



# NIH Records Management Program

## General Records Schedules

### **Background:**

The General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the Federal government. These schedules provide guidance for records relating to finance, human resources, technology, information management, general operations support, and mission support. The GRS is currently undergoing a revision process that will be completed by the end of 2017. This document includes only the revised GRS items and will be updated as new revisions are finalized. NIH Extramural and Intramural Records Schedules take precedence over the GRS. For this reason, several GRS items have been omitted from this document.

Effective April 18, 2016

This schedule excludes all items covered under the NIH Intramural Records Schedule, the NIH Extramural Records Schedule, and the NIH Administrative and Program Records Schedule.

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### 1.0 Finance

#### 1.1 Financial Management and Reporting Records

This schedule covers records created by Federal agencies in carrying out the work of financial management: procuring goods and services, paying bills, collecting debts, accounting for all financial transactions, and monitoring agencies' net worth. It does not apply to copies of records forwarded to the Department of Treasury or the Office of Management and Budget in fulfillment of reporting requirements. These forwarded copies serve unique business purposes at those agencies and are therefore scheduled separately as records of OMB and Treasury.

This schedule covers financial management records of grants and cooperative agreements but does not cover administrative records of such grants and agreements. These administrative records are covered in GRS 1.2.

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, which will likely reappear as new GRS 10.3. This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
1.1	010	<p><b>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</b></p> <p>Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.</p>	Official record held in the office of record	DAA-GRS-2013-0003-0001
1.1	011	<p>Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.</p>	All other copies	DAA-GRS-2013-0003-0002



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<p><b>Procuring goods and services</b> is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. <b>Paying bills</b> means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:</p> <ul style="list-style-type: none"> <li>• contracts</li> <li>• requisitions</li> <li>• purchase orders</li> <li>• interagency agreements</li> <li>• Military Interdepartmental Purchase Requests (MIPRs)</li> <li>• printing requisitions to the Government Printing Office</li> <li>• memoranda of agreement specifying a financial obligation</li> <li>• solicitations/requests for bids, quotations or proposals for contracts and competitive grants</li> <li>• proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants</li> <li>• contingent fee justifications</li> <li>• legal and financial instruments such as bond and surety records</li> <li>• data submitted to the Federal Procurement Data System (FPDS)</li> <li>• FAIR Act (A-76) records linked directly to specific procurement actions</li> <li>• credit card/purchase card/charge card statements and supporting documentation</li> <li>• vendor tax exemption records</li> <li>• invoices</li> <li>• leases</li> <li>• recurring financial transactions such as utility and communications invoices</li> <li>• documentation of contractual administrative requirements submitted by contractors such as status reports</li> </ul>		



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list</li> <li>• records of financing employee relocations</li> </ul> <p><b>Collecting debts</b> includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:</p> <ul style="list-style-type: none"> <li>• records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:               <ul style="list-style-type: none"> <li>○ cash register transaction records</li> <li>○ credit card and charge cards receipts</li> <li>○ records documenting deposits</li> <li>○ records documenting allocation of fees to funds/accounts</li> <li>○ deposit lists and logs</li> <li>○ customer orders</li> <li>○ revolving fund records</li> </ul> </li> <li>• fee and fine collection records</li> <li>• garnishments</li> <li>• sale of excess and surplus personal property</li> <li>• fee or rate schedules and supporting documentation</li> <li>• out-leases of Federal property</li> <li>• debt collection files and cash receipts</li> <li>• writeoffs</li> <li>• copies of checks</li> <li>• payment billing coupons</li> <li>• letters from lenders</li> <li>• payment records</li> <li>• money orders</li> </ul>		



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• journal vouchers</li> <li>• collection schedules</li> </ul> <p><b>Accounting</b> is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:</p> <ul style="list-style-type: none"> <li>• accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:               <ul style="list-style-type: none"> <li>○ statements of transactions</li> <li>○ statements of accountability</li> <li>○ collection schedules and vouchers</li> <li>○ disbursement schedules and vouchers</li> </ul> </li> <li>• vouchers</li> <li>• certificates of closed accounts</li> <li>• certificates of periodic settlements</li> <li>• general funds files</li> <li>• general accounting ledgers</li> <li>• appropriation, apportionment, and allotment files</li> <li>• posting and control files</li> <li>• bills of lading</li> <li>• transportation and travel requests, authorizations, and vouchers</li> <li>• commercial freight vouchers</li> <li>• unused ticket redemption forms</li> </ul> <p><b>Note 1:</b> Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value.</p>		



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<p>Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p><b>Note 2:</b> Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.</p> <p><b>Note 3:</b> The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.</p>		
1.1	012	<p><b>Bids and proposals neither solicited nor accepted.</b> Bids and proposals that are both unsolicited and the subject of no further agency action.</p>	<p><b>Temporary.</b> Destroy when no longer required for business use.</p>	DAA-GRS2016-0001-0001
1.1	020	<p><b>Records supporting compilation of agency financial statements and related audit, and all records of all other reports.</b></p> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>• schedules and reconciliations prepared to support financial statements</li> <li>• documentation of decisions re accounting treatments and issue resolutions</li> <li>• audit reports, management letters, notifications of findings, and recommendations</li> <li>• documentation of legal and management representations and negotiations</li> <li>• correspondence and work papers</li> <li>• interim, quarterly and other reports</li> </ul>	<p><b>Temporary.</b> Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0003-0011



