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The General Records Schedules

Transmittal 30

National Archives and Records Administration
December 2019

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Other schedules were issued under previous Transmittals.
You can access all GRS schedules in this [table](#) or this [PDF](#).

TO: Heads of Federal agencies

1. What does this document do?

GRS Transmittal 30 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittal 29 in December 2017. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies.

Transmittal 30 includes additions and revisions to eight previously issued schedules. We are no longer issuing crosswalks and FAQs as part of the transmittal. You can find all schedules (in Word and PDF formats), a master crosswalk, FAQs for all schedules, and FAQs about the whole GRS at <http://www.archives.gov/records-mgmt/grs.html>.

2. What changes does this transmittal make to the GRS?

GRS Transmittal 30 publishes new items in six schedules:

GRS 1.1	Financial Management and Reporting Records	DAA-GRS-2018-0003
GRS 2.1	Employee Acquisition Records	DAA-GRS-2018-0008
GRS 2.3	Employee Relations Records	DAA-GRS-2018-0002
GRS 2.4	Employee Compensation and Benefits Records	DAA-GRS-2018-0001 and DAA-GRS-2019-0004
GRS 4.1	Records Management Records	DAA-GRS-2019-0003
GRS 4.2	Information Access and Protection Records	DAA-GRS-2019-0001

This transmittal also publishes updates to previously approved items in two schedules:

GRS 1.3	Budgeting Records	DAA-GRS-2015-0006
GRS 5.7	Agency Accountability Records	DAA-GRS-2017-0008

We discuss these new and altered items in questions 3-11 below.

3. What changes did we make to GRS 1.1?

We added items 090 and 100 to cover purchase and travel credit card applications/approval, and Small and Disadvantaged Business Utilization records. We removed Item 013, Data submitted to the Federal Procurement Data System (FPDS), because these records no longer exist as a discrete body. Agencies now enter data directly into FPDS.

4. What changes did we make to GRS 1.3?

We added one bullet—carryover requests—to item 020, Budget execution records.

5. What changes did we make to GRS 2.1?

We added items 170, 171, and 180 to cover adverse impact files and recruitment records.

6. What changes did we make to GRS 2.3?

We totally revised this schedule to merge similar items, reducing what was previously 23 items to 13. We also added new items 080 and 100 to cover Merit Systems Protection Board and Federal Labor Relations Authority case files.

7. What changes did we make to GRS 2.4?

We altered the disposition instruction for item 010 to replace the previous event-driven retention period with a uniform retention period of 3 years from creation. We altered the disposition instruction for item 030 to remove authorization to destroy records after GAO audit (agencies must retain the records for 3 years regardless of GAO audit). We added item 035 for records documenting overtime work during phased retirement.

9. What changes did we make to GRS 4.1?

We added item 050 to cover validation records for digitizing temporary records.

10. What changes did we make to GRS 4.2?

We removed from item 001's description the bullet for "control and accounting for classified documents," as this clause duplicated this schedule's item 030. We removed from item 030 a bullet for "records documenting receipt, internal routing, dispatch, and destruction of unclassified records" since such records no longer exist. We moved records documenting control of classified and controlled unclassified records from item 040 to item 030. We added item 065 to cover privacy complaint files, and items 190 through 195 to cover records of managing a Controlled Unclassified Information (CUI) program.

11. What changes did we make to GRS 5.7?

We made two edits to item 050, Mandatory reports to external Federal entities regarding administrative matters. We replaced the bullet "Information Collection Budget" with "information collection clearances." The White House produces the Information Collection Budget. This item schedules agency input into that document. We also added three bullets to this same item: EEOC reports, analysis and action plans and other reports required by EEOC's MD 715, and No FEAR Act reports. These records were previously covered in former GRS 2.3, item 035, Equal Employment Opportunity reports and employment statistics files. With the revisions to GRS 2.3 (see question 6), we incorporated these mandatory reports into the GRS item designed to cover a variety of reports.

