

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-GRS-05-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>11/4/2004</i>	
1 FROM (Agency or establishment) National Archives and Records Administration		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Government-wide		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Jerome Nashorn	5 TELEPHONE NUMBER 301-837-3635	DATE	ARCHIVIST OF THE UNITED STATES
6. 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 on the attached <u>4</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>11-04-2004</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Paul M. Weston II.</i>		TITLE Director, Life Cycle Management Division
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Revisions to General Records Schedule 20, Items 2, 3, and 11 (see attached sheets)		

Changes/additions to GRS 20, Items 2, 3, and 11, to implement media neutrality and assist agencies in implementing electronic recordkeeping

2. Input/Source Records

- a. Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.). See Note 1.

Destroy after the information has been converted to an electronic medium and verified or when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, whichever is later. EXCLUDED are hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA, even though the records have been copied/converted to an electronic format.

3. Electronic Versions of Previously Scheduled Records.

- a. Electronic versions of records that are scheduled for disposal under one or more items in the GRS. EXCLUDED are records that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5.

- (1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

- (2) When the electronic records are retained to meet recordkeeping requirements.

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

- (3) Hard copy printouts created to meet ad hoc business needs.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- b. Electronic records that support administrative housekeeping functions when the records are derived from or duplicate hard copy records authorized by NARA for destruction in an agency-specific records schedule. EXCLUDED are records covered by schedule items that explicitly state that the disposition instructions apply only to non-electronic records and may not be applied to the electronic versions.

(1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

(2) When the electronic records are retained to meet recordkeeping requirements.

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

(3) Hard copy printouts created to meet ad hoc business needs.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- c. Electronic records that support agency program functions when the records duplicate or replace hard copy records authorized for destruction after a retention period that is less than 20 years after cut-off in a NARA-approved agency-specific records schedule. EXCLUDED are:

web site records (see Note 2)

electronic records that are derived from or replace paper records that are covered by schedule items that explicitly state that the disposition instructions apply only to non-electronic records and may not be applied to the electronic versions

electronic records that are derived from or replace paper records that consist of observations of natural events or the natural environment (e.g., weather, water levels, topographic features, air quality, etc.) or raw, un-summarized demographic and economic data collected for input into studies and statistical reports (e.g., data on wages and prices, education levels, health care, etc.). See Appendix C, Item 15, of the Disposition of Federal Records handbook for more information concerning the types of material covered by this exclusion.

(1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

(2) When the electronic records are retained to meet recordkeeping requirements.

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. See Notes 3 and 4.

(3) Hard copy printouts created to meet ad hoc business needs.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

d. Electronic records that support agency program functions when the records duplicate or replace hard copy records authorized for destruction after a retention period of 20 years or more after cut-off in a NARA-approved agency-specific records schedule

(1) Electronic records

Submit SF 115, Request for Records Disposition Authority, to NARA. See Note 5.

(2) Hard copy printouts created to meet ad hoc business needs.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

e. Electronic Versions of Records Scheduled for Permanent Retention

Electronic records that duplicate or replace hard copy records authorized for permanent retention in a NARA-approved schedule

(1) Electronic records

Submit notification to NARA in accordance with 36 CFR 1228.31(d).

(2) Hard copy printouts created to meet ad hoc business needs.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

11. Documentation.

a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, data base or other electronic records

(1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related electronic records, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

(2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.

Transfer to the National Archives with the permanent electronic records to which the documentation relates.

Notes:

1. The term hard copy records or non-electronic records as used in this schedule includes, in addition to traditional textual files: still picture negatives, prints, slides, and transparencies; aerial photography, maps, charts, and drawings; motion picture film and analog videotape; and analog sound recordings. Therefore, agencies may use Items 3a, 3b and 3c, if applicable, when they convert records maintained in these media to an electronic format (e.g., use digital photography as opposed to traditional negatives or use digital photography to copy traditional negatives). If the records are temporary with a retention period of 20 years or more, agencies must submit an SF 115 to NARA when they convert hard copy records to an electronic format. If records were previously scheduled for permanent retention, agencies must submit a notification to NARA in accordance with 36 CFR 1228.31(d) when they convert hard copy records to an electronic format.
2. This schedule does not provide agencies with disposition authority for records maintained on web sites. Agencies must submit schedules for their web content records even if the recordkeeping copies are covered by previously approved schedules. The only exceptions are instances where the schedule for the recordkeeping copies includes disposition instructions for copies of records maintained on the agency web site (e.g., the schedule for the series at issue includes a separate item or sub-item that provides disposition instructions for the web version).
3. Item 3c may be applied if the electronic records consist of information drawn from multiple previously scheduled hard copy series that are temporary and have retention periods of less than 20 years. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules.
4. Item 3c may not be applied if the electronic records contain substantive information not found in one or more previously scheduled series or if the underlying business processes and/or the regulations or other authorities from which records stem have changed substantially.
5. Agencies need not submit an SF 115 for temporary series retained for 20 years or more if the records are covered by a previously approved schedule item that is media neutral, or by a previously-approved schedule item that provides for the disposal of non-electronic records after they have been converted to an electronic format (e.g., a schedule that provides for the disposal of original paper records after scanning).