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1.1	030	<b>Property, plant and equipment (PP&amp;E) and other asset accounting.</b> Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: <ul style="list-style-type: none"><li>• purchase orders and contracts</li><li>• invoices</li><li>• appraisals</li><li>• costing and pricing data</li><li>• transactional schedules</li></ul>	<b>Temporary.</b> Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0004
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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• titles</li> <li>• transfer, acceptance and inspection records</li> <li>• asset retirement, excess and disposal records</li> <li>• plant account cards and ledgers pertaining to structures</li> <li>• correspondence and work papers</li> </ul> <p><b>Exclusion:</b> Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.</p>		
1.1	040	<p><b>Cost accounting for stores, inventory, and materials.</b> Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:</p> <ul style="list-style-type: none"> <li>• invoices or equivalent papers used for inventory accounting purposes</li> <li>• inventory accounting returns and reports</li> <li>• working files used in accumulating inventory accounting data</li> <li>• plant account cards and ledgers, other than those pertaining to structures</li> <li>• cost accounting reports and data</li> <li>• depreciation lists/costs</li> <li>• contractor cost reports re contractor-held-government-owned materials and parts</li> <li>• receiving, inspection, and acceptance documentation</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0003-0012
1.1	050	<p><b>Construction contractors' payroll files.</b> Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.</p>	<p><b>Temporary.</b> Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if</p>	DAA-GRS-2013-0003-0003



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1.1	060	<p><b>Contract appeals case files.</b> Records of contract appeals arising under the Contracts Dispute Act. Includes:</p> <ul style="list-style-type: none"> <li>• notice of appeal</li> <li>• acknowledgment of notice</li> <li>• correspondence</li> <li>• copies of contracts, plans, specifications, exhibits, change orders, and amendments</li> <li>• hearing transcripts</li> <li>• documents received from concerned parties               <ul style="list-style-type: none"> <li>• final decisions</li> <li>• other related papers</li> </ul> </li> </ul>		<p><b>Temporary.</b> Destroy 1 year after final resolution, but longer retention is authorized if required for business use.</p>	DAA-GRS2016-0001-0003
1.1	070	<p><b>Vendor and bidder information.</b> Documentation of approved, suspended, and debarred vendors and bidders.</p>	<p><b>Records of suspensions and debarments for violation of the Drug-Free Workplace Act.</b></p>	<p><b>Temporary.</b> Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.</p>	DAA-GRS2016-0001-0004
1.1	071		<p><b>Records of all other suspensions and debarments and all approved vendors and bidders.</b></p>	<p><b>Temporary.</b> Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.</p>	DAA-GRS2016-0001-0005



GRS	Item	Records Description	Disposition Instruction	Disposition Authority
			required for business use.	

## 2.0 Human Resources

### 2.5 Employee Separation Records

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that *may* be contained in these files. They do not mean to convey that all of these records *must* be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.

GRS	Item	Records Description	Disposition Instruction	Disposition Authority	
2.5	010	<b>Separation program management records.</b> Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: <ul style="list-style-type: none"> <li>• registers of separation or transfers such as SF-2807, SF-3103, or similar records</li> <li>• retention registers and related records</li> <li>• reports, correspondence, and control documents</li> <li>• exit interview compilations identifying and tracking trends</li> </ul>	Records not specific to an agency separation initiative.	<b>Temporary.</b> Destroy when no longer required for business use.	DAA-GRS-2014-0004-0001
2.5	011		Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.	<b>Temporary.</b> Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.	DAA-GRS-2014-0004-0002



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
2.5	020	<p><b>Individual employee separation case files.</b>  Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> <li>• records of counseling activities and outplacement services</li> <li>• exit interview records</li> <li>• exit clearances</li> <li>• checklists of returned property</li> <li>• certifications of removal/non-removal of government records</li> <li>• records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation</li> <li>• records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance)</li> <li>• records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement)</li> <li>• copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use</li> </ul> <p><b>Exclusion:</b> Records required to be filed in employee's OPF are excluded from this item.</p>	<p><b>Temporary.</b>  Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0004-0003
2.5	030	<p><b>Records documenting capture of institutional and specialized knowledge.</b>  Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p><b>Exclusion:</b> Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p>	<p><b>Temporary.</b>  Destroy when no longer required for business use.</p>	DAA-GRS-2014-0004-0004



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
2.5	040	<p><b>Individual employee separation records required to be placed in separating employee's OPF.</b></p> <p>As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• resignation letter</li> <li>• reason for separation (such as reduction in force)</li> <li>• documentation of retirement-option elections and coverage</li> <li>• documentation of indebtedness</li> <li>• documentation of payment or repayment to, or refund from FERS or CSRS</li> <li>• record of employee leave prepared upon transfer or separation</li> <li>• records of most recent performance ratings</li> <li>• designation of beneficiary</li> </ul>	File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.	

### 2.8 Employee Ethics Records

This schedule covers records documenting the activities of executive branch agency ethics program offices.

Records *not* covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs.

Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, *Tracking and Control Records*. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled. For ethics training records, see GRS 2.6, *Employee Training Records*.

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
2.8	010	<p><b>General ethics program records.</b></p> <p>Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and</p>	<b>Temporary.</b> Destroy 6 years following the	DAA-GRS-2014-0005-0001



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority		
		<p>interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:</p> <ul style="list-style-type: none"> <li>Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.</li> <li>Determinations, including advice and counseling to individual employees, and supporting records.</li> <li>Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.</li> </ul>	<p>conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.</p>			
2.8	020	<p><b>Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files.</b></p> <p>Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, <i>Notification of Conflict of Interest Referral</i>.</p>	<p><b>Temporary.</b> Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0002		
2.8	030	<table border="0"> <tr> <td style="vertical-align: top;"> <p><b>Reports of payments accepted from non-Federal sources.</b></p> </td> <td style="vertical-align: top;"> <p><b>Agency reports.</b> Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.</p> </td> </tr> </table>	<p><b>Reports of payments accepted from non-Federal sources.</b></p>	<p><b>Agency reports.</b> Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.</p>	<p><b>Temporary.</b> Destroy 3 years following submission of the report to OGE, but longer retention is authorized if</p>	DAA-GRS-2014-0005-0003
<p><b>Reports of payments accepted from non-Federal sources.</b></p>	<p><b>Agency reports.</b> Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.</p>					



