

MANUAL CHAPTER 1743: APPENDIX 1

NIH GENERAL RECORDS SCHEDULE

NIHRecordsManagement@nih.gov

UPDATED April 13, 2018

Table of Contents

1.0 Finance	3
1.1 Financial Management and Reporting Records.....	3
1.3 Budgeting Records	11
2.0 Human Resources	15
2.1 Employee Acquisition Records.....	15
2.2 Employee Management Records.....	25
2.3 Employee Relations Records.....	33
2.4 Employee Compensation and Benefits Records	47
2.5 Employee Separation Records	55
2.6 Employee Training Records.....	59
2.7 Employee Health and Safety Records	61
2.8 Employee Ethics Records	72
3.0 Technology.....	80
3.1 General Technology Management Records.....	80
3.2 Information Systems Security Records	90
4.0 Information Management.....	99
4.1 Records Management.....	99
4.2 Information Access and Protection Records.....	102
4.4 Library Records	112
5.0 General Operations Support	114
5.1 Common Office Records	114
5.2 Transitory and Intermediary Records	117
5.3 Continuity and Emergency Planning Records	120
5.4 Facility, Equipment, Vehicle, Property, and Supply Records	123

5.5 Mail, Printing, and Telecommunication Service Management Records.....	128
5.6 Security Records.....	130
5.7 Agency Accountability Records.....	144
5.8 Administrative Help Desk Records.....	148
6.0 Mission Support	149
6.1 Email Managed under a Capstone Approach	149
6.2 Federal Advisory Committee Records.....	150
6.2 Federal Advisory Committee Records.....	150
6.3 Information Technology Records.....	157
6.4 Public Affairs Records	159
6.5 Public Customer Service Records.....	162
6.6 Rulemaking Records.....	164

NIH General Records Schedule

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
1.0 Finance				
1.1 Financial Management and Reporting Records				
<p>1.1 Financial Management and Reporting Records</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>				
001	<p>Financial management and reporting administrative records.</p> <p>Records related to managing financial activities and reporting. Records include:</p> <ul style="list-style-type: none"> • correspondence • subject files • feeder reports • workload management and assignment records 	Temporary	Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</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> <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. Procuring goods and services 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. Paying bills 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"> • contracts • requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • data submitted to the Federal Procurement Data System (FPDS) • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices 	Temporary	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations <p>Note 1: 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. Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p>Note 2: 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>Note 3: 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>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</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> <p>Collecting debts 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"> • 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: cash register transaction records, credit card and charge cards receipts, records documenting deposits, records documenting allocation of fees to funds/accounts <ul style="list-style-type: none"> o deposit lists and logs o customer orders, revolving fund records • fee and fine collection records • garnishments • sale of excess and surplus personal property • fee or rate schedules and supporting documentation • out-leases of Federal property • debt collection files and cash receipts • write-offs • copies of checks • payment billing coupons • letters from lenders • payment records • money orders • journal vouchers • collection schedules <p>Accounting 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.</p> <p>Accounting records include those such as:</p>	Temporary	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • 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: statements of transactions, statements of accountability, collection schedules and vouchers, disbursement schedules and vouchers • vouchers • certificates of closed accounts • certificates of periodic settlements • general funds files • general accounting ledgers • appropriation, apportionment, and allotment files • posting and control files • bills of lading • transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms • audit reports case files (NIH note) <p>Note 1: 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> <p>Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p>Note 2: 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>Note 3: 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>			
011	<p>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</p> <p>All other copies</p>	Temporary	Destroy when business use ceases.	DAA-GRS-2013-0003-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
012	Bids and proposals neither solicited nor accepted. Bids and proposals that are both unsolicited and the subject of no further agency action.	Temporary	Destroy when no longer required for business use.	DAA-GRS-2016-0001-0001
020	Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Includes records such as: <ul style="list-style-type: none"> • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports 	Temporary	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.	DAA-GRS-2013-0003-0011
030	Property, plant and equipment (PP&E) and other asset accounting. 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: purchase orders and contracts <ul style="list-style-type: none"> • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers Exclusion: 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.	Temporary	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

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	Cost accounting for stores, inventory, and materials. 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: <ul style="list-style-type: none"> • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts receiving, inspection, and acceptance documentation 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0012
050	Construction contractors' payroll files. 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.	Temporary	Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0003
060	Contract appeals case files. Records of contract appeals arising under the Contracts Dispute Act. Includes: <ul style="list-style-type: none"> • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers 	Temporary	Destroy 1 year after final resolution, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders. Records of suspensions and debarments for violation of the Drug-Free Workplace Act.	Temporary	Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0004
071	Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders. Records of all other suspensions and debarments and all approved vendors and bidders.	Temporary	Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	<p>Administrative claims by or against the United States. Records of monetary or property claims by the United States subject to the Federal Claims Collection Standards, completed or closed by:</p> <ul style="list-style-type: none"> • payment in full • compromise agreement • termination of collection action • determination that money or property is not owed to the United States • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian <p>Federal employee or a member or former member of the uniformed services or the National Guard</p> <ul style="list-style-type: none"> • lifting of court order <p>Also, records of monetary claims against the United States, completed or closed by:</p> <ul style="list-style-type: none"> • disallowance in full • allowance in full or in part with final payment awarded • settlement, compromise, or withdrawal • lifting of court order <p>Legal Citations: 31 CFR 900-904 28 U.S.C. 2401 28 U.S.C. 2415(a) 31 U.S.C. 3716(c) 31 U.S.C. 3716(e)</p>	Temporary	Destroy 7 years after final action, but longer retention is authorized if required for business use.	DAA-GRS-2017-0005-0001
1.3 Budgeting Records				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
<p>1.3 Budgeting Records</p> <p>Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.</p> <p>Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.</p> <p>Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.</p> <p>This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It does apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.</p>				
010	<p>Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward. Records created and held by offices that prepare an agency's budget proposal for the White House.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called "Green Books") • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings 	Temporary	Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • final settlement or approved appropriation <p>Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.</p>			
020	<p>Budget execution records. Records created and held by offices that prepare an agency's budget proposal for the White House.</p> <p>Records offices create and receive in the course of implementing and tracking an appropriation. Includes:</p> <ul style="list-style-type: none"> • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews • workforce authorization and distribution • continuing resolution guidance • calculations • impact statements • carryover requests • related records <p>Exclusion: Formal budget reports are covered in items 030 and 031.</p>	Temporary	Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	Budget reports. Full fiscal-year reports. Records created and held by offices that prepare an agency's budget proposal for the White House. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.	Temporary	Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0003
031	Budget reports. All other reports. Records created and held by offices that prepare an agency's budget proposal for the White House. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0004
040	Budget preparation background records. Records held in office responsible for preparing agency's budget proposal to the White House. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	Temporary	Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0005
041	Budget preparation background records. Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0006
050	Budget administration records. Records any office creates and holds. Records documenting administration of budget office responsibilities. Includes: <ul style="list-style-type: none"> • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends • work planning documentation 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • cost structure and accounting code lists • feeder and statistical reports • related correspondence 			
2.0 Human Resources				
2.1 Employee Acquisition Records				
<p>2.1 Employee Acquisition Records</p> <p>This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies’ employee selection processes. Its procedural rules and best practices are spelled out in its “Delegated Examining Operations Handbook.” This schedule reflects OPM’s determinations on appropriate records retention periods.</p> <p>This schedule applies only to civilian employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.</p>				
010	<p>Classification standards. Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval.</p> <p>Exclusion: OPM’s case files on classification standards are not covered by this item.</p>	Temporary	Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate) but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	Position descriptions -- Official record copy of position description. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities. . Copy held at Human Resources office.	Temporary	Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0002
021	Position descriptions -- Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF), and supervisor's personnel file. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities		Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)	
022	Position descriptions -- All other related records. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities. Includes: - case file at position's program office - background material in Human Resources case file - other copies of records in item 020	Temporary	Destroy when position description is final, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0003
030	Position reviews and classification appeals. Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits. Exclusion: OPM's corresponding case file is not covered by this item.	Temporary	Destroy 3 years after position is abolished but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0004
040	Certificates of classification. Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal. Exclusion: OPM's file is not covered by this item.	Temporary	Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	<p>Job vacancy case files -- Records of one-time competitive and Senior Executive Service announcements/selections.</p> <p>Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:</p> <ul style="list-style-type: none"> • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation <p>Legal citation: 5 CFR 335.103</p>	Temporary	Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2014-0002-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
051	<p>Job vacancy case files -- Records of standing register competitive files for multiple positions filled over a period of time.</p> <p>Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:</p> <ul style="list-style-type: none"> • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation <p>Legal citation: 5 CFR 335.103</p>	Temporary	Destroy 2 years after termination of register.	DAA-GRS-2014-0002-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>Job application packages. Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes:</p> <ul style="list-style-type: none"> • application • resume • supplemental forms • other attachments <p>Note: This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files (Items 0050 and 0051).</p>	Temporary	Destroy 1 year after date of submission.	DAA-GRS-2014-0002-0011
070	<p>Case files on lost or exposed job test materials. Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.</p>	Temporary	Destroy 5 years after date of final report.	DAA-GRS-2014-0002-0012
080	<p>Requests for non-competitive personnel action. Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.</p>	Temporary	Destroy 1 year after approval is granted or denied.	DAA-GRS-2014-0002-0013
090	<p>Interview records. Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:</p> <ul style="list-style-type: none"> • copies of records in the job vacancy case file (items 050 and 051) • notes of interviews with selected and non-selected candidates • reference check documentation <p>Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.</p>	Temporary	Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.	DAA-GRS-2014-0002-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	<p>Political appointment (Schedule C) records -- Records (except ethics pledges and waivers) related to appointees. Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes:</p> <ul style="list-style-type: none"> • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees <p>Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	Temporary	Destroy after separation. Retention up to end of administration under which individual was hired is authorized if required for business use.	DAA-GRS-2014-0002-0014