12. How do agencies cite GRS items?

When you send records to an FRC for storage, you should cite the records' legal authority—the “DAA” number—in the “Disposition Authority” column of the table. Please also include schedule and item number. For example, “DAA-GRS-2017-0007-0008 (GRS 2.2, item 070).”

13. Do agencies have to take any action to implement these GRS changes?

NARA regulations (36 CFR 1226.12(a)) require agencies to disseminate GRS changes within six months of receipt.

Per 36 CFR 1227.12(a)(1), you must follow GRS dispositions that state they must be followed without exception.

Per 36 CFR 1227.12(a)(3), if you have an existing schedule that differs from a new GRS item that does *not* require being followed without exception, and you wish to continue using your agency-specific authority rather than the GRS authority, you must notify NARA within 120 days of the date of this transmittal.

If you do not have an already existing agency-specific authority but wish to apply a retention period that differs from that specified in the GRS, you must submit a records schedule to NARA for approval via the Electronic Records Archives.

14. How can an agency get copies of the new GRS?

You can download the complete current GRS, in PDF format, from NARA's web site at <http://www.archives.gov/records-mgmt/grs.html>.

15. Whom should an agency contact for further information?

Please contact GRS_Team@nara.gov with any questions related to this transmittal.



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Archivist of the United States

GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

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

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

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under GRS 1.3.

This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

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

Item	Records Description	Disposition Instruction	Disposition Authority
001	<p>Financial management and reporting administrative records. 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 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2016-0013-0001</p>
010	<p>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting. 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>Official record held in the office of record.</p>	<p>Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.</p> <p>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>	required for business use.	
011	<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 • 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 • 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>All other copies. Copies used for administrative or reference purposes</p>	<p>Temporary. Destroy when business use ceases.</p> <p>DAA-GRS-2013-0003-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<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: <ul style="list-style-type: none"> ○ cash register transaction records ○ credit card and charge cards receipts ○ records documenting deposits ○ records documenting allocation of fees to funds/accounts ○ deposit lists and logs ○ 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 • writeoffs • 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. Accounting records include those such as:</p>		

Item	Records Description	Disposition Instruction	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: <ul style="list-style-type: none"> ○ 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 <p>Legal citation: 28 U.S. Code 2401(a)</p> <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	Disposition Instruction	Disposition Authority
012	<p>Bids and proposals neither solicited nor accepted. Bids and proposals that are both unsolicited and the subject of no further agency action.</p>	<p>Temporary. Destroy when no longer required for business use.</p>	<p>DAA-GRS-2016-0001-0001</p>
020	<p>Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Includes records such as:</p> <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 	<p>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.</p>	<p>DAA-GRS-2013-0003-0011</p>
030	<p>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:</p> <ul style="list-style-type: none"> • purchase orders and contracts • 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 	<p>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.</p>	<p>DAA-GRS-2013-0003-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>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.</p>		
040	<p>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:</p> <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 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0003-0012
050	<p>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.</p>	<p>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.</p>	DAA-GRS-2013-0003-0003
060	<p>Contract appeals case files. Records of contract appeals arising under the Contracts Dispute Act. Includes:</p> <ul style="list-style-type: none"> • notice of appeal • acknowledgment of notice 	<p>Temporary. Destroy 1 year after final resolution, but</p>	DAA-GRS-2016-0001-0003