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
			required for business use.	
2.8	031	<p><b>Supporting documentation.</b> Documentation, such as statements and forms, used to complete the submitted reports.</p>	<p><b>Temporary.</b> Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0004
2.8	040	<p><b>Office of Government Ethics program questionnaire records.</b> Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.</p>	<p><b>Temporary.</b> Destroy 3 years after submission, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0005
2.8	050	<p><b>Ethics program review records.</b> Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.</p>	<p><b>Temporary.</b> Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.</p>	DAA-GRS-2014-0005-0006



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GRS	Item	Records Description		Disposition Instruction	Disposition Authority
2.8	060	<p><b>Public financial disclosure reports.</b> Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p>	<p><b>Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR 2634.603</p>	<p><b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0007
2.8	061		<p><b>All other reports.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR part 2634.603</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0008





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GRS	Item	Records Description	Disposition Instruction	Disposition Authority	
2.8	062	<p><b>Periodic transaction reports.</b>            OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p><b>Legal Citation:</b> STOCK Act, Pub. L. 112-105</p>	<p><b>Temporary.</b>            Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0009	
2.8	063	<p><b>Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105(b)(2)</p>	<p><b>Temporary.</b>            Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0010	
2.8	070	<p><b>Confidential financial disclosure reports.</b>            Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and</p>	<p><b>Reports for individuals not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	<p><b>Temporary.</b>            Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for</p>	DAA-GRS-2014-0005-0011



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records.	active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	
2.8	071	<p><b>All other reports.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	<p><b>Temporary.</b>            Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0012



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority	
2.8	072	<p><b>OGE Optional Form 450-A reports.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604, 5 CFR 2634.905</p> <p><b>Note:</b> The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The “supporting OGE Form 450” cannot be destroyed until the last OGE Form 450-A report is ready for destruction.</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0013	
2.8	080	<p><b>Alternative or additional financial disclosure reports and related records.</b></p>	<p><b>Reports for individuals not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105</p>	<p><b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0014
2.8	081		<p><b>All other reports.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the</p>	DAA-GRS-2014-0005-0015



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
			financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	
2.8	090	<p><b>Financial disclosure supporting documentation.</b> Supporting documentation used to review and verify the filer's report submission. Includes records such as:</p> <ul style="list-style-type: none"> <li>• reviewer's notes</li> <li>• background research reports</li> <li>• memorialized verbal comments of filer in response to reviewer questions</li> </ul>	<b>Temporary.</b> Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.	DAA-GRS-2014-0005-0016
2.8	100	<p><b>Ethics agreements records.</b> Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:</p> <ul style="list-style-type: none"> <li>• review of recusals, resignations, reassignments, and divestitures</li> <li>• determinations</li> </ul>	<p><b>Agreements for employees who do not file financial disclosure reports.</b></p> <p><b>Temporary.</b> Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6</p>	DAA-GRS-2014-0005-0017



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• authorizations</li> <li>• waivers</li> <li>• waivers of disqualifications</li> </ul> <p><b>Note:</b> Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): <i>Prescribing Standards of Ethical Conduct for Government Officers and Employees.</i></p>	years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.	
2.8	101		<p><b>Temporary.</b> Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	DAA-GRS-2014-0005-0018



### 3.0 Technology

#### 3.1 General Technology Management Records

This schedule covers records created and maintained by Federal agencies related to the general management of technology. It includes records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.

This schedule does not apply to system data or content. This schedule does not apply to records documenting the Office of Management and Budget and the US Federal Chief Information Officers Council government-wide information management planning and programming. There may be copies of the Exhibit 300 records within these case files. However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records. Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
3.1	010	<p><b>Information technology development project records.</b></p> <p><b>Infrastructure project records.</b>            Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:</p> <ul style="list-style-type: none"> <li>• maintaining network servers, desktop computers, and other hardware,</li> <li>• installing and upgrading network operating systems and shared applications, and</li> <li>• providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.</li> </ul> <p>Includes records such as:</p>	<p><b>Temporary.</b>            Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0005-0006



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description		Disposition Instruction	Disposition Authority
			<ul style="list-style-type: none"> <li>• installation and testing records</li> <li>• installation reviews and briefings</li> <li>• quality assurance and security review</li> <li>• requirements specifications</li> <li>• technology refresh plans</li> <li>• operational support plans</li> <li>• test plans</li> <li>• models, diagrams, schematics, and technical documentation</li> </ul> <p><b>Exclusion:</b> Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.</p> <p><b>Note:</b> Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p>		
3.1	011		<p><b>System development records.</b>            These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:</p> <ul style="list-style-type: none"> <li>• project plans</li> <li>• feasibility studies</li> <li>• cost analyses</li> <li>• requirements documents</li> <li>• compliance documents including:               <ul style="list-style-type: none"> <li>○ Privacy Threshold Analyses (PTAs)</li> <li>○ Privacy Impact Assessments (PIAs)</li> <li>○ Security Plan</li> <li>○ Information Protection Plan</li> </ul> </li> </ul>	<p><b>Temporary.</b>            Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0005-0007



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• change control records</li> <li>• Project Schedule</li> </ul> <p><b>Exclusion:</b> This item does not apply to system data or content.</p> <p><b>Note 1:</b> For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.</p> <p><b>Note 2:</b> This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.</p>		
3.1	012	<p><b>Special purpose computer programs and applications.</b> Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.</p> <p><b>Exclusion 1:</b> This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.</p> <p><b>Exclusion 2:</b> This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.</p> <p><b>Note:</b> Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.</p>	<p><b>Temporary.</b> Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0005-0008





# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
3.1	020	<p><b>Information technology operations and maintenance records.</b>            Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>• files identifying IT facilities and sites</li> <li>• files concerning implementation of IT facility and site management</li> <li>• equipment support services provided to specific sites:               <ul style="list-style-type: none"> <li>○ reviews</li> <li>○ site visit reports</li> <li>○ trouble reports</li> <li>○ equipment service histories</li> <li>○ reports of follow-up actions</li> <li>○ related correspondence</li> </ul> </li> <li>• inventories of IT assets, network circuits, and building or circuitry diagrams</li> <li>• equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices</li> <li>• requests for service</li> <li>• work orders</li> <li>• service histories</li> <li>• workload schedules</li> <li>• run reports</li> <li>• schedules of maintenance and support activities</li> <li>• problem reports and related decision documents relating to the software infrastructure of the network or system</li> <li>• reports on operations               <ul style="list-style-type: none"> <li>○ measures of benchmarks</li> <li>○ performance indicators</li> <li>○ critical success factors</li> <li>○ error and exception reporting</li> <li>○ self-assessments</li> </ul> </li> </ul>	<p><b>Temporary.</b>            Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0004</p>



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>○ performance monitoring</li> <li>○ management reports</li> <li>● website administration               <ul style="list-style-type: none"> <li>○ frames</li> <li>○ templates</li> <li>○ style sheets</li> <li>○ site maps</li> <li>○ codes that determine site architecture</li> <li>○ change requests</li> <li>○ site posting logs</li> <li>○ clearance records</li> <li>○ requests for correction of incorrect links or content posted</li> <li>○ requests for removal of duplicate information</li> <li>○ user logs</li> <li>○ search engine logs</li> <li>○ audit logs</li> </ul> </li> <li>● records to allocate charges and track payment for software and services</li> </ul> <p><b>Note 1:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p><b>Note 2:</b> Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.</p>		
3.1	030	<p><b>Configuration and Change Management Records.</b>            Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as:</p> <ul style="list-style-type: none"> <li>● data and detailed reports on implementation of systems, applications and modifications</li> <li>● application sizing, resource and demand management records</li> <li>● documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes</li> </ul>	<p><b>Temporary.</b>            Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but</p>	DAA-GRS-2013-0005-0005



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• documentation of software distribution (including COTS software license management files) and release or version management</li> </ul> <p><b>Note 1:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p><b>Note 2:</b> Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>Note 3:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	longer retention is authorized if required for business use.	
3.1	040	<p><b>Information technology oversight and compliance records.</b> Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:</p> <ul style="list-style-type: none"> <li>• recurring and special reports</li> <li>• responses to findings and recommendations</li> <li>• reports of follow-up activities</li> <li>• statistical performance data</li> <li>• metrics</li> <li>• inventory of web activity</li> <li>• web use statistics</li> <li>• comments/feedback from web site or application users</li> <li>• internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act</li> <li>• system availability reports</li> <li>• target IT architecture reports</li> <li>• systems development lifecycle handbooks</li> <li>• computer network assessments and follow-up documentation</li> </ul>	<b>Temporary.</b> Destroy 5 years after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0010



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority	
		<ul style="list-style-type: none"> <li>vulnerability assessment reports</li> <li>assessment and authorization of equipment</li> <li>Independent Verification and Validation (IV&amp;V) reports</li> <li>contractor evaluation reports</li> <li>quality assurance reviews and reports</li> <li>market analyses and performance surveys</li> <li>benefit-cost analyses</li> <li>make vs. buy analysis</li> <li>reports on implementation of plans</li> <li>compliance reviews</li> <li>data measuring or estimating impact and compliance</li> </ul> <p><b>Note:</b> Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.</p>			
3.1	050	<p><b>Data administration records.</b> Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data</p>	<p><b>Documentation necessary for preservation of permanent electronic records.</b> Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:</p> <ul style="list-style-type: none"> <li>data/database dictionary records</li> <li>data systems specifications</li> <li>file specifications</li> <li>code books</li> <li>record layouts</li> <li>metadata</li> <li>user guides</li> <li>output specifications</li> </ul> <p><b>Note 1:</b> Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>Note 2:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed</p>	<p><b>Permanent.</b> Transfer to the National Archives with the permanent electronic records to which the document-tation relates.</p>	DAA-GRS-2013-0005-0002



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description		Disposition Instruction	Disposition Authority
		dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.	at any time after the transfer request has been signed by the National Archives.		
3.1	051		<p><b>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</b></p> <p>Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including</p> <ul style="list-style-type: none"> <li>• data/database dictionary records</li> <li>• data systems specifications</li> <li>• file specifications</li> <li>• code books</li> <li>• record layouts</li> <li>• metadata</li> <li>• user guides</li> <li>• output specifications</li> </ul> <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p> <ul style="list-style-type: none"> <li>• software operating manuals</li> <li>• data standards</li> <li>• table and dependency descriptions</li> <li>• taxonomies</li> <li>• schemas</li> <li>• registries</li> <li>• source code</li> <li>• physical data model</li> <li>• logical data model</li> </ul>	<p><b>Temporary.</b>            Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use</p>	DAA-GRS-2013-0005-0003

### 3.2 Information Systems Security Records

This schedule covers records created and maintained by Federal agencies related to protecting the security of information technology systems and data, and responding to computer security incidents. This schedule does not apply to system data or content.