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
101	<p>Political appointment (Schedule C) records -- Ethics pledges and waivers of appointees. Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes:</p> <ul style="list-style-type: none"> • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees <p>Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>		File in appointee's Official Personnel File, per Executive Order 12490.	
102	<p>Political appointment (Schedule C) records -- Records related to non-appointees. Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes:</p> <ul style="list-style-type: none"> • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees <p>Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.</p>	Temporary	Destroy 1 year after consideration of the candidate ends. Retention up to end of administration under which individual was considered is authorized if required for business use.	DAA-GRS-2014-0002-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.			
110	<p>Excepted service appointment records -- Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u). Records created in filling permanent or temporary job vacancies by non-competitive appointment of persons under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):</p> <ul style="list-style-type: none"> • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance <p>Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	Temporary	Destroy 5 years after enter-on-duty date or termination of consideration or declining of offer.	DAA-GRS-2014-0002-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
111	<p>Excepted service appointment records -- Case files related to all other appointees. Records created in filling permanent or temporary job vacancies by non-competitive appointment of persons under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):</p> <ul style="list-style-type: none"> • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance <p>Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	Temporary	Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.	DAA-GRS-2014-0002-0019
120	<p>Special hiring authority program records. Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.</p>	Temporary	Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016
130	<p>Records related to individual employees hired under special temporary authority. Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.</p>	Temporary	Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
140	<p>Pre-appointment files. Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions.</p> <p>Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.</p> <p>Included are forms in the SF-85 family, finger print charts, and related correspondence.</p>	Temporary	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.	
141	<p>Pre-appointment files. Records Appropriate for inclusion in OPF. Records concerning prospective employees who enter on duty.</p> <p>Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.</p> <p>Such as designation of beneficiary, life insurance election, and health benefits registration.</p>		Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142	<p>Pre-appointment files. Records Appropriate for inclusion in OPF. Records concerning prospective employees who do not enter on duty.</p> <p>Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.</p> <p>Such as designation of beneficiary, life insurance election, and health benefits registration.</p>	Temporary	Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009
143	<p>Pre-appointment files. Copies of records included in job vacancy case file (items 050 or 051)</p> <p>Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.</p>	Temporary	Destroy immediately after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
150	Records of delegation of authority for examination and certification. Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment. Exclusion: OPM's records are not covered by this item.	Temporary	Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0021
160	Delegated authority audits. Reports of delegated examining operations audit delivered to the audited agency. Exclusion: OPM's records are not covered by this item.	Temporary	Destroy when 3 years old but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0022
2.2 Employee Management Records				
2.2 Employee Management Records This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.				
010	Employee management administrative records. Records on routine office program support, administration, and human resources operations. Includes: <ul style="list-style-type: none"> • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Workforce and succession planning records. Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations <p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>	Temporary	Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0002
030	<p>Employee incentive award records. Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.</p> <p>Exclusion: Records of Department-level awards require agency-specific schedules.</p>	Temporary	Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0003
040	<p>Official Personnel Folder(OPF)/Electronic OPF (eOPF). Long-term records. The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history. Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.</p> <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> <p>Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.</p> <p>Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.</p> <p>Note 2: Hardcopy original personnel folders scanned into the Enterprise Human</p>	Temporary	Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	Resource Integration (EHRI) e-OPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.			
041	<p>Official Personnel Folder(OPF)/Electronic OPF (eOPF). Short-term records. The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history. Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p>Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records</p> <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> <p>Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.</p> <p>Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) e-OPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.</p>	Temporary	Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.	DAA-GRS-2017-0007-0005
050	<p>Notifications of personnel actions. Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.</p> <p>Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.</p>	Temporary	Destroy when business use ceases.	DAA-GRS-2017-0007-0006
060	Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.	Temporary	Destroy 3 years after employee separates from service or transfers to another agency.	DAA-GRS-2017-0007-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	<p>Employee performance file system record. Acceptable performance appraisals of non-senior executive service employees. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p> <p>Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	Temporary	Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0008
071	<p>Employee performance file system record. Unacceptable performance appraisals of non-senior executive service employees. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p> <p>Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p> <p>Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p> <p>Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	Temporary	Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
072	<p>Employee performance file system record. Records of senior executive service employees. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p> <p>Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	Temporary	Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0010
073	<p>Employee performance file system record. Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p> <p>Superseded performance records of both non-senior executive service employees and senior executive service employees.</p> <p>Legal citation: 5 CFR Part 293.404</p>	Temporary	Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	<p>Supervisors' personnel files. Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p>Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.</p> <p>Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.</p>	Temporary	Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.	DAA-GRS-2017-0007-0012
090	<p>Records related to official passports. Application records. The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p> <p>Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations <p>Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>	Temporary	Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
091	<p>Records related to official passports. Official passport registers. The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p> <p>Registers and lists of agency personnel who have official passports.</p> <p>Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>	Temporary	Destroy when superseded or obsolete.	DAA-GRS-2017-0007-0014
092	<p>Records related to official passports. Official passports of transferred or separated agency personnel. The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p> <p>Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>		Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.	
100	<p>Volunteer service program administrative records. Records documenting routine administration, internal procedures, and general activities, including:</p> <ul style="list-style-type: none"> • general correspondence • annual reports on volunteer activities 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
110	<p>Volunteer Service Case Files. Case files on volunteers. Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students.</p> <p>Records include:</p> <ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked <p>Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.</p>	Temporary	Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0016
111	<p>Volunteer Service Case Files. Case files on individuals whose applications were rejected or withdrawn. Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students.</p> <p>Records include:</p> <ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked <p>Case files on individuals whose applications were rejected or withdrawn.</p>	Temporary	Destroy when 1 year old.	DAA-GRS-2017-0007-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
120	<p>Skill set records. Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p> <p>Exclusion: Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.</p>	Temporary	Destroy when business use ceases.	DAA-GRS-2017-0007-0018
2.3 Employee Relations Records				
<p>2.3 Employee Relations Records</p> <p>This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Alternative Dispute Resolution (ADR) records. ADR program files. ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).</p> <p>This item refers to the program management and routine activities of offices running ADR processes.</p> <p>Includes:</p> <ul style="list-style-type: none"> - program-related correspondence (excludes case-related correspondence) - copies of statutes, regulations - meeting minutes - final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended - copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices) - evaluation records of the ADR program - other records relating to the agency's overall administration of its ADR program. 	Temporary	Destroy when 3 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
011	<p>Alternative Dispute Resolution (ADR) records. ADR case files - Informal process. ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).</p> <p>This item includes records that are not associated with another employee dispute, complaint or grievance process.</p> <p>Includes:</p> <ul style="list-style-type: none"> - agreements to use ADR - documentation of the settlement or discontinuance of the ADR case - parties' written evaluations of the process and/or the neutral third party mediator - correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program) 	Temporary	Destroy 3 years after case is closed. Longer disposition is authorized if required for business use.	DAA-GRS-2015-0007-0002
012	<p>Alternative Dispute Resolution (ADR) records. ADR case files - Formal process. ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).</p> <p>This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances).</p> <p>Includes:</p> <ul style="list-style-type: none"> - agreements to use ADR - documentation of the settlement or discontinuance of the ADR case - parties' written evaluations of the process and/or the neutral third party mediator - correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs) 	Temporary	Destroy 7 years after case is closed. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Reasonable Accommodation Records. Reasonable accommodation program files. Includes information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.</p> <p>Administrative records not linked to a case file. Includes:</p> <ul style="list-style-type: none"> - instructions - directives - notices - timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation - reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance. - notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices. 	Temporary	Destroy 3 years after being superseded. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
021	<p>Reasonable Accommodation Records. Reasonable accommodation employee case files. Includes information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.</p> <p>Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee.</p> <p>Includes:</p> <ul style="list-style-type: none"> - request approvals and denials - notice of procedures for informal dispute resolution or appeal processes, including ADR processes - forms - correspondence - emails - policy guidance documents - records of oral conversations - medical records - supporting notes and documentation 	Temporary	Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0005
030	<p>Equal Employment Opportunity (EEO) Records. EEO program files. General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.</p>	Temporary	Destroy when 3 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
031	<p>Equal Employment Opportunity (EEO) Records. EEO official discrimination complaint case files – Informal process. Cases resolved within the agency that did not go to the formal process stage.</p> <p>Includes: intake sheet, summary report, notes, supporting documentation, correspondence</p> <p>NOTE: If a formal case is filed, all records in the prior informal case are covered by Item 032.</p>	Temporary	Destroy 3 years after resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0007
032	<p>Equal Employment Opportunity (EEO) Records. EEO official discrimination complaint case files – Formal process. Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court.</p> <p>NOTE: This item includes all records gathered in the informal process which become the formal process case file once a formal complaint is filed.</p>	Temporary	Destroy 7 years after resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0008
033	<p>Equal Employment Opportunity (EEO) Records. EEO case files that did not result in an EEO complaint. Includes cases that did not result in an official formal or informal EEO complaint.</p>	Temporary	Destroy 2 years after final resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0009
034	<p>Equal Employment Opportunity (EEO) Records. EEO compliance review files. Reviews, background documents, and correspondence relating to contractor employment practices.</p>	Temporary	Destroy when 7 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0010
035	<p>Equal Employment Opportunity (EEO) Records. EEO reports and employment statistics files. Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.</p>	Temporary	Destroy when 5 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Anti-harassment files. Anti-harassment program files. Records related to harassment outside of the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p>Note: Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p> <p>Includes:</p> <ul style="list-style-type: none"> - program administration - correspondence - program implementation records - reports and responses to oversight agencies and senior level management <p>Exclusion: This item does not apply to government-wide program oversight records created and received by OPM and EEOC.</p>	Temporary	Destroy 3 years after being superseded or obsolete. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0012

