

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2019-0001

Status: APPROVED
Date Approved: 06/19/2019
Last Modified: 11/04/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	Alterations and Additions to GRS 4.2: Information Access and Protection Records
Additional Schedule 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.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 9

Number of Temporary disposition items: 9

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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

Item #	Title	Disposition
0001	FOIA, Privacy Act, and classified documents administrative records.	Temporary
0002	Information access and protection operational records. : Records tracking and controlling access to protected information.	Temporary
0003	Records of accounting for and controlling access to records requested under FOIA, PA, and MDR.	Temporary
0004	Privacy complaint files.	Temporary
0005	Controlled Unclassified Information (CUI) program records. : CUI program implementation records.	Temporary
0006	Controlled Unclassified Information (CUI) program records. : CUI information sharing agreements.	Temporary
0007	Controlled Unclassified Information (CUI) program records. : Records of waivers of CUI requirements.	Temporary
0008	Controlled Unclassified Information (CUI) program records. : Records of requests for decontrol and challenges to CUI designations. : Records filed separately from the record-keeping copy of the CUI-marked records.	Temporary
0009	Controlled Unclassified Information (CUI) program records. : Records of CUI misuse.	Temporary

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Records Schedule Items

DAA-GRS-2019-0001-0001		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	FOIA, Privacy Act, and classified documents administrative records.		
Item Description	<p>Records on managing information access and protection activities. Records include:</p> <ul style="list-style-type: none">correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classificationassociated subject filesfeeder and statistical reports <p>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.</p>		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
MANUAL CITATION			
Agency Code	GRS 4.2, item 001		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
DAA-GRS-2016-0013-0003	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
Retention Period	Other: Destroy when 3 years old, but longer retention is authorized if required for business use.		
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?			

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GAO Approval Required	No
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Group Title	Information access and protection operational records.	
DAA-GRS-2019-0001-0002	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Records tracking and controlling access to protected information.	
Item Description	<p>Includes:</p> <ul style="list-style-type: none">• 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 <p>Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 4.2, item 030	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2016-0002-0002	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: 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		

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2019-0001-0003		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Records of accounting for and controlling access to records requested under FOIA, PA, and MDR.		
Item Description	Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes: <ul style="list-style-type: none">• 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, showing names of people handling the documents, inter-office routing, and comparable data• agent and researcher files		
Is this item media neutral?	Yes		
Is this item a Big Bucket?			
MANUAL CITATION			
Agency Code	GRS 4.2, item 040		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
DAA-GRS-2016-0002-0004	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
Retention Period	Other: 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			

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2019-0001-0004		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Privacy complaint files.	
Item Description	Records of privacy complaints (and responses) agencies receive in these categories: <ul style="list-style-type: none">• 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	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 4.2, item 065	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

Group Title	Controlled Unclassified Information (CUI) program records.
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Group Description	Exclusion: Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).
DAA-GRS-2019-0001-0005	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	CUI program implementation records.
Item Description	<p>Records of overall program management. Includes:</p> <ul style="list-style-type: none">• 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 <p>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).</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 4.2, item 190
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when 7 years old, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2019-0001-0006 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	CUI information sharing agreements.
Item Description	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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 4.2, item 191
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy 7 years after canceled or superseded, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2019-0001-0007 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Records of waivers of CUI requirements.
Item Description	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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	

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MANUAL CITATION	
Agency Code	GRS 4.2, item 192
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: 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	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Controlled Unclassified Information (CUI) program records. : Records of requests for decontrol and challenges to CUI designations.
Group Description	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.
DAA-GRS-2019-0001-0008 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Records filed separately from the record-keeping copy of the CUI-marked records.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 4.2, item 194
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary

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Retention Period	Other: Destroy 6 years after change in CUI status, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Controlled Unclassified Information (CUI) program records.
Group Description	Exclusion: Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).
DAA-GRS-2019-0001-0009	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Records of CUI misuse.
Item Description	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 .
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 4.2, item 195
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: 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.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	

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GAO Approval Required	No
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Signatory Information

Action	User	Date
Approve	David Ferriero	06/19/2019