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
3.2	010	<p><b>Systems and data security records.</b>            These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as:</p> <ul style="list-style-type: none"> <li>• System Security Plans</li> <li>• Disaster Recovery Plans</li> <li>• Continuity of Operations Plans</li> <li>• published computer technical manuals and guides</li> <li>• examples and references used to produce guidelines covering security issues related to specific systems and equipment</li> <li>• records on disaster exercises and resulting evaluations</li> <li>• network vulnerability assessments</li> <li>• risk surveys</li> <li>• service test plans</li> <li>• test files and data</li> </ul>	<p><b>Temporary.</b>            Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.</p>	DAA-GRS-2013-0006-0001
3.2	020	<p><b>Computer security incident handling, reporting and follow-up records.</b>            A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as:</p> <ul style="list-style-type: none"> <li>• reporting forms</li> <li>• reporting tools</li> <li>• narrative reports</li> <li>• background documentation</li> </ul> <p><b>Note:</b> Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office</p>	<p><b>Temporary.</b>            Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0006-0002



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority	
		of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.			
3.2	030	<p><b>System access records.</b> These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:</p> <ul style="list-style-type: none"> <li>• user profiles</li> <li>• log-in files</li> <li>• password files</li> </ul>	<p><b>Systems not requiring special accountability for access.</b> These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	DAA-GRS-2013-0006-0003
3.2	031	<ul style="list-style-type: none"> <li>• audit trail files and extracts</li> <li>• system usage files</li> <li>• cost-back files used to assess charges for system use</li> </ul> <p><b>Exclusion 1.</b> Excludes records relating to electronic signatures.</p> <p><b>Exclusion 2.</b> Does not include monitoring for agency mission activities such as law enforcement.</p>	<p><b>Systems requiring special accountability for access.</b> These are user identification records associated with systems which are highly sensitive and potentially vulnerable.</p>	<p><b>Temporary.</b> Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0006-0004
3.2	040	<p><b>System backups and tape library records.</b> Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p>	<p><b>Incremental backup files.</b></p>	<p><b>Temporary.</b> Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</p>	DAA-GRS-2013-0006-0005
3.2	041		<p><b>Full backup files.</b></p>	<p><b>Temporary.</b> Destroy when second subsequent backup is verified</p>	DAA-GRS-2013-0006-0006



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority	
			as successful or when no longer needed for system restoration, whichever is later.		
3.2	050	<p><b>Backups of master files and databases.</b> Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.</p>	<p><b>File identical to permanent records scheduled for transfer to the National Archives.</b></p>	<p><b>Temporary.</b> Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0006-0007
3.2	051		<p><b>File identical to temporary records authorized for destruction by a NARA-approved records schedule.</b></p>	<p><b>Temporary.</b> Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0006-0008





# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction		Disposition Authority
3.2	060	<p><b>PKI administrative records.</b>            Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to</p>	<p><b>FBCA CAs.</b></p>	<p><b>Temporary.</b>            Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.</p>	<p>N1-GRS-07-3, item 13a1</p>



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction		Disposition Authority
3.2	061	<p>storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.</p> <p><b>Note:</b> Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.</p>	<b>Other (non-FBCA et. al.) CAs.</b>	<b>Temporary.</b> Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3, item 13a2
3.2	062	<p><b>PKI transaction-specific records.</b>            Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the</p>	<b>Temporary.</b> Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the		N1-GRS-07-3, item 13b



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
		<p>trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.</p> <p><b>Note:</b> Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.</p>	<p>maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period.</p>	



### 4.0 Information Management

#### 4.1 Records Management

This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
4.1	010	<p><b>Tracking and control records.</b>  Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes:</p> <ul style="list-style-type: none"> <li>• indexes</li> <li>• lists</li> <li>• registers</li> <li>• inventories</li> <li>• logs</li> </ul> <p><b>Exclusion 1:</b> This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.</p> <p><b>Exclusion 2:</b> This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.</p>	<p><b>Temporary.</b>  Destroy when no longer needed.</p>	<p>DAA-GRS-2013-0002-0016</p>
4.1	020	<p><b>Records management program records.</b>  Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:</p> <ul style="list-style-type: none"> <li>• providing oversight of entire records management program</li> <li>• transferring, destroying, and retrieving records</li> <li>• inventorying records and conducting records surveys</li> <li>• scheduling records</li> </ul>	<p><b>Temporary.</b>  Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if</p>	<p>DAA-GRS-2013-0002-0007</p>



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions)</li> <li>• conducting records "clean out" days</li> <li>• conducting special projects</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• agency records management program surveys or evaluations</li> <li>• reports of surveys or evaluations</li> <li>• reports of corrective action taken in response to agency program surveys or evaluations</li> <li>• disposal authorizations, schedules, and reports</li> <li>• records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority)</li> <li>• SF 135, Records Transmittal and Receipt</li> <li>• OF 11, Reference Request</li> <li>• Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States</li> </ul> <p><b>Exclusion:</b> This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.</p>	needed for business use.	
4.1	030	<p><b>Vital or essential records program records.</b> Records involved in planning, operating, and managing the agency's vital or essential records program. Includes:</p> <ul style="list-style-type: none"> <li>• vital records inventories</li> <li>• vital records cycling plans</li> <li>• results of tests, surveys, or evaluations</li> <li>• reports of corrective action taken in response to agency vital records tests</li> </ul>	<b>Temporary.</b> Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0008



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Title/Description	Disposition Instruction	Disposition Authority
4.1	031	<b>Copies of vital records.</b> Copies of agency records deemed essential to restore agency functions in case of emergency.	<b>Temporary.</b> Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
4.1	040	<b>Forms management records.</b> Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: <ul style="list-style-type: none"> <li>• registers or databases used to record and control the numbers and other identifying data assigned to each form</li> <li>• official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form</li> <li>• background materials and specifications</li> </ul>	<b>Temporary.</b> Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0009

