

## Request for Records Disposition Authority

Records Schedule Number      **DAA-GRS-2019-0001**

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 and Additions to GRS 4.2: Information Access and Protection Records**

Internal agency concurrences will be provided      **No**

Background Information              **This schedule provides alterations to GRS 4.2, items 001, 030, and 040; adds new items for privacy complaint and Controlled Unclassified Information (CUI) program records.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>9</b>	<b>0</b>	<b>9</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-GRS-2019-0001

Sequence Number	
1	FOIA, Privacy Act, and classified documents administrative records. Disposition Authority Number: DAA-GRS-2019-0001-0001
2	Information access and protection operational records.
2.1	Records tracking and controlling access to protected information. Disposition Authority Number: DAA-GRS-2019-0001-0002
3	Records of accounting for and controlling access to records requested under FOIA, PA, and MDR. Disposition Authority Number: DAA-GRS-2019-0001-0003
4	Privacy complaint files. Disposition Authority Number: DAA-GRS-2019-0001-0004
5	Controlled Unclassified Information (CUI) program records.
5.1	CUI program implementation records. Disposition Authority Number: DAA-GRS-2019-0001-0005
5.2	CUI information sharing agreements. Disposition Authority Number: DAA-GRS-2019-0001-0006
5.3	Records of waivers of CUI requirements. Disposition Authority Number: DAA-GRS-2019-0001-0007
5.4	Records of requests for decontrol and challenges to CUI designations.
5.4.1	Records filed separately from the record-keeping copy of the CUI-marked records. Disposition Authority Number: DAA-GRS-2019-0001-0008
5.5	Records of CUI misuse. Disposition Authority Number: DAA-GRS-2019-0001-0009

## Records Schedule Items

Sequence Number					
1	<p><b>FOIA, Privacy Act, and classified documents administrative records.</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2019-0001-0001</b></p> <p><b>Records on managing information access and protection activities. Records include: • correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification • associated subject files • feeder and statistical reports Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.</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>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                              <b>Yes</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 001</b></td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>DAA-GRS-2016-0013-0003</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                         <b>Destroy when 3 years old, but longer retention is authorized if required for business use.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>	Manual Citation	Manual Title	<b>GRS 4.2, item 001</b>	
Manual Citation	Manual Title				
<b>GRS 4.2, item 001</b>					
2	<p><b>Information access and protection operational records.</b></p>				
2.1	<p><b>Records tracking and controlling access to protected information.</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2019-0001-0002</b></p>				

**Includes:** • records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records • tracking databases and other records used to manage overall access program • requests and authorizations for individuals to have access to classified and controlled unclassified records and information  
**Note:** Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.

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-2016-0002-0002

**Disposition Instruction**

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

**Additional Information**

GAO Approval Not Required

Records of accounting for and controlling access to records requested under FOIA, PA, and MDR.

Disposition Authority Number DAA-GRS-2019-0001-0003

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:  
• forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request  
• inventories • forms accompanying documents to ensure continuing control,

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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-2016-0002-0004

**Disposition Instruction**

Retention Period Destroy 5 years after date of last entry or final action by agency, as appropriate, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

**Privacy complaint files.**

Disposition Authority Number DAA-GRS-2019-0001-0004

Records of privacy complaints (and responses) agencies receive in these categories: • process and procedural (consent, collection, and appropriate notice) • redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act) • operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction) • complaints referred to another organization

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

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Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 4.2, item 065	

**Disposition Instruction**

Retention Period **Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval **Not Required**

5 **Controlled Unclassified Information (CUI) program records.**  
**Exclusion: Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).**

5.1 **CUI program implementation records.**

Disposition Authority Number **DAA-GRS-2019-0001-0005**

**Records of overall program management. Includes:** • records documenting the process of planning agency policy and procedure • agency submissions to the CUI Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI • agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI • correspondence with CUI Executive Agent Exclusion 1: CUI directives and formal policy documents (agencies must schedule these separately). Exclusion 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these). Exclusion 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).

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**

5.2

Manual Citation	Manual Title
GRS 4.2, item 190	

**Disposition Instruction**

Retention Period                      **Destroy when 7 years old, but longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval                              **Not Required**

**CUI information sharing agreements.**

Disposition Authority Number      **DAA-GRS-2019-0001-0006**

**Agreements in which agencies agree to share CUI with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI. Exclusion: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.**

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 191	

**Disposition Instruction**

Retention Period                        **Destroy 7 years after canceled or superseded, but longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval                              **Not Required**

5.3

**Records of waivers of CUI requirements.**

Disposition Authority Number      **DAA-GRS-2019-0001-0007**

Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.

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 192	

**Disposition Instruction**

Retention Period Destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

5.4 Records of requests for decontrol and challenges to CUI designations. Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.

5.4.1 Records filed separately from the record-keeping copy of the CUI-marked records.

Disposition Authority Number DAA-GRS-2019-0001-0008

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 194	

**Disposition Instruction**

Retention Period **Destroy 6 years after change in CUI status, but longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval **Not Required**

**Records of CUI misuse.**

Disposition Authority Number **DAA-GRS-2019-0001-0009**

**Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions. Exclusion: If the agency assigns such investigations to its Inspector General (IG), the agency schedule for IG records covers the records created in the IG office .**

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 195	

**Disposition Instruction**

Retention Period **Destroy 5 years after completing the investigation or completing all corrective actions, whichever is later, but longer retention is authorized if required for business use.**

5.5

**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
11/27/2018	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/14/2019	Submit for Concurrence	Galen Wilson	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/17/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/17/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/19/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist