



The General Records Schedules

Transmittal 31

National Archives and Records Administration
April 2020

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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 31 announces changes to the General Records Schedules (GRS) made since NARA published GRS Transmittal 30 in December 2019. The GRS provide mandatory disposition instructions for records common to several or all Federal agencies.

Transmittal 31 includes alterations to 16 previously published schedules. As with the past few transmittals, this transmittal publishes only those schedules which have changed since they were last published in a transmittal. Other schedules *not* published in this transmittal remain current and authoritative. 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 31 alters 15 schedules to insert language requiring agencies to offer records created prior to a specified date (January 1, 1921, unless stated otherwise in questions 3-6 and 8 below) to NARA. Only if NARA declines the offer may agencies destroy such records. This requirement existed in schedules in the old GRS but was omitted in the new GRS revision. We have determined the requirement is still necessary, so we are reinstating it in these schedules covering the applicable records:

- GRS 1.1 Financial Management and Reporting Records
- GRS 2.1 Employee Acquisition Records
- GRS 2.2 Employee Management Records
- GRS 2.3 Employee Relations Records
- GRS 2.5 Employee Separation Records
- GRS 2.6 Employee Training Records
- GRS 2.7 Employee Health and Safety Records
- GRS 4.1 Records Management Records
- GRS 4.2 Information Access and Protection Records
- GRS 5.3 Continuity and Emergency Planning Records
- GRS 5.4 Facility, Equipment, Vehicle, Property, and Supply Records
- GRS 5.5 Mail, Printing, and Telecommunication Service Management Records
- GRS 5.6 Security Records
- GRS 5.7 Agency Accountability Records
- GRS 6.4 Public Affairs Records

This transmittal also publishes updates to:

- GRS 6.1 Email Managed under a Capstone Approach (see question 7 below)

This transmittal also rescinds certain items in GRS 6.6, Rulemaking Records, and moves other items from that schedule to GRS 5.7 (see question 9 below). Because of these changes, GRS 6.6, Rulemaking Records, no longer exists.

3. What changes did we make to GRS 1.1?

We added this requirement to the schedule's introduction: "Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule." We also added this note to items 010 and 011: "Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority."

4. What changes did we make to GRS 2.1, 2.2, 2.3, 2.5, 2.6, 2.7, 4.1, 4.2, 5.3, 5.5, and 5.7?

We added this requirement to each schedule's introduction: "Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule."

5. What changes did we make to GRS 5.4?

We added this requirement to the schedule's introduction: "Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule." We also added this note to items 070 and 071: "Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority."

6. What changes did we make to GRS 5.6?

We added this requirement to the schedule's introduction: "Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule." We also added this note to items 120 and 130: "Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority."

7. What changes did we make to GRS 6.1?

We added to this schedule's introduction the requirement that agencies systematically resubmit form NA-1005, and that users should consult a new "resubmission" section in this schedule's [FAQs](#) for details.

8. What changes did we make to GRS 6.4?

We added this requirement to the schedule's introduction: "Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule." We also added this note to item 030: "Agencies must offer any cartographic and aerial photographic records created prior to January 1, 1950, to the National Archives and Records Administration (NARA) before applying this disposition authority."

9. What changes did we make to GRS 6.6?

We rescinded items 010 through 030 (DAA-GRS-2017-0012-0001 through 0003) because we learned they do not reflect how agencies create and maintain rulemaking records. We moved items 040-050 (DAA-GRS-2017-0012-0004 and 0005) to items 070 and 080 in GRS 5.7. GRS 6.6, Rulemaking Records, will no longer appear as a chapter in the GRS.

10. 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)."

11. 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.

12. 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>.

13. Who should an agency contact for further information?

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



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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.

Agencies must offer any records 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	
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</p>	<p>Temporary. Destroy 6 years after final payment or cancellation, but</p>	<p>DAA-GRS-2013-0003-0001</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>of record.</p>	<p>longer retention is authorized if required for business use.</p>	
011	<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> <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
	<p>Note 4: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>		
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 	<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
	<ul style="list-style-type: none"> • correspondence and work papers <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

Item	Records Description	Disposition Instruction	Disposition Authority	
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 • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers 	<p>Temporary. Destroy 1 year after final resolution, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0001-0003</p>	
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>	<p>DAA-GRS-2016-0001-0004</p>
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>	<p>DAA-GRS-2016-0001-0005</p>
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 	<p>Temporary. Destroy 7 years after final action, but longer</p>	<p>DAA-GRS-2017-0005-0001</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • compromise agreement • termination of collection action • determination that money or property is not owed to the United States • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian 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>	<p>retention is authorized if required for business use.</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.</p>	<p>Temporary. Destroy when 3 years old, but</p>	<p>DAA-GRS-2018-0003-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>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 • 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>longer retention is authorized if required for business use.</p>	

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.

Agencies must offer any records 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	
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>	<p>Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</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>	<p>Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)</p>	

Item	Records Description		Disposition Instruction	Disposition Authority
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 		<p>Temporary. Destroy when position description is final, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0003</p>
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 	<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
	<ul style="list-style-type: none"> • 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>		
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:</p>	Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.	DAA-GRS-2014-0002-0008

Item	Records Description	Disposition Instruction	Disposition Authority	
	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.			
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> <ul style="list-style-type: none"> • applications for employment • resumes 	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 authorized if required for business use.	DAA-GRS-2014-0002-0014
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. 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

Item	Records Description		Disposition Instruction	Disposition Authority	
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>		<p>Case files related to all other appointees.</p>	<p>Temporary. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.</p>	<p>DAA-GRS-2014-0002-0019</p>
120	<p>Special hiring authority program records. Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.</p>		<p>Temporary. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0016</p>	
130	<p>Records related to individual employees hired under special temporary authority. Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.</p>		<p>Temporary. Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0017</p>	
140	<p>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.</p>	<p>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.</p>		<p>Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.</p>	
141	<p>Records appropriate for inclusion in OPF. Such as designation of beneficiary, life insurance election, and health benefits registration.</p>		<p>Records concerning prospective employees who enter on duty.</p>	<p>Forward to appropriate human resources office to include in OPF after employee enters on duty.</p>	
142			<p>Records concerning prospective employees who do not enter on duty.</p>	<p>Temporary. Destroy 1 year after prospective employee is no longer a candidate.</p>	<p>DAA-GRS-2014-0002-0009</p>
143			<p>Copies of records included in Job vacancy case file (items 050 or 051).</p>	<p>Temporary. Destroy after prospective employee enters on duty, declines</p>	<p>DAA-GRS-2014-0002-0010</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
		appointment, or is no longer a candidate.		
150	<p>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.</p> <p>Exclusion: OPM's records are not covered by this item.</p>	Temporary. Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0021	
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>	Temporary. Destroy when 3 years old but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0022	
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>	Records revealing no adverse impact.	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2018-0008-0001
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>	Temporary. Destroy 2 years after eliminating the adverse impact, but longer retention is authorized if required for business use.	DAA-GRS-2018-0008-0002
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>	Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use.	DAA-GRS-2018-0008-0003	

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion 2: Recruitment posters must be scheduled by agencies.		

