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**U.S. Department of State Records Schedule**

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**Chapter 02: Records Common To All Sections At Post**

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**Finance****B-02-001-01 Financial Management and Reporting Administrative Records**

**Description:** Records related to managing financial activities and reporting. Records include:

- correspondence
- subject files
- feeder reports
- workload management and assignment records

Includes ship and air schedules and lists of official passengers aboard incoming ships and planes (List of persons arriving and departing from posts).

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. ((Supersedes GRS 3, item 2; GRS 6, item 5b; GRS 7, item 1; and GRS 9, 4a)

**DispAuthNo:** DAA-GRS-2016-0013-0001 (G                      **Date Edited:** 4/14/2020

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**B-02-001-02      Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting**

**Description:** 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.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- 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

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:

- 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:

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- o cash register transaction records
- o credit card and charge cards receipts
- o records documenting deposits
- o records documenting allocation of fees to funds/accounts
- o deposit lists and logs
- o customer orders
- o 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

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:

• 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:

- o statements of transactions
- o statements of accountability
- o collection schedules and vouchers
- o 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

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Legal citation: 28 U.S. Code 2401(a)

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.

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.

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.

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.

**Disposition:** Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (Supersedes GRS 3, item 3a(1)(a); GRS 3, Item 3a(2); GRS 3, item 5b(2)(b); GRS 7, item 3; GRS 7, item 4a)

**DispAuthNo:** DAA-GRS-2013-0003-0001 (G      **Date Edited:** 6/12/2020

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**B-02-001-03      Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting**

**Description:** (All other copies. Copies used for administrative or reference purposes)

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.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- 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

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:

- 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;

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and receipt of donations, bequests, and other collections from the public, including:

- o cash register transaction records
- o credit card and charge cards receipts
- o records documenting deposits
- o records documenting allocation of fees to funds/accounts
- o deposit lists and logs
- o customer orders
- o 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

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:

• 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:

- o statements of transactions
- o statements of accountability
- o collection schedules and vouchers
- o 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

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- unused ticket redemption forms

Legal citation: 28 U.S. Code 2401(a)

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.

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.

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.

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.

**Disposition:** Temporary. Destroy when business use ceases. (Supersedes GRS 12, item 2d(1))

**DispAuthNo:** DAA-GRS-2013-0003-0002 (G)      **Date Edited:** 6/12/2020

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**B-02-001-04      Records supporting compilation of agency financial statements and related audit, and all records of all other reports.**

**Description:** Includes records such as: 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; and interim, quarterly and other reports.

**Disposition:** Temporary. Destroy 2 years after completion of audit or closure of financial statement/accounting treatment/issue.

**DispAuthNo:** DAA-GRS-2013-0003-0011 (G)      **Date Edited:** 8/25/2017

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**B-02-001-05 Property, plant and equipment (PP&E) and other asset accounting.**

**Description:** Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: purchase orders and contracts; 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; and correspondence and work papers.

Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.

**Disposition:** Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement.

**DispAuthNo:** DAA-GRS-2013-0003-0004 (G)      **Date Edited:** 8/25/2017

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**B-02-001-06 Cost Accounting for Stores, Inventory, and Materials**

**Description:** 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: 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; and receiving, inspection, and acceptance documentation.

**Disposition:** Temporary. Destroy when 3 years old.

**DispAuthNo:** DAA-GRS-2013-0003-0012 (G)      **Date Edited:** 8/30/2017

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**B-02-001-07 Construction Contractors' Payroll Files**

**Description:** 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.

**Disposition:** Temporary. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action.

**DispAuthNo:** DAA-GRS-2013-0003-0003 (G)      **Date Edited:** 8/30/2017

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#### **B-02-001-08 Administrative Claims by or Against the United States**

**Description:** Records of monetary or property claims by the United States subject to the Federal Claims Collection Standards, completed or closed by:

- payment in full
- compromise agreement
- termination of collection action
- determination that money or property is not owed to the United States
- approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard
- lifting of court order Also, records of monetary claims against the United States, completed or closed by:
  - disallowance in full
  - allowance in full or in part with final payment awarded
  - settlement, compromise, or withdrawal
  - lifting of court order

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€

**Disposition:** Temporary. Destroy 7 years after final action, but longer retention is authorized if required for business use. (Supersedes GRS 6, item 10a; GRS 6, item 10b(1); GRS 6, item 10b(2)(a); GRS 6, item 10b(2)(b); GRS 6, item 10b(3); GRS 6, item 10c; GRS 6, item 11a; and GRS 6, item 11b)

**DispAuthNo:** DAA-GRS-2017-0005-0001 (G      **Date Edited:** 8/25/2017

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#### **B-02-001-09 Grant and Cooperative Agreement Program Management Records**

**Description:** Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as background files (program announcements, notice of funding availability or funding opportunity announcement, including Federal Register notices, and requests for proposals) application packages and application evaluation files (panel composition, correspondence, instructions, etc., for a specific funding opportunity).