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
041	<p>Anti-harassment files. Anti-harassment complaint case files. Records related to harassment outside of the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p>Includes:</p> <ul style="list-style-type: none"> - correspondence - notes - relevant forms - supporting material - background information documentation - documents relating to the agency investigation - statements of witnesses - documents relating to management's determination as to whether harassment occurred - documentation of preventive or corrective measures taken by the agency - documents of interim or intermediate measures taken by the agency - other related records <p>Exclusion: Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including union grievance procedures), and reporting to the Office of Inspector General, are excluded from this series and should be included instead with the related case file.</p>	Temporary	Destroy when 7 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	Labor management relations agreement negotiation records. Office(s) responsible for negotiations. Records relating to negotiations with labor unions. Includes: <ul style="list-style-type: none"> - negotiation agreements - requests to bargain - bargaining session records/notes - correspondence - memoranda - reports - forms - other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 	Temporary	Destroy 5 years after expiration of agreement. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0014
051	Labor management relations agreement negotiation records. All other offices. Records relating to negotiations with labor unions. Includes: <ul style="list-style-type: none"> - negotiation agreements - requests to bargain - bargaining session records/notes - correspondence - memoranda - reports - forms - other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2015-0007-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
052	<p>Labor management relations agreement negotiation records. Labor management relations arbitration records. Records relating to negotiations with labor unions. Includes:</p> <ul style="list-style-type: none"> - negotiation agreements - requests to bargain - bargaining session records/notes - correspondence - memoranda - reports - forms - other records relating to the negotiated agreements and general relationship between management, employee unions and other groups <p>Correspondence, forms, and related records relating to labor arbitration cases.</p>	Temporary	Destroy 5 years after final resolution of case. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>Administrative grievance, disciplinary, and adverse action files. Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes:</p> <ul style="list-style-type: none"> - grievance documents (copy of original grievance submission and supporting documentation/evidence - statements of witnesses - reports of interviews and hearings - examiner's findings and recommendations - copy of the original decision - related correspondence and exhibits <p>Note: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p> <p>Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.</p>	Temporary	Destroy no sooner than 4 years but no less than 7 years after case is closed.	DAA-GRS-2015-0007-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	<p>Administrative grievance, disciplinary, and adverse action files. Adverse action files. Case files and records related to effected adverse actions against employees. Includes:</p> <ul style="list-style-type: none"> - copy of the proposed adverse action - supporting documents - statements of witnesses - employee's reply -hearing notices - reports - decisions -appeal records - supporting documentation of letters of reprimand <p>Exclusion: Excludes letters of reprimand which are filed in the OPF.</p> <p>Note: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p>	Temporary	Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
062	<p>Administrative grievance, disciplinary, and adverse action files. Performance-based action files. Case files and records related to performance-based actions against employees. Includes: • performance appraisal</p> <ul style="list-style-type: none"> - performance improvement plan - supporting documents - copy of the proposed performance-based action - employee's reply - decision notices - hearing notices - appeal records <p>Note: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p>	Temporary	Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0023
070	<p>Displaced employee program files.</p> <p>Includes:</p> <ul style="list-style-type: none"> - program related correspondence - program implementation records - reporting and tracking files sent to oversight agencies such as OPM, and to senior level management - control files - information collected about displaced employees <p>Exclusion: These items do not apply to the Department of Defense.</p>	Temporary	Destroy 3 years after being superseded. Longer disposition is authorized if required for business use.	DAA-GRS-2015-0007-0019

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
071	<p>Displaced employee program files. Displaced employee program application records.</p> <p>Includes:</p> <ul style="list-style-type: none"> - applications - registrations - forms - data - other related documentation <p>Exclusion: These items do not apply to the Department of Defense.</p>	Temporary	Destroy when employee is no longer eligible for displaced employee programs. Longer retention is authorized for business use.	DAA-GRS-2015-0007-0020
080	<p>Telework/alternate worksite records. Telework/alternative worksite program files.</p> <p>Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:</p> <ul style="list-style-type: none"> - correspondence - notes - policy implementation documents - form development files - planning records - program evaluation documentation - reports provided to senior management and oversight agencies such as OPM - other related records generated by the agency or by participating employees 	Temporary	Destroy when 3 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0021

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
081	<p>Telework/alternate worksite records. Forms, requests, or applications to participate in telework/alternate worksite programs.</p> <p>Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:</p> <ul style="list-style-type: none"> - correspondence - notes - policy implementation documents - form development files - planning records - program evaluation documentation - reports provided to senior management and oversight agencies such as OPM - other related records generated by the agency or by participating employees 	Temporary	Destroy 1 year after end of employee's participation in the program. Longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0022

2.4 Employee Compensation and Benefits Records

2.4 Employee Compensation and Benefits Records

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.</p> <p>Includes:</p> <ul style="list-style-type: none"> • additions to paychecks <ul style="list-style-type: none"> o child care subsidies o Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) o other additions • deductions from paychecks <ul style="list-style-type: none"> o insurance o retirement accounts (e.g. Thrift Savings Plan, my Retirement Account, etc.) o flexible spending accounts, such as medical savings and dependent care assistance o union dues o Combined Federal Campaign o garnishments (IRS form 668A—Notice of Levy—and similar records) o Treasury bond purchases o other deductions • authorizations for deposits into bank accounts • changes or corrections to previous transactions either at paying agency or payroll processor 	Temporary	Destroy 2 years after employee separation or retirement, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0001
020	<p>Tax withholding and adjustment documents. Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.</p> <p>Legal citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.</p>	Temporary	Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	<p>Time and attendance records. Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.</p> <p>Legal citation: 29 U.S.C. 516.5a</p>	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	DAA-GRS-2016-0015-0003
040	<p>Agency payroll record for each pay period. Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.</p> <p>Legal citation: 5 U.S.C. 8466</p>	Temporary	Destroy when 56 years old.	DAA-GRS-2016-0015-0004
050	<p>Wage and tax statements. Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.</p> <p>Legal citations: Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).</p>	Temporary	Destroy when 4 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0005
060	<p>Payroll Program Administrative Records. Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.</p>	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0006
061	<p>Payroll Program Administrative Records. Payroll system reports providing fiscal information on agency payroll. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.</p>	Temporary	Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	Donated leave program administrative records. Records related to managing the program, including: <ul style="list-style-type: none"> - records of leave bank management - records of leave bank governing board award decisions - publicity and program announcements - statistical and narrative reports - similar records not linked to individual employee participation 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0008
071	Donated leave program individual case files. Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.	Temporary	Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0009
080	Wage survey files. Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Temporary	Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0010
090	Incentive package records. Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.	Temporary	Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but	DAA-GRS-2016-0015-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			longer retention is authorized if required for business use.	
100	<p>Workers' Compensation (personnel injury compensation) records. Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records. Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim.</p> <p>Includes:</p> <ul style="list-style-type: none"> - forms, reports, correspondence, claims - medical and investigatory records -administrative determinations or court rulings -payment records <p>Exclusion 1: Copies filed in the Employee Medical Folder.</p> <p>Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.</p>	Temporary	Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0012

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
101	<p>Workers' Compensation (personnel injury compensation) records. Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.</p> <p>Includes:</p> <ul style="list-style-type: none"> - forms, reports, correspondence, claims - medical and investigatory records -administrative determinations or court rulings -payment records <p>Exclusion 1: Copies filed in the Employee Medical Folder.</p> <p>Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.</p>	Temporary	Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0013
110	<p>Requests for health benefits under spouse equity. Successful applications, including those denied and successfully appealed. Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.</p>		Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.	
111	<p>Requests for health benefits under spouse equity. Denied applications. Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.</p>	Temporary	Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
120	Child care subsidy program administrative records. Records related to managing the program, including: <ul style="list-style-type: none"> - determining amount of subsidy available to employees - verifying child care centers' accreditation - tracking funds disbursed to individual child care centers - publicity and program announcements - statistical and narrative reports - similar records not linked to individual employee participation 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0015
121	Child care subsidy program individual case files. Case files of individual employee participation in child care subsidy programs, such as: <ul style="list-style-type: none"> - enrollment documentation - applications and supporting documents - eligibility verification (employment, proof of income) - records of other subsidies the employee received - agreements between agencies and employees - notice of approval or denial of participation in program - child care provider information 	Temporary	Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0016
130	Transportation subsidy program administrative records. Records related to managing the program, including: <ul style="list-style-type: none"> - determining subsidy amount available to employees - publicity and program announcements - records of program-wide benefit delivery and receipt - statistical and narrative reports - similar records not linked to individual employee participation 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
131	<p>Transportation subsidy program individual case files. Case files of individual employee participation in transportation subsidy programs, such as:</p> <ul style="list-style-type: none"> - applications and supporting documents - eligibility verification - notice of approval or denial of participation in program - participant training documentation - periodic estimates of transit expenses - record of individual benefit delivery and receipt - de-enrollment documents - settlement of outstanding debts by employee or Government when employee leaves program 	Temporary	Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0018
140	<p>Family Medical Leave Act program administrative records. Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.</p> <p>Legal citation: 29 CFR 825.500</p>	Temporary	Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0019

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
141	<p>Family Medical Leave Act program individual case files.</p> <p>Includes:</p> <ul style="list-style-type: none"> - employee eligibility to participate in program - eligibility notice given to employee - notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them - medical certifications - employee identification data - records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid - leave request, approval/non-approval - leave records - records of premium payments of employee benefits - records of disputes between employers and eligible employees regarding designation of leave as FMLA leave - periodic reports of employee status and intent to return to work <p>Legal citation: 29 CFR 825.500</p>	Temporary	Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0020

2.5 Employee Separation Records

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.

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

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Individual employee separation case files. 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"> • records of counseling activities and outplacement services exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • 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) • 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) • copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use <p>Exclusion: Records required to be filed in employee's OPF are excluded from this item</p>	Temporary	Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.	DAA-GRS-2014-0004-0003
030	<p>Records documenting capture of institutional and specialized knowledge. 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>Exclusion: 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>	Temporary	Destroy when no longer required for business use	DAA-GRS-2014-0004-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Individual employee separation records required to be placed in separating employee's OPF.</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"> • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary 		File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.	N/A
050	<p>Phased retirement administrative records.</p> <p>Records related to managing the program, including: procedural guidance on program administration</p> <ul style="list-style-type: none"> • informational/marketing/publicizing materials • general correspondence • reports to OPM • memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations • documentation of program structure and details as uniquely instituted by agency <p>Exclusion: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.</p>	Temporary	Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
051	<p>Phased retirement individual case files. Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none"> • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others • notice of approval or disapproval • retirement benefit estimates • annuity calculations • phased retirement agreement • records documenting knowledge transfer activities • confidentiality agreement with mentees • action/project plans and logs • correspondence <p>Note: Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020.</p> <p>Exclusion: This item does not cover records held at OPM concerning staff at other agencies.</p>	Temporary	Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.	DAA-GRS-2016-0007-0002
2.6 Employee Training Records				
<p>2.6 Employee Training Records This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Non-mission employee training program records. Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020. Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content • other course materials, such as presentations and videos • student, class, or instructor evaluations <p>Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p>	Temporary	Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0014-0001
040	<p>Senior Executive Service Candidate Development Program (SESCDP). SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p> <p>Program records. Records documenting program scope, policies, planning, budget, and curriculum planning.</p>	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2016-0014-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
041	<p>Senior Executive Service Candidate Development Program (SESCDP). SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p> <p>Case records on SESCO DP participants. Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p>	Temporary	Destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCO DP, but longer retention is authorized if required for business use.	DAA-GRS-2016-0014- 0005
2.7 Employee Health and Safety Records 2.7 Employee Health and Safety Records This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS. Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees. Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.				
010	<p>Clinic scheduling records. Scheduling records of clinic visits, both occupational and non-occupational. Includes:</p> <ul style="list-style-type: none"> • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics 	Temporary	Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Occupational injury and illness program records. Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent <p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p> <p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>	Temporary	Destroy when 6 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0002
030	<p>Occupational health and safety training records. Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 App E(9)</p>	Temporary	Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2017-0010-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Workplace environmental monitoring and exposure records. OSHA-regulated substance monitoring and exposure records. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	Temporary	Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0004
041	<p>Workplace environmental monitoring and exposure records. Occupational noise monitoring and exposure records. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii), 29 CFR Part 1910.1020(d)(1)(iii), and 29 CFR Part 1910.95(m)(3)(i)</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p>	Temporary	Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>			
042	<p>Workplace environmental monitoring and exposure records. Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.1045 App A(vi)(C)</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	Temporary	Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0006
043	<p>Workplace environmental monitoring and exposure records. Background data. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p> <p>Legal Citation: 29 CFR Part 1910.1020(d)(1)(ii)(A)</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard</p>	Temporary	Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p> <p>Note 3: Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p>			
050	<p>Safety Data Sheets (SDS). Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule.</p> <p>Note: Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained.</p> <p>Legal citation: 29 CFR Part 1910.1020(d)(1)(ii)(B)</p>	Temporary	Destroy when business use ceases.	DAA-GRS-2017-0010-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>Occupational individual medical case files. Long-term records. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records <p>Note 1: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504)</p> <p>Note 2: For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Note 3: For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Note 4: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p> <p>Legal Citations: 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).</p> <p>Exclusion 1: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p> <p>Exclusion 2: Individual non-occupational medical records are covered by item 070.</p>	Temporary	Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.	DAA-GRS-2017-0010-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	<p>Occupational individual medical case files. Short-term records.</p> <p>These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records <p>Note: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p> <p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>	Temporary	Destroy 1 year after employee separation or transfer.	DAA-GRS-2017-0010-0010
062	<p>Occupational individual medical case files. Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</p> <p>These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records <p>Note: For those entities subject to OPM's requirements, OPM determines which of</p>	Temporary	Destroy 60 years after retirement to the NARA records storage facility.	DAA-GRS-2017-0010-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p> <p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>			
070	<p>Non-occupational individual medical case files. Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as "patient records" in Title 5 Part 293 Subpart E.</p> <p>Legal Citations: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.</p>	Temporary	Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0012
080	<p>Non-occupational health and wellness program records. Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs 	Temporary	Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
090	<p>Employee Assistance Program (EAP) counseling records. Records related to employee performance or conduct. Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p> <p>Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> • leave and attendance • performance • alleged inappropriate behavior or workplace violence • reason for referral • management interventions • illegal drug or alcohol use • test results for use of illegal drugs • test results for alcohol consumption on the job • substance abuse assessment, treatment, aftercare, and monitoring records <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>	Temporary	Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.	DAA-GRS-2017-0010-0014
091	<p>Employee Assistance Program (EAP) counseling records. Records not related to performance or conduct. Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p> <p>Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions 	Temporary	Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is	DAA-GRS-2017-0010-0015