GENERAL RECORDS SCHEDULE 2.2: Employee Management Records

This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

Agencies must offer any records 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
010	<p>Employee management administrative records. Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders <p>Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0001</p>
020	<p>Workforce and succession planning records. Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations 	<p>Temporary. Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>			
030	<p>Employee incentive award records. Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.</p> <p>Exclusion: Records of Department-level awards require agency-specific schedules.</p>	<p>Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0003	
040	<p>Official Personnel Folder (OPF)/electronic OPF (eOPF). The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history.</p> <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p>	<p>Long-term records. Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF.</p> <p>Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.</p>	<p>Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0004
041	<p>Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p>Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.</p>	<p>Short-term records. Records of separated employees saved to the “temporary” folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p>Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.</p>	<p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.</p>	DAA-GRS-2017-0007-0005

Item	Records Description		Disposition Instruction	Disposition Authority
050	<p>Notifications of personnel actions. Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.</p> <p>Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.</p>		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0007-0006</p>
060	<p>Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.</p>		<p>Temporary. Destroy 3 years after employee separates from service or transfers to another agency.</p>	<p>DAA-GRS-2017-0007-0007</p>
070	<p>Employee performance file system records. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.</p> <p>Exclusion: Performance records</p>	<p>Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0008</p>
071	<p>Exclusion: Performance records</p>	<p>Unacceptable performance appraisals of non-senior executive service employees. Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p> <p>Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p>	<p>Temporary. Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2017-0007-0009</p>

Item	Records Description		Disposition Instruction	Disposition Authority
072	<p>of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p>	<p>Records of senior executive service employees. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>Temporary. Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0010</p>
073		<p>Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Superseded performance records of both non-senior executive service employees and senior executive service employees.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2017-0007-0011</p>
080	<p>Supervisors' personnel files. Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p>Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.</p> <p>Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.</p>		<p>Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p>	<p>DAA-GRS-2017-0007-0012</p>

Item	Records Description		Disposition Instruction	Disposition Authority	
090	<p>Records related to official passports. The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p> <p>Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>		<p>Application records. Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations 	<p>Temporary. Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0013
091	<p>Official passport registers. Registers and lists of agency personnel who have official passports.</p>		<p>Temporary. Destroy when superseded or obsolete.</p>	DAA-GRS-2017-0007-0014	
092	<p>Official passports of transferred or separated agency personnel.</p>		<p>Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.</p>	None; filing instruction only.	
100	<p>Volunteer service program administrative records. Records documenting routine administration, internal procedures, and general activities, including:</p> <ul style="list-style-type: none"> • general correspondence • annual reports on volunteer activities 		<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0015	
110	<p>Volunteer service case files. Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include:</p> <ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms 	<p>Case files on volunteers.</p> <p>Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.</p>	<p>Temporary. Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0016	

Item	Records Description	Disposition Instruction	Disposition Authority
111	<ul style="list-style-type: none"> • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked 	<p>Case files on individuals whose applications were rejected or withdrawn.</p>	<p>Temporary. Destroy when 1 year old.</p> <p>DAA-GRS-2017-0007-0017</p>
120	<p>Skill set records. Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p> <p>Exclusion: Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0007-0018</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.

Agencies must offer any records 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
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>	<p>DAA-GRS-2018-0002-0001</p>
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</p>	<p>Temporary. Destroy 3 years after employee separation from the</p>	<p>DAA-GRS-2018-0002-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>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 • 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 	<p>agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use.</p>	
030	<p>Dislocated worker program case files. Includes applications, registrations, supporting documentation.</p>	<p>Temporary. Destroy 1 year after employee eligibility for program expires, but longer retention is authorized if required for business use.</p>	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 	<p>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.</p>	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>Temporary. Destroy 7 years after close of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0005

Item	Records Description	Disposition Instruction	Disposition Authority	
	<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>			
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>	DAA-GRS-2018-0002-0006	
070	<p>Alternative Dispute Resolution (ADR) case files.</p> <p>Includes:</p> <ul style="list-style-type: none"> • agreements to use ADR 	<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</p>	DAA-GRS-2018-0002-0007

Item	Records Description	Disposition Instruction	Disposition Authority
071	<ul style="list-style-type: none"> • records of intake and process • records of settlement or discontinuance of case • parties' written evaluations of the process 	<p>business use.</p> <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> <p>DAA-GRS-2018-0002-0008</p>
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>	<p>DAA-GRS-2018-0002-0009</p>
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>	<p>DAA-GRS-2018-0002-0010</p>
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 	<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0011</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ statements of witnesses ○ dismissals of petitions ○ 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</p>	<p>Temporary. Destroy 7 years after resolution of case, but longer retention</p>	DAA-GRS-2018-0002-0013

Item	Records Description		Disposition Instruction	Disposition Authority
		<p>informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.</p> <p>Exclusion: Corresponding case files at EEOC (must be scheduled by EEOC).</p>	is authorized if required for business use.	
120	<p>Records documenting contractor compliance with EEO regulations. Reviews, background documents, and correspondence relating to contractor employment practices.</p>		Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.	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 		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.	DAA-GRS-2018-0002-0015

GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

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

Agencies must offer any records 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
010	<p>Separation program management records. Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:</p> <ul style="list-style-type: none"> • registers of separation or transfers such as SF-2807, SF-3103, or similar records 	<p>Records not specific to an agency separation initiative.</p>	<p>Temporary. Destroy when no longer required for business use.</p>	<p>DAA-GRS-2014-0004-0001</p>
011	<ul style="list-style-type: none"> • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends 	<p>Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.</p>	<p>Temporary. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0004-0002</p>
020	<p>Individual employee separation case files. Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property 		<p>Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0004-0003</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see “Record of employee leave,” item 040 of this schedule, for record copy) retained for agency use <p>• Exclusion: Records required to be filed in employee’s OPF are excluded from this item.</p>		
030	<p>Records documenting capture of institutional and specialized knowledge. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p>Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p>	<p>Temporary. Destroy when no longer required for business use.</p>	<p>DAA-GRS-2014-0004-0004</p>
040	<p>Individual employee separation records required to be placed in separating employee’s OPF. As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:</p> <ul style="list-style-type: none"> • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary 	<p>File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
050	<p>Phased retirement administrative records. Records related to managing the program, including:</p> <ul style="list-style-type: none"> • procedural guidance on program administration • informational/marketing/publicizing materials • general correspondence • reports to OPM • memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations • documentation of program structure and details as uniquely instituted by agency <p>Exclusion: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.</p>	<p>Temporary. Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0007-0001</p>
051	<p>Phased retirement individual case files. Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none"> • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others • notice of approval or disapproval • retirement benefit estimates • annuity calculations • phased retirement agreement • records documenting knowledge transfer activities • confidentiality agreement with mentees • action/project plans and logs • correspondence <p>Note: Agencies may choose to file these records with the employee’s retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020.</p> <p>Exclusion: This item does not cover records held at OPM concerning staff at other agencies.</p>	<p>Temporary. Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0007-0002</p>

GENERAL RECORDS SCHEDULE 2.6: Employee Training Records

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

Agencies must offer any records 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
010	<p>Non-mission employee training program records.</p> <p>Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020. Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content • other course materials, such as presentations and videos • student, class, or instructor evaluations <p>Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p>	<p>Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0014-0001</p>
020	<p>Ethics training records.</p> <p>Records include but are not limited to:</p>	<p>Temporary. Destroy when 6 years old or</p>	<p>DAA-GRS-2016-0014-0002</p>

	<ul style="list-style-type: none"> • administration of new employee ethics orientations, annual, and other types of ethics training • agency’s annual written plans • notices about training requirements and course offerings • rosters of employees required to attend and verification of training completed • instructor guides, handbooks, handouts and other materials 		when superseded, whichever is later, but longer retention is authorized if required for business use.	
030	<p>Individual employee training records. Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:</p> <ul style="list-style-type: none"> • completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors) • Individual Development Plans (IDPs) • mentoring or coaching agreements <p>Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.</p>		Temporary. Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.	DAA-GRS-2016-0014-0003
040	<p>Senior Executive Service Candidate Development Program (SESCDP). SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p>	<p>Program records. Records documenting program scope, policies, planning, budget, and curriculum planning.</p>	Temporary. Destroy when no longer needed for business use.	DAA-GRS-2016-0014-0004
041		<p>Case records on SESCO DP participants. Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p>	Temporary. Destroy upon certification by OPM’s Qualifications Review Board (QRB) or 1 year after separation from SESCO DP, but longer retention is authorized if required for business use.	DAA-GRS-2016-0014-0005

GENERAL RECORDS SCHEDULE 2.7: Employee Health and Safety Records

This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees.

Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Clinic scheduling records. Scheduling records of clinic visits, both occupational and non-occupational. Includes:</p> <ul style="list-style-type: none"> • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0001
Occupational Health Records			
020	<p>Occupational injury and illness program records. Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent 	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0002

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p> <p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>			
030	<p>Occupational health and safety training records. Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 App E(9)</p>	<p>Temporary. Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0010-0003	
040	<p>Workplace environmental monitoring and exposure records. Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p>	<p>OSHA-regulated substance monitoring and exposure records. Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)</p>	<p>Temporary. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2017-0010-0004
041	<p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific</p>	<p>Occupational noise monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.95(m)(3)(i)</p>	<p>Temporary. Destroy no sooner than 2 years after monitoring is conducted, but longer retention is</p>	DAA-GRS-2017-0010-0005

Item	Records Description		Disposition Instruction	Disposition Authority
042	<p>Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p>	<p>Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.1045 App A(vi)(C)</p>	<p>authorized if needed for business use.</p> <p>Temporary. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0006</p>
043		<p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	<p>Background data. Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p> <p>Note: Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p> <p>Legal Citation: 29 CFR Part 1910.1020(d)(1)(ii)(A)</p>	<p>Temporary. Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.</p>
050	<p>Safety Data Sheets (SDS). Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule.</p> <p>Note: Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may</p>		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0010-0008</p>

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

Item	Records Description		Disposition Instruction	Disposition Authority
062	<p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>	<p>Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</p>	<p>Temporary. Destroy 60 years after retirement to the NARA records storage facility.</p>	<p>DAA-GRS-2017-0010-0011</p>
Non-Occupational Health Records				
070	<p>Non-occupational individual medical case files. Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual’s medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as “patient records” in Title 5 Part 293 Subpart E.</p> <p>Legal Citations: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.</p>		<p>Temporary. Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0012</p>
080	<p>Non-occupational health and wellness program records. Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs 		<p>Temporary. Destroy 3 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-2017-0010-0013</p>
090	<p>Employee Assistance Program (EAP) counseling records. Records of individuals who have sought or been referred to counseling services provided through the</p>	<p>Records related to employee performance or conduct. Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> • leave and attendance • performance • alleged inappropriate behavior or workplace violence 	<p>Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or</p>	<p>DAA-GRS-2017-0010-0014</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>Employee Assistance Program (EAP). May include records of family members and dependents.</p> <ul style="list-style-type: none"> • reason for referral • management interventions • illegal drug or alcohol use <ul style="list-style-type: none"> ○ test results for use of illegal drugs ○ test results for alcohol consumption on the job ○ substance abuse assessment, treatment, aftercare, and monitoring records <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>		performance-based action case file has been initiated.	
091	<p>Records not related to performance or conduct. Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions • records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes 		Temporary. Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0015
Drug-free Workplace Program Records				
100	<p>Employee drug test plans, procedures, and scheduling records. Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:</p>		Temporary. Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules <p>Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p>Exclusion 2: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records.</p> <p>Exclusion 3: Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.</p>			
110	<p>Employee drug test acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	<p>Temporary. Destroy when employee separates from testing-designated position.</p>	<p>DAA-GRS-2017-0010-0017</p>	
120	<p>Employee drug testing specimen records. Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, <i>e.g.</i>, chain-of-custody records.</p>	<p>Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later.</p>	<p>DAA-GRS-2017-0010-0018</p>	
130	<p>Employee drug test results. Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.</p>	<p>Positive results.</p>	<p>Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.</p>	<p>DAA-GRS-2017-0010-0019</p>