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers 		longer retention is authorized if required for business use.	
070	<p>Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.</p>	<p>Records of suspensions and debarments for violation of the Drug-Free Workplace Act.</p>	<p>Temporary. Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0001-0004
071		<p>Records of all other suspensions and debarments and all approved vendors and bidders.</p>	<p>Temporary. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0001-0005
080	<p>Administrative claims by or against the United States. Records of monetary or property claims <i>by</i> 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 		<p>Temporary. Destroy 7 years after final action, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0005-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard • lifting of court order <p>Also, records of monetary claims <i>against</i> 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>		
090	<p>Government purchase card and travel credit card application and approval records. Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include:</p> <ul style="list-style-type: none"> • application for credit card • credit release form • applicant credit report • cardholder agreement • acknowledgement of responsibilities and penalties for misuse • approving official agreement • certificate of appointment (warrant) • card training certificate 	<p>Temporary. Destroy upon card holder separation or when card is returned to office and destroyed, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0003-0001</p>
100	<p>Small and Disadvantaged Business Utilization records. Records maintained by offices of Small and Disadvantaged Business Utilization (offices of Small Business Programs in the Department of Defense) established pursuant to the Small Business Act (15 U.S.C. 644(k), as supplemented). Includes:</p> <ul style="list-style-type: none"> • inquiries or assistance requests from industry or the general public regarding small business contracting, subcontracting, or other funding opportunities 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if</p>	<p>DAA-GRS-2018-0003-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • materials negotiating and promoting small business contracting goals • records of outreach events such as workshops, conferences, specialized vendor outreach sessions, and award ceremonies • event evaluations, surveys, and other customer feedback • reviews of proposed agency acquisitions for bundling and small business contracting opportunities • spending management and goals • forecasting and studies • subcontracting and performance reports • data reported to and gathered from central reporting systems [<i>Note: the systems are scheduled by their owners, not the GRS</i>] • program director’s recommendations to contracting officers regarding awards • complaints and responses to them • Small Business Administration requests or recommendations regarding set-aside of contracts or requirements or changes in acquisition strategies • records documenting receipt and referral of unsolicited proposals or small business capability statements containing proprietary or confidential contractor information • communications with the Small Business Administration Enforcement Ombudsman, per Public Law 104-121, section 30(b)(2) • correspondence 	<p>required for business use.</p>	

GENERAL RECORDS SCHEDULE 1.3: Budgeting Records

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.

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.

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.

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.

Item	Records Description	Disposition Instruction	Disposition Authority
Records created and held by offices that prepare an agency's budget proposal for the White House			
010	<p>Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.</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 	<p>Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0001</p>

Item	Records Description	Disposition Instruction	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 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	
030	<p>Budget reports. 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.</p>	Full fiscal-year reports.	Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0003
031		All other reports.	Temporary. Destroy when 3 years old, but longer retention is	DAA-GRS-2015-0006-0004

Item	Records Description		Disposition Instruction	Disposition Authority
			authorized if required for business use.	
Records any office creates and holds				
040	Budget preparation background records. 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.	Records held in office responsible for preparing agency's budget proposal to the White House.	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		Records held at all other offices.	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 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 • cost structure and accounting code lists • feeder and statistical reports • related correspondence 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007

GENERAL RECORDS SCHEDULE 2.1: Employee Acquisition Records

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.

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.

Item	Records Description	Disposition Instruction	Disposition Authority
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>	<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.</p>	DAA-GRS-2014-0002-0001
020	<p>Position descriptions. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.</p>	<p>Official record copy of position description. Copy held at Human Resources office.</p>	DAA-GRS-2014-0002-0002
021		<p>Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor’s personnel file.</p>	Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)
022		<p>All other related records. Includes:</p> <ul style="list-style-type: none"> • case file at position’s program office • background material in Human Resources case file • other copies of records in item 020 	DAA-GRS-2014-0002-0003

Item	Records Description	Disposition Instruction	Disposition Authority	
030	<p>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.</p> <p>Exclusion: OPM's corresponding case file is not covered by this item.</p>	<p>Temporary. Destroy 3 years after final decision, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0004</p>	
040	<p>Certificates of classification. Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.</p> <p>Exclusion: OPM's file is not covered by this item.</p>	<p>Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0005</p>	
050	<p>Job vacancy case files. 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 	<p>Records of one-time competitive and Senior Executive Service announcements/selections.</p>	<p>Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.</p>	<p>DAA-GRS-2017-0011-0001</p>
051	<ul style="list-style-type: none"> • 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>	<p>Records of standing register competitive files for multiple positions filled over a period of time.</p>	<p>Temporary. Destroy 2 years after termination of register.</p>	<p>DAA-GRS-2017-0011-0002</p>

Item	Records Description	Disposition Instruction	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 050 and 051).</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 (item 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	
100	<p>Political appointment (Schedule C) records. 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>	Records (except ethics pledges and waivers) related to appointees.	Temporary. Destroy after separation. Retention up to end of administration under which individual was hired is	DAA-GRS-2014-0002-0014

