

Request for Records Disposition Authority

Records Schedule Number **DAA-GRS-2017-0003**

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 5.2: Transitory and Intermediary Records**

Internal agency concurrences will be provided **No**

Background Information **This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.**

Note that this schedule does not cover original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled and 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 Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2017-0003

Sequence Number	
1	Transitory records. Disposition Authority Number: DAA-GRS-2017-0003-0001
2	Intermediary records. Disposition Authority Number: DAA-GRS-2017-0003-0002

Records Schedule Items

Sequence Number

1

Transitory records.

Disposition Authority Number DAA-GRS-2017-0003-0001

Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to: # messages coordinating schedules, appointments, and events # transmittal documents such as e-mail, letters, 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 # messages received from agency distribution lists or listservs # "to-do" or task lists and assignments

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 5.2, item 010	

GRS or Superseded Authority Citation N1-GRS-80-008 / 3/A
N1-GRS-80-008 / 3/B
N1-GRS-04-5 / 1 -- except the first bullet, which is covered in GRS 4.2, item 010

Disposition Instruction

Retention Period Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.

Additional Information

GAO Approval Not Required

2

Intermediary records.

Disposition Authority Number **DAA-GRS-2017-0003-0002**

Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:

- non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.
- audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
- dictation recordings
- input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:
 - o hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)
 - o electronic input source records such as transaction files or intermediate input/output files
 - ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report
 - data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2)

Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.

Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):

- # files created only for public access purposes
- # summarized information from unscheduled electronic records or inaccessible permanent records
- # data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original
- # 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)

Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record. Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)

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 5.2, item 020	

GRS or Superseded Authority Citation
 N1-GRS-81-9 / V-1
 N1-GRS-81-9 / V-2
 DAA-GRS-2013-0001-0001
 DAA-GRS-2013-0001-0002
 DAA-GRS-2013-0001-0003
 DAA-GRS-2013-0001-0004
 DAA-GRS-2013-0001-0005
 DAA-GRS-2013-0001-0006

Disposition Instruction

Retention Period Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

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
12/19/2016	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/23/2017	Submit for Concurrence	Andrea Riley	Supervisor, General Records Schedule Team	National Archives and Records Administration - Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/31/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

GENERAL RECORDS SCHEDULE 5.2: Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

Note that this schedule does not cover original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled and 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) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:</p> <ul style="list-style-type: none"> ● messages coordinating schedules, appointments, and events ● transmittal documents such as e-mail, letters, 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 ● messages received from agency distribution lists or listservs ● "to-do" or task lists and assignments <p>Supersedes: GRS 23, item 6a (N1-GRS-80-8, item 3a) -- <i>immediately</i> GRS 23, item 6b (N1-GRS-80-8, item 3b) -- <i>immediately</i> GRS 23, item 7 (N1-GRS-04-5, item 1) -- except the first bullet -- <i>immediately or no longer needed</i></p>	<p>Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>	<p>DAA-GRS-2017-0003-0001</p>
020	<p>Intermediary records. Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when</p>	<p>DAA-GRS-2017-0003-0002</p>

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	<p>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">● non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.● audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)● dictation recordings● input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:<ul style="list-style-type: none">○ hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)○ electronic input source records such as transaction files or intermediate input/output files● ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report● data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2) <p>Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.</p>	<p>no longer needed for business use, whichever is later.</p>	
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Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):

- files created only for public access purposes
- summarized information from unscheduled electronic records or inaccessible permanent records
- data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original
- 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)

Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.

Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)

Supersedes:

- 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 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*

**GRS 5.2 Transitory and Intermediary Records
Crosswalk**

New GRS				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.2	010	Business use ceases	DAA-GRS-2017-0003-0001	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
5.2	020	Verification of successful creation of final record or business use ceases	DAA-GRS-2017-0003-0002	21	22	Immediately	N1-GRS-81-9, item V-1
				21	23	Immediately	N1-GRS-81-9, item V-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