Item	Records Description		Disposition Instruction	Disposition Authority
131	Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	Negative results.	Temporary. Destroy when 3 years old.	DAA-GRS-2017-0010-0020

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.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

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 • inventories • lists • logs • registers <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 	<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"> • conducting special projects <p>Records include:</p> <ul style="list-style-type: none"> • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States <p>Exclusion: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.</p>		
030	<p>Vital or essential records program records.</p> <p>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 	<p>Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2013-0002-0008
031	<p>Copies of vital records.</p> <p>Copies of agency records deemed essential to restore agency functions in case of emergency.</p>	<p>Temporary. Destroy when superseded by the next cycle.</p>	DAA-GRS-2013-0002-0015
040	<p>Forms management records.</p> <p>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 	<p>Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.</p>	DAA-GRS-2013-0002-0009

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • 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 		
Digitizing Records			
050	<p>Validation records for digitized temporary records. 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>	DAA-GRS-2019-0003-0001

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.

Agencies must offer any records 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
001	<p>FOIA, Privacy Act, and classified documents administrative records.</p> <p>Records on managing information access and protection activities. Records include:</p> <ul style="list-style-type: none"> • correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security 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.</p> <p>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.</p> <p>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 	<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
	<ul style="list-style-type: none"> ○ inability to fulfill request because search or reproduction fees are not paid ● final adjudication on appeal to any of the above original settlements ● final agency action in response to court remand on appeal <p>Includes:</p> <ul style="list-style-type: none"> ● requests (either first-party or third-party) ● replies ● copies of requested records ● administrative appeals ● related supporting documents (such as sanitizing instructions) <p>Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.</p> <p>Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p>			
030	Information access and protection operational records.	<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 	<p>Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0020

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> comparable data used to control access into classified document containers 		
032	<p>Records relating to classified or controlled unclassified document containers. Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.</p> <p>Note: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p>	<p>Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0002-0003
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>	DAA-GRS-2019-0001-0003
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>	NC1-64-77-1 item 27

Item	Records Description		Disposition Instruction	Disposition Authority
060	<p>Erroneous release records. Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:</p> <ul style="list-style-type: none"> • requests for information 		<p>Temporary. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p>	DAA-GRS-2015-0002-0001
061	<ul style="list-style-type: none"> • copies of replies • all related supporting documents <p>May include:</p> <ul style="list-style-type: none"> • official copy of records requested or copies 		<p>Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0002-0002
065	<p>Privacy complaint files. Records of privacy complaints (and responses) agencies receive in these categories:</p> <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 		<p>Temporary. Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0004
070	<p>Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.</p> <p>Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p>		<p>Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0006
080	<p>Legal and regulatory compliance reporting records. Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information</p>	<p>Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</p> <p>Legal citation: OMB M-07-16.</p>	<p>Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0022

Item	Records Description		Disposition Instruction	Disposition Authority
081	Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101. 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
090	Privacy Act amendment request files. Files relating to an individual’s request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual’s request for review of an agency’s refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes: <ul style="list-style-type: none"> • requests to amend and to review refusal to amend • copies of agency’s replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials 		Temporary. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0007
100	Automatic and systematic declassification review program records. Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.		Temporary. Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0008
110	Fundamental classification guidance review files. Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).		Temporary. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0011
120	Classified information nondisclosure agreements. Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement,	Records maintained in the individual’s official personnel folder.	Apply the disposition for the official personnel folder.	

Item	Records Description		Disposition Instruction	Disposition Authority
121	<p>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 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>		Temporary. Destroy when 50 years old.	DAA-GRS-2015-0002-0003
130	<p>Personally identifiable information extracts. System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p>Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet “Log and Verify.”</p>		Temporary. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.	DAA-GRS-2013-0007-0012
140	<p>Personally identifiable information extract logs. Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p>		Temporary. Destroy when business use ceases.	DAA-GRS-2013-0007-0013
150	<p>Privacy Act System of Records Notices (SORNs). Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).</p>		Temporary. Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0002
160	<p>Records analyzing Personally Identifiable Information (PII). Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into</p>	<p>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs). Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p>	Temporary. Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003-0003

Item	Records Description		Disposition Instruction	Disposition Authority
161	<p>records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p>	<p>Records of Privacy Impact Assessments (PIAs).</p>	<p>Temporary. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0004</p>
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>	<p>DAA-GRS-2016-0003-0005</p>
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 		<p>Temporary. Destroy when no longer needed.</p>	<p>DAA-GRS-2016-0008-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • 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>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 (e.g., state and local police) and foreign entities that agree to protect the CUI.</p>	<p>Temporary. Destroy 7 years after canceled or superseded, but longer retention is</p>	<p>DAA-GRS-2019-0001-0006</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.	authorized if required for business use.	
192	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.	Temporary. Destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0007
193	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.	Records filed with the record-keeping copy of the CUI-marked records.	Follow the disposition instructions approved for the records at issue.
194		Records filed separately from the record-keeping copy of the CUI-marked records.	Temporary. Destroy 6 years after change in CUI status, but longer retention is authorized if required for business use.
195	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. 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.	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.	DAA-GRS-2019-0001-0009

GENERAL RECORDS SCHEDULE 5.3: Continuity and Emergency Planning Records

This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

This schedule does not include the following:

- external emergency planning records related to providing emergency response and recovery services to the public
- records related to high-level Government-wide Continuity of Government (COG) planning
- emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes
- records related to a national disaster or incident response