EXCLUDES: Policy records (NOT authorized for disposal) documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs and records related to transactions stemming from activities of agency grant and cooperative agreement programs.

**Disposition:** TEMPORARY. Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0008-0007 (G      **Date Edited:** 5/1/2018

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**B-02-001-10 Grant and Cooperative Agreement Case Files**

**Description:** Official record of applicant case files held in the office of record containing records relating to individual grant or cooperative agreements. Records include, but are not limited to, applications, forms and budget documents; evaluation reports, panelist comments, review ratings or scores; Notice of Grant Award or equivalent and grant terms and conditions; state plans; amendment requests and actions; periodic and final performance and audit reports (progress, narrative, financial); audit reports and/or monitoring or oversight documentation; and summary reports.

A. Successful Applications. Excludes records related to transactions stemming from activities of agency grant and cooperative agreement programs.

**Disposition:** TEMPORARY. Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0008-0001 (G      **Date Edited:** 5/1/2018

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**B-02-001-11 Grant and Cooperative Agreement Case Files**

**Description:** Official record of applicant case files held in the office of record containing records relating to individual grant or cooperative agreements. Records include, but are not limited to, applications, forms and budget documents; evaluation reports, panelist comments, review ratings or scores; Notice of Grant Award or equivalent and grant terms and conditions; state plans; amendment requests and actions; periodic and final performance and audit reports (progress, narrative, financial); audit reports and/or monitoring or oversight documentation; and summary reports.

b. Unsuccessful Applications. Excludes records related to transactions stemming from activities of agency grant and cooperative agreement programs.

**Disposition:** TEMPORARY. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0008-0006 (G      **Date Edited:** 5/1/2018

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#### **B-02-001-12 Grant and Cooperative Agreement Case Files**

**Description:** Other copies of applicant case files. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to, applications, forms and budget documents; evaluation reports, panelist comments, review ratings or scores; Notice of Grant Award or equivalent and grant terms and conditions; state plans; amendment requests and actions; periodic and final performance and audit reports (progress, narrative, financial); audit reports and/or monitoring or oversight documentation; and summary reports.

c. All Other Copies. Copies used for administrative or reference purposes. Excludes records related to transactions stemming from activities of agency grant and cooperative agreement programs.

**Disposition:** TEMPORARY. Destroy when business use ceases.

**DispAuthNo:** DAA-GRS-2013-0008-0002 (G      **Date Edited:** 5/1/2018

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#### **B-02-001-13 Final Grant and Cooperative Agreement Products or Deliverables**

**Description:** The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a:

- report, study, or publication
- conference paper and/or presentation
- book, journal article, or monograph
- training material, educational aid, or curriculum content
- plan, process, or analysis
- database or dataset
- audio, video, or still photography
- website content or other Internet component
- documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)
- software or computer code

Note 1: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.

Note 2: If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.

**Disposition:** TEMPORARY. Destroy when business use ceases.

**DispAuthNo:** DAA-GRS-2013-0008-0003 (G      **Date Edited:** 8/30/2017

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**B-02-001-16**      **Budget Reports**  
**Description:** Full fiscal-year reports. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.  
**Disposition:** Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 3a)  
**DispAuthNo:** DAA-GRS-2015-0006-0003 (G      **Date Edited:** 1/22/2018

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**B-02-001-17**      **Budget Reports**  
**Description:** All other reports. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.  
**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 3b)  
**DispAuthNo:** DAA-GRS-2015-0006-0004 (G      **Date Edited:** 1/22/2018

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**B-02-001-18**      **Budget Preparation Background Records**  
**Description:** Records held in office responsible for preparing agency's budget proposal to the White House. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.  
**Disposition:** Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)  
**DispAuthNo:** DAA-GRS-2015-0006-0005 (G      **Date Edited:** 1/22/2018

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**B-02-001-19**      **Budget Preparation Background Records**  
**Description:** Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.  
**Disposition:** Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)  
**DispAuthNo:** DAA-GRS-2015-0006-0006 (G      **Date Edited:** 1/22/2018