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • applications for employment • resumes 	authorized if required for business use.	
101	<ul style="list-style-type: none"> • individuals' background information • ethics pledges and waivers • security clearances 	Ethics pledges and waivers of appointees.	File in appointee's Official Personnel File, per Executive Order 13490.
102	<ul style="list-style-type: none"> • 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>	Records related to non-appointees.	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
110	<p>Excepted service appointment records.</p> <p>Records created in filling permanent or temporary job vacancies by non-competitive appointment 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 	Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).	Temporary. Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer. DAA-GRS-2014-0002-0018
111	<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>	Case files related to all other appointees.	Temporary. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer. DAA-GRS-2014-0002-0019

Item	Records Description		Disposition Instruction	Disposition Authority	
120	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.		Temporary. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016	
130	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.		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	
140	Pre-appointment files. Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions. Included are forms in the SF-85 family, finger print charts, and related correspondence.	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.		
141		Records appropriate for inclusion in OPF. Such as designation of beneficiary, life insurance election, and health benefits registration.	Records concerning prospective employees who enter on duty.	Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142		Records concerning prospective employees who do not enter on duty.	Temporary. Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009	
143		Copies of records included in Job vacancy case file (items 050 or 051).	Temporary. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010	
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.		Temporary. Destroy 3 years after agreement terminates but longer retention is	DAA-GRS-2014-0002-0021	

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion: OPM's records are not covered by this item.</p>	<p>authorized if required for business use.</p>		
160	<p>Delegated authority audits. Reports of delegated examining operations audit delivered to the audited agency.</p> <p>Exclusion: OPM's records are not covered by this item.</p>	<p>Temporary. Destroy when 3 years old but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0022</p>	
170	<p>Adverse impact files. Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures. Includes records documenting:</p>	<p>Records revealing no adverse impact.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0008-0001</p>
171	<ul style="list-style-type: none"> • number of applicants by sex, race, and national origin • number of people hired, promoted, and terminated, by sex, race, and national origin • selection procedures and their validity 	<p>Records revealing an adverse impact.</p> <p>Legal citation: 29 CFR 1607.15A(2)(b)</p>	<p>Temporary. Destroy 2 years after eliminating the adverse impact, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0008-0002</p>
180	<p>Recruitment records. Records documenting agency in-person and on-line recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes:</p> <ul style="list-style-type: none"> • records documenting planning and logistics of individual recruitment events • record copy of advertisement and materials for distribution (see Exclusion 2) • contact information and interest areas collected from potential job candidates • recruitment event reports • correspondence with prospective candidates <p>Exclusion 1: Military recruitment advertising records must be scheduled by military establishments.</p> <p>Exclusion 2: Recruitment posters must be scheduled by agencies.</p>	<p>Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0008-0003</p>	

GENERAL RECORDS SCHEDULE 2.3: Employee Relations Records

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. Additional copies of these records, when held by supervisors or managers in program offices, are supervisory files covered under GRS 2.2, item 080.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Employee relations programs' administrative records. Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:</p> <ul style="list-style-type: none"> • program-related correspondence • copies of statutes, regulations, directives, and instructions • timetables and guidelines for processing case files and appealing decisions • planning records • meeting minutes • program evaluations and reports to senior management • statistical records tracking program participation and participants • records tracking programs' compliance with relevant Executive Orders and other requirements • records arranging for outside mediator and facilitator involvement in case settlements <p>Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).</p> <p>Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).</p> <p>Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0001
020	<p>Reasonable accommodation case files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:</p> <ul style="list-style-type: none"> • request, approvals and denials 	<p>Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention</p>	DAA-GRS-2018-0002-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • notice of procedures for informal dispute resolution or appeal processes • forms, correspondence, records of oral conversations • policy guidance documents • medical records • supporting notes and documentation 	is authorized if required for business use.	
030	<p>Dislocated worker program case files. Includes applications, registrations, supporting documentation.</p>	Temporary. Destroy 1 year after employee eligibility for program expires, but longer retention is authorized if required for business use.	DAA-GRS-2018-0002-0003
040	<p>Telework/alternate worksite program case files. Includes:</p> <ul style="list-style-type: none"> • agency/employee agreements • records such as questionnaires relating to the safety of the worksite • records documenting worksite safety and equipment; hardware, and software installation and use; and offsite use of secure, classified information or data subject to the Privacy Act or agencies' Personally Identifiable Information policies 	Temporary. Destroy when superseded or obsolete or 1 year after end of employee's participation in program, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2018-0002-0004
050	<p>Harassment complaint case files. Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes:</p> <ul style="list-style-type: none"> • complaint, correspondence, notes, forms, and supporting material • records of investigation, statements of witnesses • determination as to whether harassment occurred • documentation of preventive or corrective measures <p>Note: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.</p>	Temporary. Destroy 7 years after close of case, but longer retention is authorized if required for business use.	DAA-GRS-2018-0002-0005