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes 		authorized if needed for business use.	
100	<p>Employee drug test plans, procedures, and scheduling records. Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:</p> <ul style="list-style-type: none"> • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules <p>Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p>Exclusion 2: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records.</p> <p>Exclusion 3: Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.</p>	Temporary	Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016
110	<p>Employee drug test acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	Temporary	Destroy when employee separates from testing-designated position.	DAA-GRS-2017-0010-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
120	Employee drug testing specimen records. Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.	Temporary	Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0018
130	Employee drug test results. Positive results. Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	Temporary	Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019
131	Employee drug test results. Negative results. Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	Temporary	Destroy when 3 years old.	DAA-GRS-2017-0010-0020

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
2.8 Employee Ethics Records				
<p>2.8 Employee Ethics Records This schedule covers records documenting the activities of executive branch agency ethics program offices.</p> <p>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.</p> <p>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.</p>				
010	<p>General ethics program records. Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and 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"> • 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. • Determinations, including advice and counseling to individual employees, and supporting records. • Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities. 	Temporary	Destroy years 6 following the 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.	DAA-GRS-2014-0005-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files. 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, Notification of Conflict of Interest Referral.	Temporary	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.	DAA-GRS-2014-0005-0002
030	Reports of payments accepted from non-federal sources. Agency reports. 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.	Temporary	Destroy 3 years following submission of the report to OGE, but longer retention is authorized if	DAA-GRS-2014-0005-0003
031	Reports of payments accepted from non-Federal sources. Supporting documentation. Documentation, such as statements and forms, used to complete the submitted reports.	Temporary	Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use	DAA-GRS-2014-0005-0004
040	Office of Government Ethics program questionnaire records. 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.	Temporary	Destroy 3 years after submission, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	<p>Ethics program review records. 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>	Temporary	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.	DAA-GRS-2014-0005-0006
060	<p>Public financial disclosure reports. Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p> <p>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.</p> <p>Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603</p>	Temporary	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.	DAA-GRS-2014-0005-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	<p>Public financial disclosure reports. Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278 (formerly SF 278), OGE Form 278e, and related records.</p> <p>All other reports.</p> <p>Legal Citation: 5 U.S.C. app. section 105, 5 CFR part 2634.603</p>	Temporary	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.	DAA-GRS-2014-0005-0008
062	<p>Public financial disclosure reports. Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p> <p>Periodic transaction reports. OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p>Legal Citation: STOCK Act, Pub. L. 112-105</p>	Temporary	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.	DAA-GRS-2014-0005-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
063	<p>Public financial disclosure reports. Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p> <p>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).</p> <p>Legal Citation: 5 U.S.C. app. section 105(b)(2)</p>	Temporary	Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0010
070	<p>Confidential financial disclosure reports. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450- A), and related records.</p> <p>Reports for individuals not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 CFR 2634.604</p>	Temporary	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.	DAA-GRS-2014-0005-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
071	<p>Confidential financial disclosure reports. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450- A), and related records.</p> <p>All other reports.</p> <p>Legal Citation: 5 CFR 2634.604</p>	Temporary	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.	DAA-GRS-2014-0005-0012
072	<p>Confidential financial disclosure reports. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450- A), and related records.</p> <p>OGE Optional Form 450-A reports.</p> <p>Legal Citation: 5 CFR 2634.604, 5 CFR 2634.905</p> <p>Note: 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>	Temporary	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.	DAA-GRS-2014-0005-0013

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	<p>Alternative or additional financial disclosure reports and related records.</p> <p>Reports for individuals not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 U.S.C. app. section 105</p>	Temporary	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.	DAA-GRS-2014-0005-0014
081	<p>Alternative or additional financial disclosure reports and related records.</p> <p>All other reports.</p> <p>Legal Citation: 5 U.S.C. app. section 105</p>	Temporary	Destroy 6 years after receipt of the 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.	DAA-GRS-2014-0005-0015
090	<p>Financial disclosure supporting documentation. Supporting documentation used to review and verify the filer's report submission. Includes records such as:</p> <ul style="list-style-type: none"> • reviewer's notes • background research reports • memorialized verbal comments of filer in response to reviewer questions 	Temporary	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

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	<p>Ethics agreements records. 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"> • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications <p>Note: 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): Prescribing Standards of Ethical Conduct for Government Officers and Employees.</p> <p>Agreements for employees who do not file financial disclosure reports.</p>	Temporary	Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 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.	DAA-GRS-2014-0005-0017
101	<p>Ethics agreements records. 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"> • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications <p>Note: 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): Prescribing Standards of Ethical Conduct for Government Officers and Employees.</p> <p>Agreements for employees who file financial disclosure reports.</p>	Temporary	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.	DAA-GRS-2014-0005-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
3.0 Technology				
3.1 General Technology Management Records				
<p>3.1 General Technology Management Records</p> <p>GRS Item Records Title/Description Disposition Instruction Disposition Authority</p> <p>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.</p> <p>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.</p>				
001	<p>Technology management administrative records.</p> <p>Records on day-to-day, routine information technology management. Records include:</p> <ul style="list-style-type: none"> • correspondence • subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making • data calls • operational and managerial guidance to organizational segments of the agency <p>Exclusion: This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule.</p>	Temporary	Destroy when 5 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Information technology development project records.</p> <p>Infrastructure project records.</p> <p>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"> • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • 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. <p>Includes records such as:</p> <ul style="list-style-type: none"> • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation <p>Exclusion: 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>Note: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p>	Temporary	Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
011	<p>Information technology development project records.</p> <p>System development records.</p> <p>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"> • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: <ul style="list-style-type: none"> o Privacy Threshold Analyses (PTAs) o Privacy Impact Assessments (PIAs) o Security Plan o Information Protection Plan • change control records • Project Schedule <p>Exclusion: This item does not apply to system data or content.</p> <p>Note 1: 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>Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.</p>	Temporary	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.	DAA-GRS-2013-0005-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
012	<p>Information technology development project records.</p> <p>Special purpose computer programs and applications.</p> <p>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>Exclusion 1: 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>Exclusion 2: 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>Note: 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>		Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Information technology operations and maintenance records. 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. Includes records such as:</p> <ul style="list-style-type: none"> • files identifying IT facilities and sites • files concerning implementation of IT facility and site management equipment support services provided to specific sites: <ul style="list-style-type: none"> o reviews o Site visit reports o trouble reports o equipment service histories o reports of follow-up actions o related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations <ul style="list-style-type: none"> o measures of benchmarks o performance indicators o critical success factors o error and exception reporting o self-assessments o performance monitoring o management reports • website administration <ul style="list-style-type: none"> o frames 	Temporary	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.	DAA-GRS-2013-0005-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> o templates o style sheets o site maps o codes that determine site architecture o change requests o site posting logs o clearance records o requests for correction of incorrect links or content posted o requests for removal of duplicate <p>information</p> <ul style="list-style-type: none"> o user logs o search engine logs o audit logs <ul style="list-style-type: none"> • records to allocate charges and track payment for software and services <p>Note 1: 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>Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.</p>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	<p>Configuration and Change Management Records. 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"> • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution (including COTS software license management files) and release or version management <p>Note 1: 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>Note 2: 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>Note 3: 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>	Temporary	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.	DAA-GRS-2013-0005-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Information technology oversight and compliance records. 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"> • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • 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 • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • vulnerability assessment reports • assessment and authorization of equipment • Independent Verification and Validation (IV&V) reports • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys • benefit-cost analyses • make vs. buy analysis • reports on implementation of plans • compliance reviews • data measuring or estimating impact and compliance <p>Note: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.</p>	Temporary	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