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**B-02-001-20**      **Budget Administration Records**

**Description:**      Records documenting administration of budget office responsibilities. Includes:

- correspondence relating to routine administration, internal procedures, and other day-to-day matters
- records monitoring expenditures under approved budget allocations
- records of financial controls maintenance
- spreadsheets and databases tracking income, expenditures, and trends
- work planning documentation
- cost structure and accounting code lists
- feeder and statistical reports
- related correspondence

**Disposition:**      Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 1)

**DispAuthNo:**      DAA-GRS-2015-0006-0007 (G)      **Date Edited:**      1/22/2018

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#### Human Resources

**B-02-002-01      Position Descriptions**

**Description:** Official record copy of position description.

Copy held at Human Resources office.

**Disposition:** Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 7b)

**DispAuthNo:** DAA-GRS-2014-0002-0002 (G      **Date Edited:** 8/27/2017

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**B-02-002-02      Position Reviews and Classification Appeals**

**Description:** Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits.

Exclusion: OPM's corresponding case file is not covered by this item.

**Disposition:** Temporary. Destroy 3 years after final decision, but longer retention is authorized if required for business use. [Supersedes GRS 1, item 7d(1)]

**DispAuthNo:** DAA-GRS-2014-0002-0004 (G      **Date Edited:** 8/30/2017

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**B-02-002-03      Job Vacancy Case Files**

**Description:** Records of one-time competitive and Senior Executive Service announcements/ selections.

Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- request for lists of eligible candidates
- job announcement
- examination announcement
- job analysis, assessment criteria, and crediting plan
- basis for certification
- applications, resumes, supplemental forms, other attachments
- list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- certificates, registers or lists of eligible candidates issued to selecting officials
- job-related test records
- 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

Legal citation: 5 CFR 335.103

**Disposition:** Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later. (Supersedes GRS 1, item 33p and GRS 1, item 33q)

**DispAuthNo:** DAA-GRS-2014-0002-0006 (G

**Date Edited:** 8/27/2017

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#### **B-02-002-04      Job Vacancy Case Files**

**Description:** Records of standing register competitive files for multiple positions filled over a period of time.

Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- request for lists of eligible candidates
- job announcement
- examination announcement
- job analysis, assessment criteria, and crediting plan
- basis for certification
- applications, resumes, supplemental forms, other attachments
- list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- certificates, registers or lists of eligible candidates issued to selecting officials
- job-related test records
- 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

Legal citation: 5 CFR 335.103

**Disposition:** Temporary. Destroy 2 years after termination of register. (Supersedes GRS 1, item 32; GRS 1, item 33b; GRS 1, item 33c; GRS 1, item 33e; GRS 1, item 33f; GRS 1, item 33g; GRS 1, item 4a; and GRS 1, item 5)

**DispAuthNo:** DAA-GRS-2014-0002-0007 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-05      Job Application Packages**

**Description:** Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes:

- application
- resume
- supplemental forms
- other attachments

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).

**Disposition:** Temporary. Destroy 1 year after date of submission. [Supersedes GRS 1, item 33k; GRS 1, item 33l(1); GRS 1, item 33l(2); GRS 1, item 33m; GRS 1, item 33n; GRS 1, item 4b(1); GRS 1, item 4b(2); and GRS 1, item 4b(3)]

**DispAuthNo:** DAA-GRS-2014-0002-0011 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-06 Requests for Non-competitive Personnel Action**

**Description:** 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.

**Disposition:** Temporary. Destroy 1 year after approval is granted or denied. (Supersedes GRS 1, item 33o)

**DispAuthNo:** DAA-GRS-2014-0002-0013 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-07 Interview Records**

**Description:** Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:

- 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

Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.

**Disposition:** 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. (GRS 1, item 8)

**DispAuthNo:** DAA-GRS-2014-0002-0008 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-08 Records of Delegation of Authority for Examination and Certification**

**Description:** Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment.

Exclusion: OPM's records are not covered by this item.

**Disposition:** Temporary. Destroy 3 years after agreement terminates but longer retention is authorized if required for business use. (Supersedes GRS 1, item 33a)

**DispAuthNo:** DAA-GRS-2014-0002-0021 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-09 Delegated Authority Audits**

**Description:** Reports of delegated examining operations audit delivered to the audited agency.

Exclusion: OPM's records are not covered by this item.