Item	Records Description	Disposition Instruction	Disposition Authority	
060	<p>Administrative grievance, disciplinary, performance-based, and adverse action case files.</p> <ul style="list-style-type: none"> • Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes: <ul style="list-style-type: none"> ○ statement of grievance, supporting documentation, and evidence ○ statements of witnesses, records of interviews and hearings ○ examiner’s findings, recommendations, decisions • Records of disciplinary and performance-based actions against employees. Includes: <ul style="list-style-type: none"> ○ performance appraisal, performance improvement plan, and supporting documents ○ recommended action, employee’s reply ○ records of hearings and decisions ○ records of appeals • Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes: <ul style="list-style-type: none"> ○ proposed adverse action, employee's reply ○ statements of witnesses ○ records of hearings and decisions ○ letters of reprimand ○ records of appeals <p>Note 1: Letter of reprimand filed in an employee’s Official Personnel File is scheduled by GRS 2.2, item 041.</p> <p>Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.</p>	<p>Temporary. Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.</p>	<p>DAA-GRS-2018-0002-0006</p>	
070	<p>Alternative Dispute Resolution (ADR) case files.</p> <p>Includes:</p> <ul style="list-style-type: none"> • agreements to use ADR • records of intake and process 	<p>Informal process.</p> <p>Records not associated with another employee dispute, complaint or grievance process.</p>	<p>Temporary. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0007</p>

Item	Records Description		Disposition Instruction	Disposition Authority
071	<ul style="list-style-type: none"> • records of settlement or discontinuance of case • parties' written evaluations of the process 	<p>Formal process. Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.</p>	<p>Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0008
080	<p>Merit Systems Protection Board (MSPB) case files. Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:</p> <ul style="list-style-type: none"> • petitions for appeal, agencies' responses to petitions • hearing notices, transcripts, testimony, briefs, and exhibits • MSPB initial decisions • petitions for review, responses of opposing party to petition • orders granting or denying intervention • MSPB final opinions, orders, and decisions <p>Exclusion: Corresponding case files at MSPB (must be scheduled by MSPB).</p>		<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0009
090	<p>Labor arbitration (negotiated grievance procedure) case records. Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.</p>		<p>Temporary. Destroy 3 years after close of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0010
100	<p>Federal Labor Relations Authority (FLRA) case files. Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:</p> <ul style="list-style-type: none"> • records of representation proceedings <ul style="list-style-type: none"> ○ petitions, notice of petitions, cross-petitions, motions ○ records documenting adequate showing of interest ○ challenges to the status of a labor organization ○ records of meetings, hearings, and prehearing conferences ○ statements of witnesses ○ dismissals of petitions 		<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0011