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	<p>Data administration records. 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 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.</p> <p>Documentation necessary for preservation of permanent electronic records. 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"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications <p>Note 1: 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>Note 2: 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>	Permanent	Transfer to the National Archives with the permanent electronic records to which the documentation relates.	DAA-GRS-2013-0005-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
051	<p>Data administration records. 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 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.</p> <p>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records. 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"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p> <ul style="list-style-type: none"> • software operating manuals • table and dependency descriptions • schemas • source code model • logical data model • data standards • taxonomies • registries • physical data 	Temporary	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	DAA-GRS-2013-0005-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
3.2 Information Systems Security Records				
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.				
010	Systems and data security records. 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: <ul style="list-style-type: none"> • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data 	Temporary	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.	DAA-GRS-2013-0006-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Computer security incident handling, reporting and follow-up records.</p> <p>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"> • reporting forms • reporting tools • narrative reports • background documentation <p>Note: 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 of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.</p>	Temporary	Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	<p>System access records. 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"> • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use <p>Exclusion 1. Excludes records relating to electronic signatures.</p> <p>Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.</p> <p>Systems not requiring special accountability for access. 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>	Temporary	Destroy when business use ceases.	DAA-GRS-2013-0006-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
031	<p>System access records. 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"> • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use <p>Exclusion 1. Excludes records relating to electronic signatures.</p> <p>Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.</p> <p>Systems requiring special accountability for access. These are user identification records associated with systems which are highly sensitive and potentially vulnerable.</p>	Temporary	Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0004
040	<p>System backups and tape library records. Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p> <p>Incremental backup files.</p>	Temporary	Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0005
041	<p>System backups and tape library records. Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p> <p>Full backup files.</p>	Temporary	Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	<p>Backups of master files and databases. 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>File identical to permanent records scheduled for transfer to the National Archives.</p>	Temporary	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.	DAA-GRS-2013-0006-0007
051	<p>Backups of master files and databases. 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>File identical to temporary records authorized for destruction by a NARA-approved records schedule.</p>	Temporary	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.	DAA-GRS-2013-0006-0008

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>PKI administrative records.</p> <p>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 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>Note: Select PKI administrative records serve as transaction records that must be</p>	Temporary	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.	N1-GRS-07-3, item 13a1

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>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> <p>FBCA CAs.</p>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
061	<p>PKI administrative records.</p> <p>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 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>Note: Select PKI administrative records serve as transaction records that must be</p>	Temporary	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

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>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> <p>Other (non-FBCA et. al.) CAs.</p>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
062	<p>PKI transaction-specific records. 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 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>Note: 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>	Temporary	Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the 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.	N1-GRS-07-3, item 13b
4.0 Information Management				
4.1 Records Management				
<p>4.1 Records Management Records 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.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Tracking and control records. 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"> • indexes • lists • registers • inventories • logs <p>Exclusion 1: 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>Exclusion 2: 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>	Temporary	Destroy when no longer needed.	DAA-GRS-2013-0002-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Records management program records. 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"> • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventorying records and conducting records surveys • scheduling records • 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) • conducting records "clean out" days • conducting special projects <p>Records include:</p> <ul style="list-style-type: none"> • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States <p>Exclusion: 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>	Temporary	Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	Vital or essential records program records. Records involved in planning, operating, and managing the agency's vital or essential records program. Includes: <ul style="list-style-type: none"> • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests 	Temporary	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
031	Copies of vital records. Copies of agency records deemed essential to restore agency functions in case of emergency.	Temporary	Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
040	Forms management records. 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"> • registers or databases used to record and control the numbers and other identifying data assigned to each form • 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 • background materials and specifications 	Temporary	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				
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.				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
001	<p>FOIA, Privacy Act, and classified documents administrative records. Records on managing information access and protection activities. Records include:</p> <ul style="list-style-type: none"> • correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification, control, and accounting for classified documents • associated subject files • feeder and statistical reports <p>Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.</p>	Temporary	Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0003
010	<p>General information request files. 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.</p>	Temporary	Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Access and disclosure request files. 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:</p> <ul style="list-style-type: none"> • granting the request in full • granting the request in part • denying the request for any reason including: <ul style="list-style-type: none"> o inability to fulfill request because records do not exist o inability to fulfill request because request inadequately describes records o inability to fulfill request because search or reproduction fees are not paid • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal <p>Includes:</p> <ul style="list-style-type: none"> • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) <p>Note 1: 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>Note 2: 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>	Temporary	Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0001
030	<p>Information access and protection operational records.</p> <p>Information access and protection tracking and control records. Includes:</p> <ul style="list-style-type: none"> • 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 	Temporary	Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is	DAA-GRS-2016-0002-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			appropriate. Longer retention is authorized if required for business use.	
031	<p>Information access and protection operational records.</p> <p>Access control records. Includes:</p> <ul style="list-style-type: none"> • safe and padlock combinations • names or other personal identifiers of individuals who know combinations • comparable data used to control access into classified document containers 	Temporary	Destroy when superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0020
032	<p>Information access and protection operational records.</p> <p>Records relating to classified or controlled unclassified document containers. 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.</p> <p>Note: 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>	Temporary	Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Accounting for and control of access to classified and controlled unclassified records and records requested under FOIA, PA, and MDR.</p> <p>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"> • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories of controlled records • forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files 	Temporary	Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later; but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0004
050	<p>Privacy Act accounting of disclosure files.</p> <p>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"> • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent 		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.	NC1-64-77-1 item 27

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>Erroneous release records. 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"> • requests for information • copies of replies • all related supporting documents <p>May include:</p> <ul style="list-style-type: none"> • official copy of records requested or copies <p>Records filed with the record-keeping copy of the erroneously released records.</p>	Temporary	Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.	DAA-GRS-2015-0002-0001
061	<p>Erroneous release records. 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"> • requests for information • copies of replies • all related supporting documents <p>May include:</p> <ul style="list-style-type: none"> • official copy of records requested or copies <p>Records filed separately from the record-keeping copy of the released records.</p>	Temporary	Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.	DAA-GRS-2015-0002-0002
070	<p>Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.</p> <p>Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p>	Temporary	Destroy 2 years after date of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
080	<p>Legal and regulatory compliance reporting records. 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>Legal citation: OMB M-07-16.</p>	Temporary	Destroy 5 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0022
081	<p>Legal and regulatory compliance reporting records. 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>All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</p>	Temporary	Destroy 2 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0023
090	<p>Privacy Act amendment request files. 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"> • requests to amend and to review refusal to amend • copies of agency's replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials 	Temporary	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.	DAA-GRS-2013-0007-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	Automatic and systematic declassification review program records. 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.	Temporary	Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0008
110	Fundamental classification guidance review files. Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).	Temporary	Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0011
120	Classified information nondisclosure agreements. 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. Records maintained in the individual’s official personnel folder.		Apply the disposition for the official personnel folder.	N/A
121	Classified information nondisclosure agreements. 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. Records maintained separately from the individual’s official personnel folder. Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).	Temporary	Destroy when 50 years old.	DAA-GRS-2015-0002-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
130	<p>Personally identifiable information extracts. System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p>Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet “Log and Verify.”</p>	Temporary	Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.	DAA-GRS-2013-0007-0012
140	<p>Personally identifiable information extract logs. 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>	Temporary	Destroy when business use ceases.	DAA-GRS-2013-0007-0013
150	<p>Privacy Act System of Records Notices (SORNs). 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>	Temporary	Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0002
160	<p>Records analyzing Personally Identifiable Information (PII). 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>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs). Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p>	Temporary	Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
161	<p>Records analyzing Personally Identifiable Information (PII). 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>Records of Privacy Impact Assessments (PIAs).</p>	Temporary	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 business use.	DAA-GRS-2016-0003-0004
170	<p>Computer matching program notices and agreements. 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.</p>	Temporary	Temporary. 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-GRS-2016-0003-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
180	<p>Virtual public access library records. Records published by an agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:</p> <ul style="list-style-type: none"> • final concurring and dissenting opinions and orders agencies issue when adjudicating cases • statements of policy and interpretations the agency adopts but does not publish in the Federal Register • administrative staff manuals and instructions to staff that affect a member of the public • copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times • indexes of agency major information systems • descriptions of agency major information and record locator systems • handbooks for obtaining various types and categories of agency public information <p>Exclusion: This item refers only to copies an agency publishes on line for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.</p> <p>Not media neutral. Applies to electronic records only.</p>	Temporary	Destroy when no longer needed.	DAA-GRS-2016-0008-0001

4.4 Library Records

4.4 Library Records

Agency library and information centers collect material related to their agency's mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library's administration and daily operations. This schedule does not cover non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Library administrative records. Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as:</p> <ul style="list-style-type: none"> • strategic plans, project plans • policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material • promotional material describing library services and resources • correspondence and records on library staffing and relations with other libraries • quick guides to library databases and resources , topical or customized reading lists, and bibliographies <p>Note: For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.</p>	Temporary	Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.	DAA-GRS-2015-0003-0001
020	<p>Library operations records. Records documenting the daily activities of running a library. Includes:</p> <ul style="list-style-type: none"> • reference inquiries and responses • correspondence and records about normal cataloging, circulation, and document delivery activities • visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms • photocopying and digitization requests 	Temporary	Destroy when business use ceases.	DAA-GRS-2015-0003-0002
030	Inter Library-Loan (ILL) requests.	Temporary	Destroy 5 years after completing the transaction.	DAA-GRS-2015-0003-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.0 General Operations Support				
5.1 Common Office Records				
<p>5.1 Common Office Records</p> <p>This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established. The only mission-related records this schedule covers are non-recordkeeping copies of electronic records (item 020) that are maintained for decision-making purposes or taking action. Copies maintained solely for convenience of reference are considered non-record materials.</p> <p>This schedule may be applied to records in offices that carry out mission-related activities, but only those records that are described here.</p> <p>This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and the records covered in this schedule is that the records here generally have a longer period of business use than transitory records. This schedule also does not cover materials an agency determines to be non-record or personal.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Administrative records maintained in any agency office. Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists, excluding records scheduled elsewhere in the GRS such as timekeeping and procurement. Records include:</p> <ul style="list-style-type: none"> - staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1) - office-level administrative policies and procedures and files related to their development (see Note 1) - calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level) - informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182) - internal office activity and workload reports - studies and analyses of office administrative functions and activities - non-mission related management reviews and surveys - minutes of meetings related to administrative activities <p>Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.</p> <p>Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.</p>	Temporary	Destroy when business use ceases.	DAA-GRS-2016-0016-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Non-recordkeeping copies of electronic records. Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:</p> <ul style="list-style-type: none"> • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments • electronic spreadsheets • digital still pictures or posters • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves <p>Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. 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 Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records.</p> <p>Note 2: For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p>	Temporary	Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.	DAA-GRS-2016-0016-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	<p>Records of non-mission related internal agency committees. Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency’s mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include:</p> <ul style="list-style-type: none"> -meeting minutes, summaries, agendas, and transcripts - reports and studies - membership records - correspondence, mailing, and distribution records <p>Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records.</p> <p>Note: Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.</p>	Temporary	Destroy when business use ceases.	DAA-GRS-2016-0016-0003

5.2 Transitory and Intermediary Records

5.2 Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

Note that this schedule does not cover original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled and 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.”