These records may be of permanent value and must be scheduled on an agency-specific records schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Continuity planning and related emergency planning files.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • records on continuity and emergency planning administrative and operational activities: <ul style="list-style-type: none"> ○ briefing materials and presentations ○ status reports ○ informational papers ○ files documenting policy or plan development, including policy studies ○ procedures, operational manuals, and related development records ○ implementation guidance ○ related correspondence ○ Memorandum (s) of Understanding ○ Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to: <ul style="list-style-type: none"> ○ Continuity of Operations (COOP) plans ○ Devolution Plans 	<p>Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0004-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ Occupant Emergency Plans (OEP) ○ Emergency Action Plans (EAP) ○ Facility Emergency Action Plans (FEAPS) ○ Records Emergency Plans (REMT) ○ Disaster Recovery Plans (DRP) ○ Pandemic Influenza Plans ● records on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ instructions to members participating in tests ○ staffing assignments ○ records of tests of communications and facilities ● evaluative reports on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ result reports ○ readiness reports ○ risk and vulnerability assessments ○ site evaluations and inspections ○ corrective action plans ○ after action reports/improvement plans <p>Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p>Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</p> <p>Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</p>		

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</p>		
020	<p>Employee emergency contact information. Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.</p> <p>Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020).</p>	<p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.</p>	DAA-GRS-2016-0004-0002

GENERAL RECORDS SCHEDULE 5.4: Facility, Equipment, Vehicle, Property, and Supply Records

This schedule covers records Federal agencies create and receive while managing, operating, and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocating space and managing supply stock.

Agencies must offer any records 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
010	<p>Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:</p> <ul style="list-style-type: none"> • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence <p>Exclusion 1: Records of aircraft operations (item 110 in this schedule covers these).</p> <p>Exclusion 2: Records of supply and property procurement (GRS 1.1, item 010 covers these).</p> <p>Exclusion 3: Requisition and supply records of the General Services Administration’s GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies’ mission so they must schedule the records separately).</p>	<p>Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0011-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
Ownership			
020	<p>Real property ownership records. Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise.</p> <p>Exclusion 1: Records relating to property acquired prior to January 1, 1921 (agencies must schedule these separately).</p> <p>Exclusion 2: Reports of Excess Real Property (Standard Form 118) and associated real property case files (agencies must schedule these separately).</p>	<p>Temporary. Transfer to new owner after unconditional sale or Government release of conditions, restrictions, mortgages, or other liens.</p>	DAA-GRS-2016-0011-0002
030	<p>Vehicle and equipment ownership records and operation manuals. Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.</p>	<p>Temporary. Transfer with vehicle or item to new owner or destroy when item is excessed, as appropriate.</p>	DAA-GRS-2016-0011-0003
040	<p>Excess personal property, equipment, and vehicle records. Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:</p> <ul style="list-style-type: none"> • excess property inventories and lists • lists and other records identifying approved receivers of excess property • donation receipts • destruction certificates • documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence <p>Exclusion: Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0011-0004

Item	Records Description	Disposition Instruction	Disposition Authority	
Facilities and equipment				
050	<p>Facility design, engineering, and construction records. Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures.</p>	<p>Draft, preliminary, intermediate, working, and contract negotiation drawings.</p>	<p>Temporary. Destroy when superseded, or when project terminates, as appropriate.</p>	<p>DAA-GRS-2016-0011-0005</p>
051	<p>Includes:</p> <ul style="list-style-type: none"> • site maps and surveys • plot plans • structural drawings • architectural renderings • electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings • exterior delivery of utilities drawings • materials plans and drawings • minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams • construction progress photographs • construction inspection reports • equipment location plans • paint plans and samples • furniture design and layout drawings and plans • space occupancy plans <p>Exclusion 1: Records documenting financial management of construction contracts (GRS 1.1, item 010 covers these).</p>	<p>Final and as-built drawings, plans, and designs; and all other records.</p>	<p>Temporary. Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate.</p>	<p>DAA-GRS-2016-0011-0006</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion 2: Records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value).</p>			
060	<p>Facility design, engineering, and construction operations records. Records documenting operational support of facility design, engineering, and construction projects. Includes:</p> <ul style="list-style-type: none"> • project requests and approvals • meeting agendas, minutes, and other records • budget and cost working files • task, punch, and action item lists • work logs • progress reports and presentation materials • related correspondence and notes 	<p>Temporary. Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0011-0007	
070	<p>Facility, space, and equipment inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:</p> <ul style="list-style-type: none"> • repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports • job orders, service call records, action sheets, and repair logs • work, shop, or job schedules 	<p>Records documenting facility structure and long-term maintenance.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0011-0008
071	<p>Note 1: Agencies that contract out facility management may wish to retain records longer than this item’s disposition instruction to document contract performance.</p> <p>Note 2: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>	<p>Records tracking completion of custodial and minor repair work.</p>	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0011-0009

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).</p>		
080	<p>Housing rental and lease records. Applications, leases, renewals, assignments, termination notices, and related documents regarding Federally owned and operated housing facilities.</p>	<p>Temporary. Destroy 3 years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.</p>	DAA-GRS-2016-0011-0010
Vehicle maintenance and inspection records			
090	<p>Land vehicle and water vessel inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes:</p> <ul style="list-style-type: none"> • work orders, service and repair requisitions, and logs • descriptions of provided service and repair, and related papers <p>Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized.</p>	DAA-GRS-2016-0011-0011
100	<p>Aircraft inspection, maintenance, and modification records. Records documenting general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding:</p> <ul style="list-style-type: none"> • servicing, manufacturing, rebuilding and testing equipment • classifying material's condition status • preventive maintenance • aircraft or equipment configuration and material alteration • logistics services <p>Includes records such as:</p>	<p>Temporary. Destroy 6 years after disposing of aircraft or removing equipment from inventory, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0011-0013

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • technical and non-technical correspondence • maintenance manuals • documentation of mechanical defects and evidence of repair • annotated manuals or manuals different from those the manufacturer issued • bulletins directing specific inspections and records of action • logbooks • diagnostic checkouts • spot check inspections • maintenance requests <p>Exclusion 1: Maintenance manuals of unique or customized aircraft must be scheduled by the agency.</p> <p>Exclusion 2: Records of the Air Force, Navy, Army, and Federal Aviation Administration must be scheduled by those agencies.</p>		
Vehicle and equipment operations and use records			
110	<p>Vehicle and heavy equipment operator records. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.</p> <p>Exclusion: Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).</p>	<p>Temporary. Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner.</p>	DAA-GRS-2016-0011-0014
120	<p>Aircraft flight operations records. Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs, destinations, and passengers; flight orders; flight plans; load manifests; dispatch releases; flight logs; and similar records.</p> <p>Exclusion: Records of the Air Force, Navy, Army, and Federal Aviation Administration must be scheduled by those agencies.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0011-0015