### 4.2 Information Access and Protection Records

This schedule covers records created in the course of agencies (1) responding to requests for access to Government information and (2) protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
4.2	010	<b>General information request files.</b> Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.	<b>Temporary.</b> Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0001
4.2	020	<b>Access and disclosure request files.</b> Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by	<b>Temporary.</b> Destroy 6 years after final agency action or 3 years	DAA-GRS-2013-0007-0002



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>• granting the request in full</li> <li>• granting the request in part</li> <li>• denying the request for any reason including:               <ul style="list-style-type: none"> <li>○ inability to fulfill request because records do not exist</li> <li>○ inability to fulfill request because request inadequately describes records</li> <li>○ inability to fulfill request because search or reproduction fees are not paid</li> </ul> </li> <li>• final adjudication on appeal to any of the above original settlements</li> <li>• final agency action in response to court remand on appeal</li> </ul> <p>Includes:</p> <ul style="list-style-type: none"> <li>• requests (either first-party or third-party)</li> <li>• replies</li> <li>• copies of requested records</li> <li>• administrative appeals</li> <li>• related supporting documents (such as sanitizing instructions)</li> </ul> <p><b>Note 1:</b> Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.</p> <p><b>Note 2:</b> Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p>	<p>after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</p>	
4.2	030	<p><b>Internal information access and protection program operation records.</b></p> <p><b>Information access and protection tracking and control records.</b></p> <p>Includes: • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files</p>	<p><b>Temporary.</b></p> <p>Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if</p>	<p>DAA-GRS-2013-0007-0003</p>



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## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
			required for business use.	
4.2	031	<p><b>Access control records.</b> Includes:</p> <ul style="list-style-type: none"> <li>• safe and padlock combinations</li> <li>• names or other personal identifiers of individuals who know combinations</li> <li>• comparable data used to control access into classified document containers</li> </ul>	<b>Temporary.</b> Destroy when superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0020
4.2	032	<p><b>Records relating to classified or controlled unclassified document containers.</b> Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702. <b>Note:</b> Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p>	<b>Temporary.</b> Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0021
4.2	040	<p><b>Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR.</b> Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:</p> <ul style="list-style-type: none"> <li>• forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request</li> <li>• inventories of controlled records</li> <li>• forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data</li> <li>• agent and researcher files</li> </ul>	<b>Temporary.</b> Destroy or delete 5 years after date of last entry, final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status) or final adjudication	DAA-GRS-2013-0007-0004





# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority	
			by courts, as may apply, whichever is later; but longer retention is authorized if required for business use.		
4.2	050	<p><b>Privacy Act accounting of disclosure files.</b> Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:</p> <ul style="list-style-type: none"> <li>• forms with the subject individual's name</li> <li>• records of the requester's name and address</li> <li>• explanations of the purpose for the request</li> <li>• date of disclosure</li> <li>• proof of subject individual's consent</li> </ul>	<p><b>Temporary.</b> Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.</p>	NC1-64-77-1 item 27	
4.2	060	<p><b>Erroneous release records.</b> Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:</p> <ul style="list-style-type: none"> <li>• requests for information</li> <li>• copies of replies</li> <li>• all related supporting documents</li> </ul>	Records in which record-keeping copy of the released records is interfiled with records of the erroneous release.	<p><b>Temporary.</b> Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p>	DAA-GRS-2015-0002-0001



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GRS	Item	Records Description	Disposition Instruction	Disposition Authority	
4.2	061	<p>May include:</p> <ul style="list-style-type: none"> <li>official copy of records requested or copies</li> </ul>	Files that do not include the record-keeping copy of the released records.	<p><b>Temporary.</b> Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0002-0002
4.2	070	<p><b>Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.</b></p> <p><b>Note:</b> This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p>		<p><b>Temporary.</b> Destroy 2 years after date of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0006
4.2	080	<p><b>Legal and regulatory compliance reporting records.</b> Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.</p>	<p>Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</p> <p><b>Legal citation:</b> OMB M-07-16.</p>	<p><b>Temporary.</b> Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0022
4.2	081		<p>All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</p>	<p><b>Temporary.</b> Destroy 2 years after submission of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0023



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## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
4.2	090	<p><b>Privacy Act amendment request files.</b> Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:</p> <ul style="list-style-type: none"> <li>• requests to amend and to review refusal to amend</li> <li>• copies of agency's replies</li> <li>• statement of disagreement</li> <li>• agency justification for refusal to amend a record</li> <li>• appeals</li> <li>• related materials</li> </ul>	<p><b>Temporary.</b> Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0007
4.2	100	<p><b>Automatic and systematic declassification review program records.</b> Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.</p>	<p><b>Temporary.</b> Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0008
4.2	110	<p><b>Fundamental classification guidance review files.</b> Reports, significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9. <b>Note:</b> This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).</p>	<p><b>Temporary.</b> Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0011



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## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
4.2	120	<p><b>Classified information nondisclosure agreements.</b> Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.</p>	Maintained in the individual's official personnel folder.	Apply the disposition for the official personnel folder.
4.2	121		<p>Maintained separately from the individual's official personnel folder.</p> <p><b>Legal citations:</b> ICD 703, Protection of Classified National Intelligence; 32 CFR</p>	<p><b>Temporary.</b> Destroy when 50 years old.</p>
4.2	130	<p><b>Personally identifiable information extracts.</b> System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p><b>Legal citation:</b> OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."</p>	<p><b>Temporary.</b> Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.</p>	DAA-GRS-2013-0007-0012
4.2	140	<p><b>Personally identifiable information extract logs.</b> Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	DAA-GRS-2013-0007-0013