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Transitory records. Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:</p> <ul style="list-style-type: none"> - messages coordinating schedules, appointments, and events - transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments - received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees - messages received from agency distribution lists or listservs - “to-do” or task lists and assignments 	Temporary	Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.	DAA-GRS-2017-0003-0001
020	<p>Intermediary records. Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:</p> <ul style="list-style-type: none"> • non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials. • audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • dictation recordings • input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction: <ul style="list-style-type: none"> o hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1) o electronic input source records such as transaction files or intermediate input/output files • ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report • data files output from electronic systems, created for the purpose of information sharing or 	Temporary	Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.	DAA-GRS-2017-0003-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>reference (see Exclusion 2)</p> <p>Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.</p> <p>Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):</p> <ul style="list-style-type: none"> - files created only for public access purposes - summarized information from unscheduled electronic records or inaccessible permanent records - data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original - 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>Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.</p> <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.3 Continuity and Emergency Planning Records				
<p>5.3 Continuity and Emergency Planning Records</p> <p>This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.</p> <p>This schedule does not include the following:</p> <ul style="list-style-type: none"> • external emergency planning records related to providing emergency response and recovery services to the public • records related to high-level Government-wide Continuity of Government (COG) planning • emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes records related to a national disaster or incident response <p>These records may be of permanent value and must be scheduled on an agency-specific records schedule.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Continuity planning and related emergency planning files. Records may include:</p> <ul style="list-style-type: none"> • records on continuity and emergency planning administrative and operational activities: <ul style="list-style-type: none"> o briefing materials and presentations o status reports o informational papers o files documenting policy or plan development, including policy studies o procedures, operational manuals, and related development records o implementation guidance o related correspondence o Memorandum (s) of Understanding (MOU) o Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to: <ul style="list-style-type: none"> o Continuity of Operations (COOP) plans o Devolution Plans o Occupant Emergency Plans (OEP) o Emergency Action Plans (EAP) o Facility Emergency Action Plans (FEAPS) o Records Emergency Plans (REMT) o Disaster Recovery Plans (DRP) o Pandemic Influenza Plans • records on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> o instructions to members participating in tests o staffing assignments o records of tests of communications and facilities • evaluative reports on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> o result reports o readiness reports o risk and vulnerability assessments o site evaluations and inspections o corrective action plans 	Temporary	Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2016-0004-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>o after action reports/improvement plans</p> <p>Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p>Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</p> <p>Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</p> <p>Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</p>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Employee emergency contact information. Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.</p> <p>Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020).</p>	Temporary	Destroy when superseded or obsolete, or upon separation or transfer of employee.	DAA-GRS-2016-0004-0002
5.4 Facility, Equipment, Vehicle, Property, and Supply Records				
<p>5.4 Facility, Equipment, Vehicle, Property, and Supply Records This schedule covers records Federal agencies create and receive while managing, operating, and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocating space and managing supply stock.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:</p> <ul style="list-style-type: none"> • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence <p>Exclusion 1: Records of aircraft operations (item 110 in this schedule covers these). Exclusion 2: Records of supply and property procurement (GRS 1.1, item 010 covers these). Exclusion 3: Requisition and supply records of the General Services Administration's GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies' mission so they must schedule the records separately).</p>	Temporary	Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0001
020	<p>Real property ownership records. Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise. Exclusion 1: Records relating to property acquired prior to January 1, 1921 (agencies must schedule these separately). Exclusion 2: Reports of Excess Real Property (Standard Form 118) and associated real property case files (agencies must schedule these separately).</p>		Transfer to new owner after unconditional sale or Government release of conditions, restrictions, mortgages, or other liens.	DAA-GRS-2016-0011-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	Vehicle and equipment ownership records and operation manuals. Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.	Temporary	Transfer with vehicle or item to new owner or destroy when item is excessed, as appropriate.	DAA-GRS-2016-0011-0003
040	Excess personal property, equipment, and vehicle records. Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes: <ul style="list-style-type: none"> • excess property inventories and lists • lists and other records identifying approved receivers of excess property • donation receipts • destruction certificates • documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence Exclusion: Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0004
060	Facility design, engineering, and construction operations records. Records documenting operational support of facility design, engineering, and construction projects. Includes: <ul style="list-style-type: none"> • project requests and approvals • meeting agendas, minutes, and other records • budget and cost working files • task, punch, and action item lists • work logs • progress reports and presentation materials • related correspondence and notes 	Temporary	Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0007

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
070	<p>Facility, space, and equipment inspection, maintenance, and service records. Records documenting facility structure and long-term maintenance.</p> <p>Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:</p> <ul style="list-style-type: none"> • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules <p>Note: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance.</p> <p>Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).</p>	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0008
071	<p>Facility, space, and equipment inspection, maintenance, and service records. Records tracking completion of custodial and minor repair work.</p> <p>Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:</p> <ul style="list-style-type: none"> • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules <p>Note: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance.</p> <p>Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).</p>	Temporary	Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0009
080	<p>Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:</p>	Temporary	Destroy 3 years after lease termination, lapse, reassignment, rejection of application,	DAA-GRS-2016-0011-0010

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			cancellation of lease, or conclusion of litigation, as applicable.	
090	Land vehicle and water vessel inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes: <ul style="list-style-type: none"> • work orders, service and repair requisitions, and logs • descriptions of provided service and repair, and related papers Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized.	DAA-GRS-2016-0011-0011
110	Vehicle and heavy equipment operator records. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records. Exclusion: Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).	Temporary	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner.	DAA-GRS-2016-0011-0014
140	Vehicle and vessel accident and incident records. Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including: <ul style="list-style-type: none"> • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • copies of investigative reports (see Exclusion for original investigative reports) 	Temporary	Destroy 3 years after case is closed, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0017

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.5 Mail, Printing, and Telecommunication Service Management Records				
5.5 Mail, Printing, and Telecommunication Service Management Records This schedule covers records related to: <ul style="list-style-type: none"> • organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service • administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies • administering printing/binding/duplicating services This schedule specifically excludes certain records from coverage: • objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item's subject matter content) • records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010) • information technology (IT) records (covered under GRS 3.1) • unique agency publications produced by a printing service (the publishing agency must schedule these records) • records documenting agency programs that provide printing services (e.g. the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (e.g. the Armed Forces Radio and Television Service) (those agencies must schedule these records) 				
010	Mail, printing, and telecommunication services administrative and operational records. Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes: <ul style="list-style-type: none"> • agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use • records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment • telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data • records documenting allocation, distribution, and use of telephone calling cards • statistical reports on mail and package shipment volume and costs related correspondence Exclusion: Agreements used to support payment vouchers (GRS 1.1, item 010 covers these)	Temporary	Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Mail, printing, and telecommunication services control records. Records of general day-to-day communication service administration and specific transmission tracking. Includes:</p> <ul style="list-style-type: none"> • records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages • messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity • reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment • records that document requisitioning and receiving stamps and postage meter balances • documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger • staff and office directories the agency uses to ensure correct mail and package delivery • printing requisitions, work orders, samples, manuscript clearances, and related documents • mailing and contact lists a mailroom or similar office manages • telephone message registers and logs <p>Exclusion 1: United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately.</p> <p>Exclusion 2: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these)</p> <p>Exclusion 3: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)</p>	Temporary	Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0002
030	<p>Metered mail records. Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.</p>	Temporary	Destroy when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	Lost, destroyed, or damaged shipment records. Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.	Temporary	Destroy when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0004
5.6 Security Records				
<p>5.6 Security Records This schedule covers records about protecting an organization's personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.</p> <p>Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers. Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.</p>				
010	Security administrative records. Records about routine facility security, protective services, and personnel security program administration. Includes: <ul style="list-style-type: none"> • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals 	Temporary	Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0001
020	Key and card access accountability records. Areas requiring highest level security awareness. Records accounting for keys and electronic access cards. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	Temporary	Destroy 3 years after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0002
021	Key and card access accountability records. All other facility security areas. Records accounting for keys and electronic access cards. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	Temporary	Destroy 6 months after return of key, but longer retention is	DAA-GRS-2017-0006-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
			authorized if required for business use.	
030	<p>Uniform and equipment tracking records. Records tracking uniforms and equipment issued to security personnel, including:</p> <ul style="list-style-type: none"> • firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests • police baton and holder • handcuffs and keys 	Temporary	Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0004
040	<p>Property pass records. Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.</p>	Temporary	Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0005
050	<p>Records of credit card abuse and postal irregularities. Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes:</p> <ul style="list-style-type: none"> • postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail • semi-annual reports on Government charge card violations <p>Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.</p>	Temporary	Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>Unclaimed personal property records. Records for property valued over \$500. Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:</p> <ul style="list-style-type: none"> • lost-and-found logs and release forms • loss statements • receipts • reports <p>Legal Citation: 41 CFR 102-41.130</p>	Temporary	Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0007
061	<p>Unclaimed personal property records. Records for property valued at \$500 or less. Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:</p> <ul style="list-style-type: none"> • lost-and-found logs and release forms • loss statements • receipts • reports <p>Legal citation: 41 CFR 102-41.130</p>	Temporary	Destroy 30 days after the property is found, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0008
070	<p>Interagency Security Committee member records. Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:</p> <ul style="list-style-type: none"> • agendas • meeting minutes • best practice and standards documents • funding documents for security countermeasures <p>Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained</p>	Temporary	Destroy when 10 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0009

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.			
080	<p>Facility security assessment records. Areas requiring highest level security awareness. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes:</p> <ul style="list-style-type: none"> • facility notes • inspector notes and reports • vulnerability assessments Includes areas designated by the Interagency Security Committee as Facility Security Level V. <p>Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	Temporary	Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0010
081	<p>Facility security assessment records. All other facility security areas. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes:</p> <ul style="list-style-type: none"> • facility notes • inspector notes and reports • vulnerability assessments Includes areas designated by the Interagency Security Committee as Facility Security Level V. <p>Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	Temporary	Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0011

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
090	<p>Records of routine security operations. Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> • control center key or code records • registers of patrol and alarm services • service reports on interruptions and tests • emergency alarm contact call lists • temporary identification cards • correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date • round and perimeter check reports, including facility patrol tour data • surveillance records <ul style="list-style-type: none"> o recordings of protective mobile radio transmissions o video surveillance recordings o closed circuit television (CCTV) records • door slip summaries <p>Exclusion: Law enforcement officer-related records, which are covered by agency-specific schedules.</p> <p>Note: Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.</p>	Temporary	Destroy when 30 days old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0012