Item	Records Description	Disposition Instruction	Disposition Authority
130	<p>Aircraft operational support records. Records documenting logistical support to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes:</p> <ul style="list-style-type: none"> • comments on regulations • directives and other records regarding logistics • management improvement reports • cost reduction reports • requests for substantive information regarding logistics • aircraft inventories 	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0011-0016</p>
140	<p>Vehicle and vessel accident and incident records. Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including:</p> <ul style="list-style-type: none"> • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • <i>copies</i> of investigative reports (see Exclusion for original investigative reports) <p>Exclusion: Original formal accident and incident investigation records (covered under GRS 5.6).</p>	<p>Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0011-0017</p>

GENERAL RECORDS SCHEDULE 5.5: Mail, Printing, and Telecommunication Service Management Records

This schedule covers records related to:

- organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service
- administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies
- administering printing/binding/duplicating services

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

This schedule specifically excludes certain records from coverage:

- objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item's subject matter content)
- records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010)
- information technology (IT) records (covered under GRS 3.1)
- unique agency publications produced by a printing service (the publishing agency must schedule these records)
- records documenting agency programs that provide printing services (*e.g.* the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (*e.g.* the Armed Forces Radio and Television Service) (those agencies must schedule these records)

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Mail, printing, and telecommunication services administrative and operational records. Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes:</p> <ul style="list-style-type: none"> • agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use • records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment 	<p>Temporary. Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0012-0001

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

Item	Records Description	Disposition Instruction	Disposition Authority
030	<p>Metered mail records. Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0012-0003</p>
040	<p>Lost, destroyed, or damaged shipment records. Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0012-0004</p>

GENERAL RECORDS SCHEDULE 5.6: Security Records

This schedule covers records about protecting an organization’s personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers.

Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p>Security administrative records. Records about routine facility security, protective services, and personnel security program administration. Includes:</p> <ul style="list-style-type: none"> • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals 	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0001	
020	<p>Key and card access accountability records. Records accounting for keys and electronic access cards.</p>	<p>Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	Temporary. Destroy 3 years after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0002
021	<p>All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	Temporary. Destroy 6 months after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0003	
030	<p>Uniform and equipment tracking records. Records tracking uniforms and equipment issued to security personnel, including:</p>	Temporary. Destroy 3 months after return of equipment, but	DAA-GRS-2017-0006-0004	

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> • firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests • police baton and holder • handcuffs and keys 	longer retention is authorized if required for business use.		
040	<p>Property pass records. Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.</p>	Temporary. Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0005	
050	<p>Records of credit card abuse and postal irregularities. Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes:</p> <ul style="list-style-type: none"> • postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail • semi-annual reports on Government charge card violations <p>Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.</p>	Temporary. Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0006	
060	<p>Unclaimed personal property records. Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:</p> <ul style="list-style-type: none"> • lost-and-found logs and release forms 	<p>Records for property valued over \$500.</p> <p>Legal Citation: 41 CFR 102-41.130</p>	Temporary. Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0007
061	<ul style="list-style-type: none"> • loss statements • receipts • reports 	<p>Records for property valued at \$500 or less.</p> <p>Legal citation: 41 CFR 102-41.130</p>	Temporary. Destroy 30 days after the property is found, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0008
Facility and physical security records.				

Item	Records Description		Disposition Instruction	Disposition Authority
070	<p>Interagency Security Committee member records. Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:</p> <ul style="list-style-type: none"> • agendas • meeting minutes • best practice and standards documents • funding documents for security countermeasures <p>Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.</p>		<p>Temporary. Destroy when 10 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0009</p>
080	<p>Facility security assessment records. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes:</p> <ul style="list-style-type: none"> • facility notes • inspector notes and reports • vulnerability assessments 	<p>Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p>Temporary. Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0010</p>
081	<p>All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>		<p>Temporary. Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0011</p>
090	<p>Records of routine security operations. Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> • control center key or code records • registers of patrol and alarm services 		<p>Temporary. Destroy when 30 days old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0012</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • service reports on interruptions and tests • emergency alarm contact call lists • temporary identification cards • correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date • round and perimeter check reports, including facility patrol tour data • surveillance records <ul style="list-style-type: none"> ○ recordings of protective mobile radio transmissions ○ video surveillance recordings ○ closed circuit television (CCTV) records • door slip summaries <p>Exclusion: Law enforcement officer-related records, which are covered by agency-specific schedules.</p> <p>Note: Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.</p>		
100	<p>Accident and incident records. Records documenting accidents and incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes:</p> <ul style="list-style-type: none"> • statements of witnesses • warning notices • records about arrests, commitments, and traffic violations • accident and incident reports • law enforcement agency requests for information <p>Exclusion 1: Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules.</p> <p>Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.</p>	<p>Temporary. Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	DAA-GRS-2017-0006-0013

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion 3: Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.</p>			
110	<p>Visitor processing records. Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.</p>	<p>Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p>Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0014
111	<p>Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.</p>	<p>All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p>Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0015
120	<p>Personal identification credentials and cards. Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p> <p>Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk</p>	<p>Application and activation records. Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected • lost or stolen credential documentation or police report <p>Note 1: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>	<p>Temporary. Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor’s employment, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0016

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.</p>			
121	<p>Note 2: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.</p>			
130	<p>Local facility identification and card access records. Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance • parking permits <p>Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>		<p>Temporary. Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0018
140	<p>Sensitive Compartmented Information Facility (SCIF) accreditation records. Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> • initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist 		<p>Temporary. Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0019
150	<p>Sensitive Compartmented Information Facility (SCIF) inspection records. Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation 		<p>Temporary. Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is</p>	DAA-GRS-2017-0006-0020

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals 		authorized if required for business use.	
160	<p>Canine (K-9) service records. Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> • acquisition records • breeder and lineage records • vaccination and medical history records • microchip number and identification records • deficiencies/remedies • training courses taken and resulting grades and certifications • initial report of positive detections and bite incidents • end-of-service documentation (through retirement or death) 		Temporary. Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0021
Personnel security records.				
170	<p>Personnel security investigative reports. Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.</p>	<p>Personnel suitability and eligibility investigative reports.</p>	Temporary. Destroy in accordance with the investigating agency instruction.	DAA-GRS-2017-0006-0022
171		<p>Reports and records created by agencies conducting investigations under delegated investigative authority.</p>	Temporary. Destroy in accordance with delegated authority agreement or memorandum of understanding.	DAA-GRS-2017-0006-0023
180	<p>Personnel security and access clearance records. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations,</p>	<p>Records of people not issued clearances. Includes case files of applicants not hired.</p>	Temporary. Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0024