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ decisions, orders ● records of unfair labor practices proceedings <ul style="list-style-type: none"> ○ charges/allegations of unfair labor practices, amendments, and supporting evidence ○ records of charges/allegations investigation, including subpoenas ○ complaints by FLRA Regional Director ○ motions, responses, stipulations ○ records of hearings ○ records of decisions and settlements ● records of negotiability proceedings <ul style="list-style-type: none"> ○ petitions for review ○ records of post-petition conferences ○ agencies' statements of position, unions' responses, and agencies' counter-responses ○ records of post-petition conferences ○ decisions, orders ● records of review of arbitration awards <ul style="list-style-type: none"> ○ exceptions to arbitrators' award rendered pursuant to arbitrations ○ oppositions to exceptions ○ determination of grounds for review ○ decisions, orders <p>Exclusion: Corresponding case files at FLRA (must be scheduled by FLRA).</p>			
110	<p>EEO discrimination complaint case files. Includes:</p> <ul style="list-style-type: none"> ● intake sheet ● summary report 	<p>Informal process. Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.</p>	<p>Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0012
111	<ul style="list-style-type: none"> ● notes ● supporting documentation ● correspondence 	<p>Formal process. Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.</p>	<p>Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0013

Item	Records Description	Disposition Instruction	Disposition Authority
	<p style="text-align: center;">Exclusion: Corresponding case files at EEOC (must be scheduled by EEOC).</p>		
120	<p>Records documenting contractor compliance with EEO regulations. Reviews, background documents, and correspondence relating to contractor employment practices.</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0014
130	<p>Labor management relations agreement negotiation 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, forms • reports • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 	<p>Temporary. Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0015

GENERAL RECORDS SCHEDULE 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	Disposition Instruction	Disposition Authority
Payroll			
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"> ○ child care subsidies ○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) ○ other additions • deductions from paychecks <ul style="list-style-type: none"> ○ insurance ○ retirement accounts (e.g. Thrift Savings Plan, <i>my</i> Retirement Account, etc.) ○ flexible spending accounts, such as medical savings and dependent care assistance ○ union dues ○ Combined Federal Campaign ○ garnishments (IRS form 668A—Notice of Levy—and similar records) ○ Treasury bond purchases ○ other deductions • authorizations for deposits into bank accounts • changes or corrections to previous transactions either at paying agency or payroll processor • Fair Labor Standards Act exemption worksheets 	<p>Temporary. Destroy 3 years after paying agency or payroll processor validates data, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0004-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
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>	<p>Temporary. Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0002</p>
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 CFR 516.5a</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0004-0002</p>
035	<p>Phased-retirement employees' overtime documentation. Records documenting ordering or permitting phased-retirement employees to work overtime.</p> <p>Legal citation: 5 CFR 831.1715, section 4</p>	<p>Temporary. Destroy when 6 years old.</p>	<p>DAA-GRS-2018-0001-0001</p>
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>	<p>Temporary. Destroy when 56 years old.</p>	<p>DAA-GRS-2016-0015-0004</p>
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.</p>	<p>Temporary. Destroy when 4 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).			
060	Payroll program administrative records. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.	Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0006
061		Payroll system reports providing fiscal information on agency payroll.	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
Compensation and Benefits Administrative Program Records				
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;	Temporary. Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the	DAA-GRS-2016-0015-0010	

Item	Records Description	Disposition Instruction	Disposition Authority	
	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).	two most recently completed surveys), but longer retention is authorized if required for business use.		
090	<p>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.</p>	Temporary. Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0011	
100	<p>Workers' Compensation (personnel injury compensation) 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. Includes:</p>	Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.	Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0012
101	<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>	Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.	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. Applications and related papers. If applications are denied, may include denial</p>	Successful applications, including those denied and successfully appealed.	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.	

Item	Records Description	Disposition Instruction	Disposition Authority
111	<p>letters, appeal letters, and court orders.</p> <p>Denied applications.</p>	Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014
120	<p>Child care subsidy program administrative records. Records related to managing the program, including:</p> <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	<p>Child care subsidy program individual case files. Case files of individual employee participation in child care subsidy programs, such as:</p> <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	<p>Transportation subsidy program administrative records. Records related to managing the program, including:</p> <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
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 	Temporary. Destroy 2 years after employee participation concludes, but longer	DAA-GRS-2016-0015-0018

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • 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 	retention is authorized if required for business use.	
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
141	<p>Family Medical Leave Act program individual case files. 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

GENERAL RECORDS SCHEDULE 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.