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
100	<p>Accident and incident records. Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes:</p> <ul style="list-style-type: none"> • statements of witnesses • warning notices • records about arrests, commitments, and traffic violations • accident and incident reports • law enforcement agency requests for information <p>Exclusion 1: Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules.</p> <p>Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.</p> <p>Exclusion 3: Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.</p>	Temporary	Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.	DAA-GRS-2017-0006-0013
110	<p>Visitor processing records. Areas requiring highest level security awareness. Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.</p> <p>Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p> <p>Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	Temporary	Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0014

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
111	<p>Visitor processing records. All other facility security areas. Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.</p> <p>Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p> <p>Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0015
120	<p>Personal identification credentials and cards. Application and activation records. Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p> <p>Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected • lost or stolen credential documentation or police report <p>Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.</p> <p>Note: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.</p>	Temporary	Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0016

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
121	<p>Personal identification credentials and cards. Cards. Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p> <p>Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.</p>	Temporary	Destroy after expiration, confiscation, or return	DAA-GRS-2017-0006-0017
130	<p>Local facility identification and card access records. Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance • parking permits 	Temporary	Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0018

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
140	<p>Sensitive Compartmented Information Facility (SCIF) accreditation records. Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> • initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist 	Temporary	Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0019
150	<p>Sensitive Compartmented Information Facility (SCIF) inspection records. Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals 	Temporary	Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0020
160	<p>Canine (K-9) service records. Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> • acquisition records • breeder and lineage records • vaccination and medical history records • microchip number and identification records • deficiencies/remedies • training courses taken and resulting grades and certifications • initial report of positive detections and bite incidents • end-of-service documentation (through retirement or death) 	Temporary	Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0021

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
170	Personnel security investigative reports. Personnel suitability and eligibility investigative reports. Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	Temporary	Destroy in accordance with the investigating agency instruction.	DAA-GRS-2017-0006-0022
171	Personnel security investigative reports. Reports and records created by agencies conducting investigations under delegated investigative authority. Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	Temporary	Destroy in accordance with delegated authority agreement or memorandum of understanding.	DAA-GRS-2017-0006-0023
180	<p>Personnel security and access clearance records. Records of people not issued clearances. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:</p> <ul style="list-style-type: none"> • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination <p>Includes case files of applicants not hired.</p> <p>Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records. Includes case files of applicants not hired.</p> <p>Exclusion: Copies of investigative reports covered in items 170 and 171.</p>	Temporary	Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0024

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
181	<p>Personnel security and access clearance records. Records of people issued clearances. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:</p> <ul style="list-style-type: none"> • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination <p>Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records. Includes case files of applicants not hired.</p> <p>Exclusion: Copies of investigative reports covered in items 170 and 171.Exclusion: Copies of investigative reports covered in items 170 and 171.</p>	Temporary	Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0025
190	<p>Index to the personnel security case files. Lists or reports showing the current security clearance status of individuals.</p>	Temporary	Destroy when superseded or obsolete.	DAA-GRS-2017-0006-0026
200	<p>Information security violations records. Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.</p> <p>Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.</p> <p>Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	Temporary	Destroy 5 years after close of case or final action, whichever occurs sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0027

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
210	<p>Insider threat administrative and operations records. Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> • correspondence related to data gathering • briefing materials and presentations • status reports • procedures, operational manuals, and related development records • implementation guidance • periodic inventory of all information, files, and systems owned • plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> o independent and self-assessments o corrective action plans o evaluative reports <p>Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.</p>	Temporary	Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0028
220	<p>Insider threat inquiry records. Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p> <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	Temporary	Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0029

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
230	<p>Insider threat information. Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <p>Counterintelligence and security information</p> <ul style="list-style-type: none"> o personnel security files o polygraph examination reports o facility access records, including visitor records o security violation files o travel records o foreign contact reports o financial disclosure filings o referral records o intelligence records <p>• Information assurance information</p> <ul style="list-style-type: none"> o personnel usernames and aliases o levels of network access o levels of physical access o enterprise audit data which is user attributable o unauthorized use of removable media o print logs <p>• Human resources information</p> <ul style="list-style-type: none"> o personnel files o payroll and voucher files o outside work and activities requests o disciplinary files o personal contact records o medical records/data <p>• Investigatory and law enforcement information</p> <ul style="list-style-type: none"> o statements of complainants, informants, suspects, and witnesses o agency, bureau, or department data <p>• Public information</p> <ul style="list-style-type: none"> o court records o private industry data o personal biographical and identification data, including U.S. Government name check 	Temporary	Destroy when 25 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0030

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>data</p> <ul style="list-style-type: none"> o generic open source and social media data <p>Exclusion: Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
240	<p>User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:</p> <ul style="list-style-type: none"> • identify and evaluate anomalous activity involving National Security Systems (NSS) • identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders • support authorized inquiries and investigations <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p> <p>Legal authority: CNSSD No. 504, 4 February 2014</p>	Temporary	Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0031
5.7 Agency Accountability Records				
<p>5.7 Agency Accountability Records</p> <p>This schedule covers records agencies create in three areas of accountability:</p> <ul style="list-style-type: none"> • Internal controls implementing various Office of Management and Budget (OMB) management directives, assessing risks, assuring compliance, and correcting issues, • Mandatory reporting on administrative functions to external entities, and <p>Interaction with the U.S. Office of Special Counsel concerning allegations and claims that fall under its jurisdiction.</p>				
010	<p>Internal administrative accountability and operational management control records.</p> <p>Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes:</p> <ul style="list-style-type: none"> • copies of internal and external directives outlining management control policy • management control plans and records of the planning process • records of management reviews • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • risk analyses and risk profiles • internal controls over reports 	Temporary	Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) records tracking assignments, tasks, and responsibilities administrative correspondence <p>Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).</p> <p>Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p>Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).</p>			
020	<p>Internal control review, response, and mitigation management records.</p> <p>Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p>Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).</p>	Temporary	Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0002
030	<p>Administrative directives and notices.</p> <p>Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.</p> <p>Exclusion: Documents related to mission activities (agencies schedule these separately).</p>	Temporary	Destroy when superseded, obsolete, or no longer needed for business, whichever is later.	DAA-GRS-2017-0008-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Records about authorizing and managing report requirements and parameters. Processing and submission files on reports an agency creates or proposes. Includes copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements.</p>	Temporary	Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0004
050	<p>Mandatory reports to external Federal entities regarding administrative matters. Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements and the FAIR Act. Examples include:</p> <ul style="list-style-type: none"> • Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent • Annual Performance Plan, Annual Performance Report, or equivalent • Statement of Assurance (per FMFIA), or equivalent • Information Collection Budget • report on financial management systems' compliance with requirements (per FMFIA), or equivalent • report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) • service organization auditor report, or equivalent • annual strategic review • identified material weaknesses and corrective actions report • improper payments report • premium class travel report • report on property provided to nonfederal recipients, schools, and nonprofit educational institutions • feeder reports to the Status of Telework in the Federal Government Report to Congress 	Temporary	Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • feeder reports to GSA fleet reports • E-Government status and compliance report (per PRA) <p>Includes ancillary records such as:</p> <ul style="list-style-type: none"> • background and research records • submission packets and compilations • related files <p>Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.</p> <p>Exclusion 2: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040 cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080 covers these).</p>			
060	<p>Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.</p> <p>Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof.</p> <p>Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).</p> <p>Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).</p>	Temporary	Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0006

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
5.8 Administrative Help Desk Records				
<p>5.8 Administrative Help Desk Records</p> <p>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.</p> <p>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.</p> <p>For convenience, the term “committee” is used in this schedule to mean “advisory committee” pursuant to FACA.</p>				
010	<p>Technical and administrative help desk operational records.</p> <ul style="list-style-type: none"> • records of incoming requests (and responses) made by phone, email, web portal, etc. • trouble tickets and tracking logs • quick guides and “Frequently Asked Questions” (FAQs) • evaluations and feedback about help desk services • analysis and reports generated from customer management data • customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports <p>Exclusion: Public customer service records scheduled under GRS 6.5.</p>	Temporary	Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.	DAA-GRS-2017-0001-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
6.0 Mission Support				
6.1 Email Managed under a Capstone Approach				
<p>6.1 Email Managed Under a Capstone Approach</p> <p>Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments.</p> <p>NARA Form 1005, Verification for implementing GRS 6.1</p>				
010	<p>Email of Capstone Officials.</p> <p>Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual's name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), Verification for Implementing GRS 6.1.</p> <p>NOTE: NIH Guidance on Implementation of the Capstone Approach is forthcoming.</p>	Permanent	Cutoff of email by employee tenure. Transfer to NARA when 15 years old.	DAA-GRS 6.1-0443-2017-0001
011	<p>Email of Non-Capstone officials.</p> <p>Email of all other officials, staff, and contractors not included in GRS 6.1 Item 010. Not media neutral; applies to records managed in an electronic format only.</p> <p>NOTE: NIH Guidance on Implementation of the Capstone Approach is forthcoming.</p>	Temporary	Delete when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2014-0001-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
6.2 Federal Advisory Committee Records				
<p data-bbox="111 326 579 354">6.2 Federal Advisory Committee Records</p> <p data-bbox="111 362 1944 461">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.</p> <p data-bbox="111 505 1961 570">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.</p> <p data-bbox="111 613 1455 641">For convenience, the term “committee” is used in this schedule to mean “advisory committee” pursuant to FACA.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Substantive Committee Records (Non-Grant Review Committees)</p> <p>Exclusion: 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"> • records related to the establishment of the committee: <ul style="list-style-type: none"> o charters (original, renewal, re-establishment, and amended) o enacting legislation o explanation of committee need, when required o filing letters to Congress o organization charts o committee specific bylaws, standard operating procedures, or guidelines o any other materials that document the organization and functions of the committee and its components • records related to committee membership: <ul style="list-style-type: none"> o memos or similar documentation of how and/or why individual members were selected o membership balance plans o membership rosters o appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc. o Resignation or termination letters • records of committee meetings and hearings: <ul style="list-style-type: none"> o agency head's determination that a meeting or portion of a meeting may be closed to the public o agendas o materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations o meeting minutes o public comments o testimony received during hearings 	Permanent	Transfer when records are 15 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> o transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020) • records related to committee findings and recommendations: <ul style="list-style-type: none"> o one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee o responses from agency to committee regarding recommendations o committee presentations or briefings of findings • records created by committee members: <ul style="list-style-type: none"> o 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) 			