Item	Records Description		Disposition Instruction	Disposition Authority
181	<p>periodic reinvestigations, or to implement a continuous evaluation program. Includes:</p> <ul style="list-style-type: none"> • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination <p>Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.</p>	<p>Exclusion: Copies of investigative reports covered in items 170 and 171.</p> <hr/> <p>Records of people issued clearances.</p> <p>Exclusion: Copies of investigative reports covered in items 170 and 171.</p>	<p>Temporary. Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0025</p>
190	<p>Index to the personnel security case files. Lists or reports showing the current security clearance status of individuals.</p>		<p>Temporary. Destroy when superseded or obsolete.</p>	<p>DAA-GRS-2017-0006-0026</p>
200	<p>Information security violations records. Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.</p> <p>Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.</p> <p>Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>		<p>Temporary. Destroy 5 years after close of case or final action, whichever occurs sooner, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0027</p>
Insider threat records.				
210	<p>Insider threat administrative and operations records. Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> • correspondence related to data gathering • briefing materials and presentations • status reports • procedures, operational manuals, and related development records • implementation guidance • periodic inventory of all information, files, and systems owned 		<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0006-0028</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> ○ independent and self-assessments ○ corrective action plans ○ evaluative reports <p>Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.</p>		
220	<p>Insider threat inquiry records. Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p> <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p>Temporary. Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0029
230	<p>Insider threat information. Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Counterintelligence and security information <ul style="list-style-type: none"> ○ personnel security files ○ polygraph examination reports ○ facility access records, including visitor records ○ security violation files ○ travel records ○ foreign contact reports ○ financial disclosure filings ○ referral records ○ intelligence records • Information assurance information <ul style="list-style-type: none"> ○ personnel usernames and aliases ○ levels of network access ○ levels of physical access 	<p>Temporary. Destroy when 25 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0030

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ enterprise audit data which is user attributable ○ unauthorized use of removable media ○ print logs ● Human resources information <ul style="list-style-type: none"> ○ personnel files ○ payroll and voucher files ○ outside work and activities requests ○ disciplinary files ○ personal contact records ○ medical records/data ● Investigatory and law enforcement information <ul style="list-style-type: none"> ○ statements of complainants, informants, suspects, and witnesses ○ agency, bureau, or department data ● Public information <ul style="list-style-type: none"> ○ court records ○ private industry data ○ personal biographical and identification data, including U.S. Government name check data ○ generic open source and social media data <p>Exclusion: Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>		
240	<p>Insider threat user activity monitoring (UAM) data. User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:</p> <ul style="list-style-type: none"> ● identify and evaluate anomalous activity involving National Security Systems (NSS) ● identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders ● support authorized inquiries and investigations <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p> <p>Legal authority: CNSD No. 504, 4 February 2014</p>	<p>Temporary. Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0006-0031

GENERAL RECORDS SCHEDULE 5.7: Agency Accountability Records

This schedule covers records about agency accountability to itself, external oversight authorities, and to a limited extent the public, on administrative matters.

Agencies must offer any records 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
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.</p> <p>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>
020	<p>Internal control review, response, and mitigation management records.</p>	<p>Temporary.</p> <p>Destroy 5 years after no further</p>	<p>DAA-GRS-2017-0008-0002</p>

	<p>Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p>Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).</p>	<p>corrective action is needed, but longer retention is authorized if required for business use.</p>	
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

	<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>Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower’s own agency and handled without involving OSC (agencies must schedule such records separately).</p>	<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>

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

GENERAL RECORDS SCHEDULE 6.1: Email Managed under a Capstone Approach

This schedule applies *only* to Federal agencies that implement a Capstone approach as described in this GRS. When implementing this GRS, agencies should consult the FAQs about GRS 6.1, Email Managed under a Capstone Approach. Agencies are reminded that this GRS should not be implemented in isolation, and should be supplemented with agency-wide policies and training, as well as incorporated into agency records management implementation tools, such as manuals and file plans. Agencies adopting a Capstone approach should also consult other resources available from NARA related to email management, specifically the Capstone approach. These resources are available on NARA's [email management page](#) and are summarized in the introduction to the FAQ.

Agencies must not implement this GRS until obtaining approval of [NARA form 1005 \(NA-1005\), Verification for Implementing GRS 6.1](#). Agencies are required to obtain approval of a resubmitted NARA form 1005 at least every four years. Additional information, including a link to the form, may be found in the FAQs and in the instructions accompanying the form.

GRS Scope

Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. This GRS may apply to records affiliated with other commonly available functions of email programs such as calendars/appointments, tasks, and chat.

Each agency is responsible for determining the scope of implementation when using Capstone, including, 1) The range of implementation in an organization (agency-wide, specific office, etc.); and 2) The range of implementation regarding email technology and system platforms. Brief information on the scope of an agency's Capstone implementation is also required on NA-1005.

Agencies are also responsible for defining (and documenting through policy) the official recordkeeping version of email to be managed under a Capstone approach, especially when email is captured or retained in multiple locations (e.g., an email archive vs. the live system). All other versions of email can be considered nonrecord, the retention of which should be addressed in agency email policy.

Agencies are expected to apply documented selection criteria to cull the email of Capstone officials (permanent accounts) to the greatest extent possible before transfer to NARA. Culling refers to the removal – or otherwise excluding from capture – of nonrecord, personal, or transitory messages and attachments. Culling typically includes the removal of spam, email blasts received (such as agency-wide communications), and personal materials (such as emails to family members not related to agency business). Culling may be manual, automated, or a hybrid of both. Agencies may develop their own policies and procedures for the culling of temporary accounts.

Applying this GRS

When applying this GRS in part, agencies must ensure that all other email records are covered by another NARA-approved disposition authority. Agencies NOT

managing any of their email under the Capstone approach are still responsible for managing their email by applying NARA-approved records schedules.

If an agency is implementing a Capstone disposition approach different from what is provided in this GRS, the agency must submit a records schedule. For example, an agency may want to narrow the list of required positions in item 010, use shorter retention lengths for temporary records, or extend the time frame for transfer of permanent records.