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4.2	150	<p><b>Privacy Act System of Records Notices (SORNs).</b> Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).</p>		<p><b>Temporary.</b> Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.</p>	DAA-GRS2016-0003-0002
4.2	160	<p><b>Records analyzing Personally Identifiable Information (PII).</b> Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p>	<p><b>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs).</b> Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p>	<p><b>Temporary.</b> Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.</p>	DAA-GRS2016-0003-0003
4.2	161		<p><b>Records of Privacy Impact Assessments (PIAs).</b></p>	<p><b>Temporary.</b> Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for</p>	DAA-GRS2016-0003-0004



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4.2	170	<b>Computer matching program notices and agreements.</b> Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.	<b>Temporary.</b> Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.	DAA-GRS2016-0003-0005
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### 4.3 Input Records, Output Records, and Electronic Copies

This schedule provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. In other words it covers records that contain information duplicated in the recordkeeping copies of electronic records (also known as the master records or master files). This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content. Electronic records not included in GRS 4.3 may not be destroyed unless authorized by a NARA approved schedule.

Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled 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.”

GRS	Item	Records Description		Disposition Instruction	Disposition Authority
4.3	010	<p><b>Hardcopy or analog input/source records.</b> The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be included are:</p>	<p><b>Hardcopy or analog input/source records previously scheduled as temporary.</b> Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p><b>Temporary.</b> Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0001-0001
4.3	011	<ul style="list-style-type: none"> <li>• hardcopy forms used for data input</li> <li>• hardcopy documents that are scanned into an electronic recordkeeping system</li> <li>• hardcopy or analog still pictures, sound recordings, motion picture film, or video recordings that were</li> </ul>	<p><b>Hardcopy or analog input/source records previously scheduled as permanent.</b> Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA’s electronic records standards.</p> <p><b>Exclusion:</b> The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy</p>	<p><b>Temporary.</b> Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) <u>and</u> verification of successful conversion, but longer retention is authorized if</p>	DAA-GRS-2013-0001-0002



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GRS	Item	Records Description		Disposition Instruction	Disposition Authority
		previously scheduled as temporary	<p>must be transferred to NARA according to the agency's approved schedule:</p> <ul style="list-style-type: none"> <li>• Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format.</li> <li>• Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</li> <li>• Hardcopy records that are not incorporated in their entirety into an electronic system.</li> <li>• Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.</li> </ul> <p><b>Legal citations:</b> 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	required for business use.	
4.3	012	<p><b>Hardcopy or analog input/source records not previously scheduled.</b> Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p><b>Exclusion 1:</b> Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</p>		<p><b>Temporary.</b> Destroy immediately after approval of a schedule for the electronic records <u>and after</u> verification of successful conversion, but longer retention is authorized if</p>	DAA-GRS-2013-0001-0003





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GRS	Item	Records Description		Disposition Instruction	Disposition Authority
			<p><b>Exclusion 2:</b> Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p><b>Exclusion 3:</b> Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	required for business use.	
4.3	020	<p><b>Electronic input/source records.</b> Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:</p> <ul style="list-style-type: none"> <li>• electronic files that duplicate information from a source electronic system for input into another electronic system</li> <li>• electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions)</li> <li>• 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 database</li> <li>• metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations</li> </ul> <p><b>Exclusion 1:</b> Original electronic records maintained in the source system.</p> <p><b>Exclusion 2:</b> Electronic input records required for audit and legal purposes.</p> <p><b>Exclusion 3:</b> Electronic input 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.</p>		<p><b>Temporary.</b> Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0001-0004



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority	
		Not media neutral. Applies to electronic records only.			
4.3	030	<p><b>Output records.</b> Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system.</p> <p><b>Exclusion 1:</b> Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p> <p><b>Exclusion 2:</b> Any hardcopy records printed directly from the</p>	<p><b>Ad hoc reports.</b> Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p><b>Exclusion 1:</b> Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p> <p><b>Exclusion 2:</b> Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	DAA-GRS-2013-0001-0005
4.3	031	<p><b>Data file outputs.</b> Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including:</p> <ul style="list-style-type: none"> <li>• data files consisting of summarized or aggregated information (See exclusions)</li> <li>• electronic files consisting of extracted information (See exclusions)</li> </ul>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	DAA-GRS-2013-0001-0006	



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GRS	Item	Records Description		Disposition Instruction	Disposition Authority
		<p>electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p>	<ul style="list-style-type: none"> <li>• print file (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports)</li> <li>• technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions)</li> </ul> <p><b>Exclusion 1:</b> Data files that are created as disclosure-free files to allow public access to the data.</p> <p><b>Exclusion 2:</b> Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed.</p> <p><b>Exclusion 3:</b> Data extracts produced by an extraction process which changes the informational content of the source master file or database.</p> <p><b>Exclusion 4:</b> Technical reformat files created for transfer to NARA.</p> <p><b>Exclusion 5:</b> 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).</p>		



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## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		Not media neutral. Applies to electronic records only.		
4.3	040	<p><b>Non-recordkeeping copies of electronic records.</b>            Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:</p> <ul style="list-style-type: none"> <li>• documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent</li> <li>• senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to an recordkeeping system or otherwise preserved</li> <li>• electronic spreadsheets</li> <li>• digital video or audio files</li> <li>• digital maps or architectural drawings</li> <li>• copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves</li> </ul> <p><b>Note 1:</b> Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.</p> <p><b>Note 2:</b> For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p> <p>Not media neutral. Applies to electronic records only.</p>	<p><b>Temporary.</b>            Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0001-0007



## 6.0 Mission Support

### 6.2 Federal Advisory Committee Records

This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments.

If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply.