Item	Records Title/Description	Disposition Instruction	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>	<p>Temporary. Destroy when no longer needed.</p>	<p>DAA-GRS-2013-0002-0016</p>
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 	<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.</p>	<p>DAA-GRS-2013-0002-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • 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>		
030	<p>Vital or essential records program records. Records involved in planning, operating, and managing the agency’s vital or essential records program. Includes:</p> <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	<p>Copies of vital records. Copies of agency records deemed essential to restore agency functions in case of emergency.</p>	Temporary. Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015
040	<p>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:</p> <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

Item	Records Title/Description	Disposition Instruction	Disposition Authority
Digitizing Records			
050	<p>Validation records for digitized temporary records.</p> <p>Records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • standards and procedures records used to document that the agency has met validation process requirements, such as: <ul style="list-style-type: none"> ○ quality management plans describing quality assurance objectives ○ quality control (QC) protocols ○ format-specific instructions • records documenting validation actions, such as: <ul style="list-style-type: none"> ○ equipment calibration and test reports ○ image quality testing results ○ QC plans, procedures, and reports <p>Exclusion 1: Validation records for digitized permanent records.</p> <p>Exclusion 2: Original source records the agency has digitized and validated; GRS 5.2, Transitory and Intermediary Records, Item 020, or a current, approved agency-specific records schedule that covers the records once digitized covers these.</p> <p>Exclusion 3: Digital surrogates (the newly digitized records); the appropriate current, approved agency-specific records schedule or applicable GRS item covers these.</p> <p>Legal citation: 36 CFR Part 1236.34</p>	<p>Temporary. Destroy the validation documentation associated with each record that has been digitized when the records digitized using that validation process are destroyed, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0003-0001</p>

GENERAL RECORDS SCHEDULE 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	Disposition Instruction	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 document security classification • 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>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2019-0001-0001</p>
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>	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0001</p>
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"> ○ inability to fulfill request because records do not exist ○ inability to fulfill request because request inadequately describes records ○ 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>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.</p>	<p>DAA-GRS-2016-0002-0001</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<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>			
030	<p>Information access and protection operational records.</p>	<p>Records tracking and controlling access to protected information.</p> <p>Includes:</p> <ul style="list-style-type: none"> • records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records • tracking databases and other records used to manage overall access program • requests and authorizations for individuals to have access to classified and controlled unclassified records and information <p>Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.</p>	<p>Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0002
031		<p>Access control records.</p> <p>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 	<p>Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0020
032		<p>Records relating to classified or controlled unclassified document containers.</p>	<p>Temporary. Destroy 90 days</p>	DAA-GRS-

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>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>		<p>after last entry on form, but longer retention is authorized if required for business use.</p>	<p>2016-0002-0003</p>
040	<p>Records of accounting for and controlling access to records requested under FOIA, PA, and MDR. Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. 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 • forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files 		<p>Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0001-0003</p>
050	<p>Privacy Act accounting of disclosure files. 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 		<p>Temporary. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.</p>	<p>NC1-64-77-1 item 27</p>
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>	<p>Records filed with the record-keeping copy of the erroneously released records.</p>	<p>Temporary. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p>	<p>DAA-GRS-2015-0002-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
061	<ul style="list-style-type: none"> • requests for information • copies of replies • all related supporting documents May include: <ul style="list-style-type: none"> • official copy of records requested or copies 	Records filed separately from the record-keeping copy of the released records.	Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.	DAA-GRS-2015-0002-0002
065	Privacy complaint files. Records of privacy complaints (and responses) agencies receive in these categories: <ul style="list-style-type: none"> • process and procedural (consent, collection, and appropriate notice) • redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act) • operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction) • complaints referred to another organization 		Temporary. Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0004
070	Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs. Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.		Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0006
080	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), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.	Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy. Legal citation: OMB M-07-16.	Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0022
081		All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).	Temporary. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0023