Agencies have discretion to designate individual email messages, with their attachments as permanent, or as longer-term temporary records that should be cross-filed elsewhere pursuant to agency policies and business needs.

Agencies must transfer to NARA the emails of Capstone officials captured during their tenure as a Capstone official. Therefore, email of Capstone officials created prior to their designation as a Capstone official (e.g., prior to their promotion/rotation into a Capstone position) should be treated as temporary and not transferred to NARA. For guidance on transferring email as a permanent record, see NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records and the relevant sections of [36 CFR Part 1235](#).

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Email of Capstone officials.</p> <p>Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual’s name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), <i>Verification for Implementing GRS 6.1</i>, and <i>must</i> include, when applicable:</p> <ol style="list-style-type: none"> 1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent; 2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s); 3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s); 4. Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides; 5. Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s); 6. Directors of significant program offices, and/or their equivalent(s); 7. Principal regional officials, such as Regional Administrators, and/or their equivalent(s); 	<p>Permanent. Cut off in accordance with agency's business needs. Transfer to NARA 15-25 years after cutoff, or after declassification review (when applicable), whichever is later.</p>	<p>DAA-GRS-2014-0001-0001</p>

	<p>8. Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General, etc.;</p> <p>9. Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions); and</p> <p>10. Additional roles and positions that predominantly create permanent records related to mission critical functions or policy decisions and/or are of historical significance.</p> <p>This includes those officials in an acting capacity for any of the above positions longer than 60 days. Agencies may also include individual emails from otherwise temporary accounts appropriate for permanent disposition in this category.</p> <p>This item <i>must</i> include all existing legacy email accounts that correlate to the roles and positions described above.</p> <p>If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of these records must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.</p> <p>Please consult NA-1005, for more information on which positions are included within each category.</p> <p>Not media neutral; applies to records managed in an electronic format only.</p> <p>Note 1: Cabinet level agencies implementing a Capstone approach that includes their components/operatives must apply the above definition to each component individually. In these cases, each component/operative is considered a separate agency in terms of the above definition of Capstone Officials. A component/operative of a cabinet level agency can implement a Capstone approach independent of their department but must also conform to the entirety of this definition.</p>		
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	<p>Note 2: Smaller agencies, micro-agencies or Commissions implementing a Capstone approach may find that some of their Capstone positions fall into several of the categories above and/or that they do not have applicable roles or positions for all categories.</p>			
011	<p>Email of Non-Capstone officials. Email of all other officials, staff, and contractors not included in item 010.</p> <p>Not media neutral; applies to records managed in an electronic format only.</p> <p>Note: Agencies <i>only</i> using item 011 and/or item 012 of this GRS may not dispose of any email of officials in item 010, Email of Capstone Officials, of this GRS without authority from NARA in the form of another GRS or agency-specific schedule. Submission and approval of NA-1005 is still required in these instances to document those being exempted from Capstone.</p>	<p>All others except those in item 012. Includes positions and email not covered by items 010 or 012 of this schedule.</p> <p>This item applies to the majority of email accounts/users within an agency adopting a Capstone approach.</p>	<p>Temporary. Delete when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0001-0002
012		<p>Support and/or administrative positions. Includes non-supervisory positions carrying out routine and/or administrative duties. These duties comprise general office or program support activities and frequently facilitate the work of Federal agencies and their programs. This includes, but is not limited to, roles and positions that: process routine transactions; provide customer service; involve mechanical crafts, or unskilled, semi-skilled, or skilled manual labor; respond to general requests for information; involve routine clerical work; and/or primarily receive nonrecord and/or duplicative email.</p>	<p>Temporary. Delete when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0001-0003

GENERAL RECORDS SCHEDULE 6.4: Public Affairs Records

This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Public affairs-related routine operational records. Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:</p> <ul style="list-style-type: none"> • logistics, planning, and correspondence records for routine conferences and events • correspondence and records on speakers and speaking engagements, including biographies • case files and databases of public comments (related to public affairs activities only) 	<p>Temporary. Destroy when 3 years old, or no longer needed, whichever is later.</p>	<p>DAA-GRS-2016-0005-0001</p>
020	<p>Public correspondence and communications not requiring formal action. Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:</p> <ul style="list-style-type: none"> • comments the agency receives but does not act upon or that do not require a response, such as: <ul style="list-style-type: none"> ○ write-in campaigns ○ personal opinions on current events or personal experiences ○ routine complaints or commendations ○ anonymous communications ○ suggestion box comments ○ public correspondence addressed to another entity and copied to the agency or that the agency receives in error ○ comments posted by the public on an agency website that do not require response or that the agency does not collect for further use 	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0005-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • communications from the public that the agency responds to but takes no formal action on • agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting <p>Note 1: For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010.</p> <p>Note 2: The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.</p> <p>Exclusion 1: Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.</p> <p>Exclusion 2: Public comments that the agency takes action on or uses to take action are not covered by this GRS.</p>		
030	<p>Public affairs product production files. Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:</p> <ul style="list-style-type: none"> • news clippings • marketing research • copies of records used for reference in preparing products • research notes • printers galleys • drafts and working copies (see Exclusion 3) • preparatory or preliminary artwork or graphics • bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4) • clearances related to release of products (see Exclusion 5 and 6) <p>Note 1: Agencies must offer any cartographic and aerial photographic records created before January 1, 1950, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>	Temporary. Destroy when no longer needed for business use.	DAA-GRS-2016-0005-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Note 2: Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item.</p> <p>Exclusion 1: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.</p> <p>Exclusion 2: This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.</p> <p>Exclusion 3: This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.</p> <p>Exclusion 4: This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.</p> <p>Exclusion 5: Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.</p> <p>Exclusion 6: This item does not cover clearances for release of information related to declassification review.</p>		
040	<p>Routine media relations records. Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:</p>	<p>Temporary. Destroy when no longer needed for business use.</p>	<p>DAA-GRS-2016-0005-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • requests and responses for interviews • requests and responses for information or assistance for media stories • daily or spot news recordings or videos available to local radio and TV stations • notices or announcements of media events • public service announcements • copies or articles created by the agency for publication in news media <p>Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.</p>		
050	<p>Routine audiovisual records. Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.</p> <p>Note: Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.</p>	<p>Temporary. Destroy when 2 years old but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0005-0006</p>