For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
<b>Committee Records</b>				
6.2	010	<p><b>Substantive Committee Records (Non-Grant Review Committees)</b>  <b>Exclusion:</b> This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</p> <p>Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include:</p> <ul style="list-style-type: none"> <li>• records related to the establishment of the committee:               <ul style="list-style-type: none"> <li>○ charters (original, renewal, re-establishment, and amended)</li> <li>○ enacting legislation</li> <li>○ explanation of committee need, when required</li> <li>○ filing letters to Congress</li> <li>○ organization charts</li> <li>○ committee specific bylaws, standard operating procedures, or guidelines</li> </ul> </li> </ul>	<p><b>Permanent.</b>            Transfer when records are 15 years old or upon termination of committee, whichever is sooner.</p>	DAA-GRS-2015-0001-0001



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>○ any other materials that document the organization and functions of the committee and its components</li> <li>● records related to committee membership:               <ul style="list-style-type: none"> <li>○ memos or similar documentation of how and/or why individual members were selected</li> <li>○ membership balance plans</li> <li>○ membership rosters</li> <li>○ appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.</li> <li>○ Resignation or termination letters</li> </ul> </li> <li>● records of committee meetings and hearings:               <ul style="list-style-type: none"> <li>○ agency head's determination that a meeting or portion of a meeting may be closed to the public</li> <li>○ agendas</li> <li>○ materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations</li> <li>○ meeting minutes</li> <li>○ public comments</li> <li>○ testimony received during hearings</li> <li>○ transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020)</li> </ul> </li> <li>● records related to committee findings and recommendations:               <ul style="list-style-type: none"> <li>○ one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee</li> <li>○ responses from agency to committee regarding recommendations</li> <li>○ committee presentations or briefings of findings</li> </ul> </li> <li>● records created by committee members:               <ul style="list-style-type: none"> <li>○ correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)</li> </ul> </li> <li>● records related to research collected or created by the committee:               <ul style="list-style-type: none"> <li>○ records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)</li> </ul> </li> </ul>		



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
		<ul style="list-style-type: none"> <li>○ raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies</li> <li>● documentation of advisory committee subcommittees (i.e., working groups, or other subgroups):               <ul style="list-style-type: none"> <li>○ records relating to the formation of the subcommittee or working group, if they exist                   <ul style="list-style-type: none"> <li>▪ decision documents</li> <li>▪ membership</li> <li>▪ statement of purpose or other documentation of duties and responsibilities</li> </ul> </li> <li>○ records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to:                   <ul style="list-style-type: none"> <li>▪ meeting minutes</li> <li>▪ transcripts</li> <li>▪ reports</li> <li>▪ briefing materials</li> <li>▪ substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer)</li> <li>▪ background materials</li> </ul> </li> </ul> </li> <li>● records related to committee termination (i.e., email, letter, memo, etc.).</li> <li>● other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records.</li> </ul> <p><b>Note:</b> Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).</p>		



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
6.2	020	<p><b>Substantive Audiovisual Records (Non-Grant Review Committees)</b></p> <p><b>Exclusion:</b> This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>• audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed</li> <li>• captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings</li> <li>• posters (2 copies) produced by or for the committee</li> </ul>	<p><b>Permanent.</b></p> <p>Transfer when records are 3 years old or upon termination of committee, whichever is sooner.</p>	DAA-GRS-2015-0001-0002
6.2	030	<p><b>Grant Review Committee Records</b></p> <p>Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials.</p> <p><b>Note:</b> If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.</p>	<p><b>Temporary.</b></p> <p>Destroy upon termination of committee.</p>	DAA-GRS-2015-0001-0003
6.2	040	<p><b>Committee Accountability Records</b></p> <p>Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>• travel costs</li> <li>• committee member payments</li> <li>• meeting room costs</li> <li>• contractor costs</li> <li>• Federal Register notice costs</li> </ul> <p><b>Exclusion:</b> Forms filed under the Ethics in Government Act (see note).</p> <p><b>Note:</b> Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).</p>	<p><b>Temporary.</b></p> <p>Destroy when 6 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0001-0004





# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
6.2	050	<p><b>Non-substantive Committee Records</b>  Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.</p> <ul style="list-style-type: none"> <li>• drafts and copies of Federal Register notices</li> <li>• audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)</li> <li>• photographs of committee social functions, routine award events, and other non-mission-related activities</li> <li>• records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.</li> <li>• routine correspondence: <ul style="list-style-type: none"> <li>○ correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues)</li> <li>○ public requests for information</li> </ul> </li> <li>• Non-substantive committee membership records, including: <ul style="list-style-type: none"> <li>○ Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee</li> <li>○ Member credentials (resumes or biographies)</li> <li>○ Member files (personnel-type records)</li> </ul> </li> <li>• Non-substantive web content</li> </ul> <p><b>Note 1:</b> Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.</p> <p><b>Note 2:</b> Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 4.3, item 040.</p>	<p><b>Temporary.</b>  Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0005</p>
<b>Committee Management Records</b>				



# NIH Records Management Program

## General Records Schedules

GRS	Item	Records Description	Disposition Instruction	Disposition Authority
6.2	060	<p><b>Committee Management Records</b>            Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include:</p> <ul style="list-style-type: none"> <li>• agency guidelines</li> <li>• correspondence</li> <li>• requests for approval of committee nominees</li> <li>• copies of records about committees maintained for reporting purposes, such as:               <ul style="list-style-type: none"> <li>○ information provided to GSA Secretariat for annual comprehensive reviews</li> <li>○ statistical data files and reports</li> <li>○ annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act</li> <li>○ financial operating plans and final cost accountings</li> </ul> </li> </ul> <p><b>Note:</b> This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.</p>	<p><b>Temporary.</b>            Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0001-0006</p>