Item	Records Description	Disposition Instruction	Disposition Authority	
090	<p>Privacy Act amendment request files.</p> <p>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 	<p>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.</p>	DAA-GRS-2013-0007-0007	
100	<p>Automatic and systematic declassification review program records.</p> <p>Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.</p>	<p>Temporary. Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0008	
110	<p>Fundamental classification guidance review files.</p> <p>Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9.</p> <p>Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).</p>	<p>Temporary. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0011	
120	<p>Classified information nondisclosure agreements.</p> <p>Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.</p>	<p>Records maintained in the individual’s official personnel folder.</p>	Apply the disposition for the official personnel folder.	
121		<p>Records maintained separately from the individual’s official personnel folder.</p> <p>Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).</p>	<p>Temporary. Destroy when 50 years old.</p>	DAA-GRS-2015-0002-0003

Item	Records Description		Disposition Instruction	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>		<p>Temporary. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.</p>	<p>DAA-GRS-2013-0007-0012</p>
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>		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0007-0013</p>
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>		<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.</p>	<p>DAA-GRS-2016-0003-0002</p>
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>	<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.</p>	<p>DAA-GRS-2016-0003-0003</p>
161		<p>Records of Privacy Impact Assessments (PIAs).</p>	<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</p>	<p>DAA-GRS-2016-0003-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority
		retention is authorized if required for business use.	
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>	<p>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.</p>	DAA-GRS-2016-0003-0005
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 <i>Federal Register</i> • 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>	<p>Temporary. Destroy when no longer needed.</p>	DAA-GRS-2016-0008-0001

Item	Records Description	Disposition Instruction	Disposition Authority
<p>Controlled Unclassified Information (CUI) program records. Exclusion: Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).</p>			
190	<p>CUI program implementation records. Records of overall program management. Includes:</p> <ul style="list-style-type: none"> • records documenting the process of planning agency policy and procedure • agency submissions to the CUI Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI • agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI • correspondence with CUI Executive Agent <p>Exclusion 1: CUI directives and formal policy documents (agencies must schedule these separately).</p> <p>Exclusion 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these).</p> <p>Exclusion 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0001-0005</p>
191	<p>CUI information sharing agreements. Agreements in which agencies agree to share CUI with non-executive branch entities (<i>e.g.</i>, state and local police) and foreign entities that agree to protect the CUI.</p> <p>Exclusion: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.</p>	<p>Temporary. Destroy 7 years after canceled or superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0001-0006</p>
192	<p>Records of waivers of CUI requirements. Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.</p>	<p>Temporary. Destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable, but longer retention</p>	<p>DAA-GRS-2019-0001-0007</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
		is authorized if required for business use.		
193	<p>Records of requests for decontrol and challenges to CUI designations. Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.</p>	<p>Records filed with the record-keeping copy of the CUI-marked records.</p>	<p>Follow the disposition instructions approved for the records at issue.</p>	
194		<p>Records filed separately from the record-keeping copy of the CUI-marked records.</p>	<p>Temporary. Destroy 6 years after change in CUI status, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0001-0008</p>
195	<p>Records of CUI misuse. Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions.</p> <p>Exclusion: If the agency assigns such investigations to its Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.</p>	<p>Temporary. Destroy 5 years after completing the investigation or completing all corrective actions, whichever is later, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2019-0001-0009</p>	

GENERAL RECORDS SCHEDULE 5.7: Agency Accountability Records

This schedule covers records agencies create in the following areas of accountability:

- 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
- interaction with the U.S. Office of Special Counsel concerning allegations and claims that fall under its jurisdiction
- administrative activities in response to environmental protection laws and regulations (records created and collected by agencies whose mission is care and protection of the environment or historic preservation must schedule records independently)

Item	Records Description	Disposition Instruction	Disposition Authority
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 • 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>	<p>Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0008-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Internal control review, response, and mitigation management records. 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>	<p>Temporary. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0008-0002
030	<p>Administrative directives and notices. 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>	<p>Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later.</p>	DAA-GRS-2017-0008-0003
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>	<p>Temporary. Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.</p>	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 clearances • 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) • EEOC reports 	<p>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.</p>	DAA-GRS-2017-0008-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • Analysis and Action Plans and other reports required by EEOC’s MD 715 • No FEAR Act reports • 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 • 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>Temporary. Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0008-0006</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	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).		