

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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JOB NO

N1-GRS-87-5

TO **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED 1/20/87

1 FROM *(Agency or establishment)*

NOTIFICATION TO AGENCY

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
2. MAJOR SUBDIVISION

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

OFFICE OF RECORDS ADMINISTRATION
3. MINOR SUBDIVISION

RECORDS APPRAISAL AND DISPOSITION DIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

5 TELEPHONE EXT.

DATE

ARCHIVIST OF THE UNITED STATES

MICHAEL L. MILLER

724-1409

4/5/88
Claudia Miller

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 12 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
1/20/87	<i>Kenneth F. Rossman</i>	Director, Records Appraisal and Disposition Division

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	GENERAL RECORDS SCHEDULE NO. 20 Electronic Records		

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ANNALS nns, nns, nns
#12*

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule applies to disposable electronic records routinely stored on magnetic media by Federal agencies in central data processing facilities, including ones operated for agencies by contractors. It covers records created by computer operators, programmers, analysts, and systems administrators in order to store and maintain computer files in such facilities; certain master files, including some that are components of data base management systems; and certain files created from master files for specific purposes. It does not cover all electronic records. Items covering disposable electronic records produced by end users in office automation applications (e.g., word processing files, certain text files, and data bases developed on personal computers in support of administrative functions) are included in General Records Schedule 23, Records Common to Most Offices. Electronic records not covered by items in GRS 20 or GRS 23 may not be destroyed unless they are covered by an item in a Standard Form 115 that has been approved by the National Archives and Records Administration.

Items 2a and 1a (in part) of this schedule apply to hard-copy or microform records used in conjunction with electronic files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for disposable electronic records regardless of medium in which such documentation and programs exist.

1. Files / Records Created in Central ADP Facilities to Create, Use, and Maintain Master Files.

- a. Electronic files or records created solely to test system performance, such as test records, as well as related documentation for the electronic files / records.

Delete / destroy when no longer needed.

- b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

Delete after information has been transferred to the master file and verified.

- c. Electronic files created to monitor system usage, including, but not limited to, login files, password, files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

Delete when no longer needed in accordance with sound business practice and agency standard operating procedures.

2. Input/Source Records.

- a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

- b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

- c. Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or data base, whichever is later.

- d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or data base.

Delete after the necessary data have been incorporated into a master file.

3. Master Files, (Including Master Files that are Components of Data Base Management Systems) Relating to Administrative Functions.

Master files that

- a) replace, in whole or in part, administrative records scheduled for disposal under one or more items in GRS 1-16, 18, 23, or 25 and
 - b) consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates,
- EXCLUDING those that replace or duplicate the following GRS items: GRS-1, Items 1, 21, 22, 25f; GRS 2, Item 17; GRS 12, Item 3; and GRS 18, Item 6.

Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.

4. Data Files Consisting of Summarized Information.

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is scheduled as part of a disposition job approved by NARA after January 1, 1988, EXCLUDING data files

- a) created as disclosure-free files to allow public access to the data, or
- b) created from a master file or data base that is unscheduled, that was scheduled as permanent but no longer exists, or can no longer be accessed

which may not be destroyed before securing NARA approval.

Delete when no longer needed for current business.

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS-20 or scheduled as part of a NARA approved disposition job, EXCLUDING extracts that are

- a) produced as disclosure-free files to allow public access to the data, or
- b) produced from a master file or data base that

is unscheduled, or that was scheduled as permanent but no longer exists, or can no longer be accessed, or
c) produced by an extraction process which changes the informational content of the source master file or data base,
which may not be destroyed before securing NARA approval. For print and technical reformat files see Items 6 and 7 respectively.

Delete when no longer needed for current business.

6. Print File.

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and reports.

Delete when no longer needed.

7. Technical Reformat File.

Electronic file consisting of data copied from a master file or data base for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when no longer needed.

8. Security Backup File.

Electronic file consisting of data identical in physical format to a master file or data base and retained in case the master file or data base is damaged or inadvertently erased.

- a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been transferred to the National Archives and successfully copied, or when replaced by a subsequent security backup file.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been

deleted, or when replaced by a subsequent security backup file.

9. Finding Aids (or indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when no longer needed, whichever is later.

10. Special Purpose Programs.

Application software necessary solely to use or maintain a master file or data base authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or data base or any master file or data base scheduled for transfer to the National Archives.

Delete when related master file or data base has been deleted.

11. Documentation.

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for disposal in a NARA-approved records schedule, EXCLUDING documentation relating to any unscheduled master file or data base or relating to any master file or data base scheduled for transfer to the National Archives.

Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.