New GRS 4.2</b>				<b>Old GRS</b>			
<b>GRS No.</b>	<b>Item No.</b>	<b>Retention</b>	<b>ERA Number/ Disposition Authority</b>	<b>GRS No.</b>	<b>Item No.</b>	<b>Retention</b>	<b>Disposition Authority</b>
4.2	020	6 years	DAA-GRS-2016-0002-0001	4.2	020	6 years	DAA-GRS-2013-0007-0002
4.2	030	2 years	DAA-GRS-2016-0002-0002	4.2	030	2 years	DAA-GRS-2013-0007-0003
4.2	032	90 days	DAA-GRS-2016-0002-0003	4.2	032	90 days	DAA-GRS-2013-0007-0021
4.2	040	5 years	DAA-GRS-2016-0002-0004	4.2	040	5 years	DAA-GRS-2013-0007-0004