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Substantive Committee Records (Non-Grant Review Committees) Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. 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"> • records related to research collected or created by the committee: <ul style="list-style-type: none"> o records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data) o 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 • documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): <ul style="list-style-type: none"> o records relating to the formation of the subcommittee or working group, if they exist § decision documents § membership § statement of purpose or other documentation of duties and responsibilities o 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"> § meeting minutes § transcripts § reports § briefing materials § 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) § background materials • records related to committee termination (i.e., email, letter, memo, etc.). • 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. <p>Note: 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</p>	Permanent	Transfer when records are 15 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).			
020	Substantive Audiovisual Records (Non-Grant Review Committees) Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records include: <ul style="list-style-type: none"> • audiotapes, videotapes, and/or other recordings of meetings and hearings not fully 	Permanent	Transfer when records are 3 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<p>transcribed</p> <ul style="list-style-type: none"> captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings posters (2 copies) produced by or for the committee 			
030	<p>Grant Review Committee Records 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>Note: 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>	Temporary	Destroy upon termination of committee.	DAA-GRS-2015-0001-0003
040	<p>Committee Accountability Records 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. Records include:</p> <ul style="list-style-type: none"> travel costs committee member payments meeting room costs contractor costs Federal Register notice costs <p>Exclusion: Forms filed under the Ethics in Government Act (see note).</p> <p>Note: 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>	Temporary	Destroy when 6 years old. Longer retention is authorized if required for business use.	DAA-GRS-2015-0001-0004

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
050	<p>Non-substantive Committee Records 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"> • drafts and copies of Federal Register notices • 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) • photographs of committee social functions, routine award events, and other non-mission-related activities • 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. • routine correspondence: <ul style="list-style-type: none"> o correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues) o public requests for information • Non-substantive committee membership records, including: <ul style="list-style-type: none"> o 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 o Member credentials (resumes or biographies) o Member files (personnel-type records) • Non-substantive web content <p>Note 1: 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>Note 2: 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 5.1, item 020.</p>	Temporary	Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.	DAA-GRS-2015-0001-0005

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
060	<p>Committee Management Records 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"> • agency guidelines • correspondence • requests for approval of committee nominees • copies of records about committees maintained for reporting purposes, such as: <ul style="list-style-type: none"> o information provided to GSA Secretariat for annual comprehensive reviews o statistical data files and reports o annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act o financial operating plans and final cost accountings <p>Note: 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>	Temporary	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.	DAA-GRS-2015-0001-0006
6.3 Information Technology Records				
<p>6.3 Information Technology Records This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest.</p> <p>Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Information Technology program and capital investment planning records. Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:</p> <ul style="list-style-type: none"> • strategic and tactical plans • records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications • records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities • reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting • portfolio management records, including clearance and review • Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions • business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets <p>Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately). Exclusion 2: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately). Exclusion 3: System data or content (agencies must schedule these separately). Exclusion 4: Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these). Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).</p>	Temporary	Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0009-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Enterprise architecture records. Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.</p> <p>Exclusion: Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).</p>	Temporary	Destroy 7 years after creating a new iteration of the enterprise or information architecture, but longer retention is authorized if required for business use.	DAA-GRS-2017-0009-0002
6.4 Public Affairs Records				
<p>6.4 Public Affairs Records This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest.</p> <p>Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.</p>				
010	<p>Public affairs-related routine operational records. Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:</p> <ul style="list-style-type: none"> • logistics, planning, and correspondence records for routine conferences and events • correspondence and records on speakers and speaking engagements, including biographies • case files and databases of public comments (related to public affairs activities only) 	Temporary	Destroy when 3 years old, or no longer needed, whichever is later.	DAA-GRS-2016-0005-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
020	<p>Public correspondence and communications not requiring formal action. Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:</p> <ul style="list-style-type: none"> • comments the agency receives but does not act upon or that do not require a response, such as: <ul style="list-style-type: none"> o write-in campaigns o personal opinions on current events or personal experiences o routine complaints or commendations o anonymous communications o suggestion box comments o public correspondence addressed to another entity and copied to the agency or that the agency receives in error o comments posted by the public on an agency website that do not require response or that the agency does not collect for further use • communications from the public that the agency responds to but takes no formal action on • agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting <p>Note 1: For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010.</p> <p>Note 2: The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.</p> <p>Exclusion 1: Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.</p> <p>Exclusion 2: Public comments that the agency takes action on or uses to take action are not covered by this GRS.</p>	Temporary	Destroy when 90 days old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0005-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
030	<p>Public affairs product production files. Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:</p> <ul style="list-style-type: none"> • news clippings • marketing research • copies of records used for reference in preparing products • research notes • printers galleys • drafts and working copies (see Exclusion 3) • preparatory or preliminary artwork or graphics • bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4) • clearances related to release of products (see Exclusion 5 and 6) <p>Note: Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item.</p> <p>Exclusion 1: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.</p> <p>Exclusion 2: This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.</p> <p>Exclusion 3: This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.</p> <p>Exclusion 4: This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.</p> <p>Exclusion 5: Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.</p> <p>Exclusion 6: This item does not cover clearances for release of information related to declassification review.</p>	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2016-0005-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Routine media relations records. Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:</p> <ul style="list-style-type: none"> • requests and responses for interviews • requests and responses for information or assistance for media stories • daily or spot news recordings or videos available to local radio and TV stations • notices or announcements of media events • public service announcements • copies or articles created by the agency for publication in news media <p>Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.</p>	Temporary	Destroy when no longer needed for business use.	DAA-GRS-2016-0005-0004
050	<p>Routine audiovisual records. Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.</p> <p>Note: Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.</p>	Temporary	Destroy when 2 years old but longer retention is authorized if required for business use.	DAA-GRS-2016-0005-0006
6.5 Public Customer Service Records				
<p>6.5 Public Customer Service Records This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll free numbers), dialogue (via chat), and email.</p>				

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
010	<p>Public customer service operations records. Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes:</p> <ul style="list-style-type: none"> • incoming requests and responses • trouble tickets and tracking logs • recordings of call center phone conversations with customers used for quality control and customer service training • system data, including customer ticket numbers and visit tracking • evaluations and feedback about customer services • information about customer services, such as “Frequently Asked Questions” (FAQs) and user guides • reports generated from customer management data • complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports. <p>Exclusion 1: Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency specific schedule.</p> <p>Exclusion 2: Reports that recommend changes or revisions to an agency’s customer service operation; agencies must schedule these records on an agency-specific schedule.</p>	Temporary	Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.	DAA-GRS-2017-0002-0001
020	<p>Customer/client records. Distribution lists used by an agency to deliver specific goods or services. Records include:</p> <ul style="list-style-type: none"> • contact information for customers or clients • subscription databases for distributing information such as publications and data sets produced by the agency • files and databases related to constituent and community outreach or relations • sign-up, request, and opt-out forms 	Temporary	Delete when superseded, obsolete, or when customer requests the agency to remove the records.	DAA-GRS-2017-0002-0002

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
6.6 Rulemaking Records				
<p>6.6 Rulemaking Records</p> <p>Rulemaking is defined by the Administrative Procedure Act (APA) as the “agency process for formulating, amending, or repealing a rule” (5 U.S.C. 551(5)). This process results in the agency issuing a final regulation, which it publishes in the Federal Register and codifies in the Code of Federal Regulations. This schedule covers certain records created in that process. It also covers records documenting public notices that do not relate to rules and regulations but that agencies disseminate via publication in the Federal Register.</p> <p>With one exception (see item 030), this schedule does not cover records created after a proposed rule first appears in the Federal Register (item 020 lists points at which first publication might appear). Records created after first appearance in the Federal Register are contained in a case file, often called a “docket.” Dockets may be of permanent value depending on the particular rule or an agency’s mission. Therefore, each agency must schedule its rulemaking dockets independently.</p>				
010	<p>Records of proposed rule development.</p> <p>Records of internal development of agency rules in preparation for Federal Register publication as a proposed rule, including case files that result in final rules, case files that do not result in final rules, and case files of exemptions to rules. Includes:</p> <ul style="list-style-type: none"> • briefing papers and options papers presented to management • rule/regulation drafts presented to management • internal comments in response to drafts presented to management • stakeholder input • analyses • clearances • summary sheets • background and supporting materials • records documenting a notice of inquiry (NOI) advance notice of proposed rulemaking (ANPRM), or request for information (RFI) in the Federal Register inviting comments on a not-yet-proposed rule, and comments received in response • concept releases • petitions to issue, amend, or repeal a rule • petitions for exemption • decision memoranda • reports and white papers • meeting minutes documenting evaluation of options and decisions made 	Temporary	Destroy 6 years after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0001

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> • workplans and timelines • correspondence <p>Note: GRS 5.2, item 020, covers “drafts produced...for...internal discussion, reference, or consultation.”</p> <p>Exclusion: Schedule and retain as part of a docket any records this item describes that the agency incorporates into that docket.</p>			
020	<p>Proposed and final rule documents published in the Federal Register. Agency copy of rule forwarded to the Federal Register for publication, copy of published notice, and correspondence with the Office of the Federal Register generated at these rulemaking process milestones:</p> <ul style="list-style-type: none"> • advance notice of proposed rulemaking (ANPRM) or notice of inquiry (NOI) inviting participation to help shape a rule still in development • notice of proposed rulemaking (NPRM) to add a new rule or to amend or repeal an existing rule • supplemental notice of proposed rulemaking (SNPRM) or further notice of proposed rulemaking (FNPRM), soliciting comment on a proposed rule significantly altered in response to comments received in response to the NPRM • notice responding to summarized comments • final rule, interim final rule, or direct final rule 	Temporary	Destroy 1 year after publication, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0002
030	<p>Public comments. Public comments agency receives in response to a proposed rule, provided that agency retains a summary of those comments with the rulemaking docket in a docket management system.</p> <p>Exclusion: If the agency does not create a summary of comments, it must schedule individual comments as part of the final rule case file or docket.</p>	Temporary	Destroy 1 year after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0003

Item	Records Description	Record Type	Disposition Instructions	Disposition Authority
040	<p>Federal Register notices other than proposed and final rules. Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency's seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.</p> <p>Note 1: SORNs per se are covered by GRS 4.2, item 150. Note 2: PRA Information Collection reports are covered by GRS 5.7, item 050. Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.</p>	Temporary	Destroy when 1 year old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0004
050	<p>Agency input into the unified agenda. Records that process agency input into the publication of:</p> <ul style="list-style-type: none"> • The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the "unified agenda" or "semiannual regulatory agenda") published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) • agency regulatory flexibility agendas • The Regulatory Plan <p>Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.</p>	Temporary	Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0012-0005