**Disposition:** Temporary. Destroy when 3 years old but longer retention is authorized if required for business use. (Supersedes GRS, 1, item 33t)

**DispAuthNo:** DAA-GRS-2014-0002-0022 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-10 Employee Management Administrative Records**

**Description:** Records on routine office program support, administration, and human resources operations. Includes:

- reports, including annual reports to the Department of State concerning the number of official passports issued and related matters
- reports from subordinate units regarding statistics and other reporting measures
- general correspondence with internal agency offices and with OPM
- general correspondence with travelers regarding official passport application procedures and documentation requirements
- statistics, including lists of official passport holders

Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 1; GRS 1, item 16; GRS 1, item 17c; GRS 1, item 3)

**DispAuthNo:** DAA-GRS-2017-0007-0001 (G      **Date Edited:** 8/27/2017)

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#### **B-02-002-11 Employee Incentive Award Records**

**Description:** 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.

Exclusion: Records of Department-level awards require agency-specific schedules.

**Disposition:** 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. (Supersedes GRS 1, item 12a(1); GRS 1, item 12a(2); GRS 1, item 12b; GRS 1, item 12c; and GRS 1, item 12d)

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**B-02-002-12**      **Official Personnel Folder (OPF)/electronic OPF (eOPF)**

**Description:** 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.

Official Personnel Folders of Locally Employed Staff (LES) and Personal Service Contract (PSC) employees. Consists of record copies of documents covering their entire service as prescribed in the Federal Personnel Manual and related Departmental guidelines.

Includes records of Foreign Service National (FSN) and Personal Service Contract (PSC) Employees.

The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history.

Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.

Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.

Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.

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.

**Disposition:** 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. (Supersedes GRS 1, item 1)

**DispAuthNo:** DAA-GRS-2017-0007-0004 (G      **Date Edited:** 8/27/2020

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**B-02-002-13 Official Personnel Folder (OPF)/electronic OPF (eOPF)**

**Description:** 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.

The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history.

Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.

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.

Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.

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.

**Disposition:** Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier. (Supersedes GRS 1, item 1; GRS 1, item 10; and GRS 1, item 10a)

**DispAuthNo:** DAA-GRS-2017-0007-0005 (G)      **Date Edited:** 6/29/2020

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**B-02-002-14 Notifications of Personnel Actions**

**Description:** 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.

Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.

**Disposition:** Temporary. Destroy when business use ceases. (Supersedes GRS 1, item 14a; GRS 1, item 14b; and GRS 1, item 17a)

**DispAuthNo:** DAA-GRS-2017-0007-0006 (G)      **Date Edited:** 8/28/2017

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#### **B-02-002-15 Employee Performance File System Records**

**Description:** Acceptable performance appraisals of non-senior executive service employees.

Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

Performance records for employees as defined in 5 U.S.C. 4301(2)).

Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.

Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.

Legal citation: 5 CFR Part 293.404

**Disposition:** Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use. [Supersedes GRS 1, item 23; GRS 1, item 23a(3)(a); GRS 1, item 23a(3)(b); GRS 1, item 23a(4); and GRS 1, item 23a(5)]

**DispAuthNo:** DAA-GRS-2017-0007-0008 (G                      **Date Edited:** 8/28/2017

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#### **B-02-002-16 Employee Performance File System Records**

**Description:** Unacceptable performance appraisals of non-senior executive service employees.

Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

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.

Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.

Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404

**Disposition:** 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. [Supersedes GRS 1, item 23a(1)]

**DispAuthNo:** DAA-GRS-2017-0007-0009 (G                      **Date Edited:** 8/28/2017

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#### **B-02-002-17 Employee Performance File System Records**

**Description:** 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.

Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.

Legal citation: 5 CFR Part 293.404

**Disposition:** Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed. [Supersedes GRS 1, item 23a(2)]

**DispAuthNo:** DAA-GRS-2017-0007-0011 (G      **Date Edited:** 8/28/2017)

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#### **B-02-002-18 Supervisors' Personnel Files**

**Description:** 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.

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.

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.

**Disposition:** Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

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**B-02-002-19**      **Records Related to Official Passports**

**Description:**      The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.

Application records.

Records related to administering the application or renewal of official passports and visas, including:

- copies of passport and visa applications
- passport and visa requests
- special invitation letters
- visa authorization numbers
- courier receipts
- copies of travel authorizations

Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.

**Disposition:**      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. (Supersedes GRS 9, item 5a)

**DispAuthNo:**      DAA-GRS-2017-007-0013 (G)      **Date Edited:**      10/4/2017

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**B-02-002-20**      **Alternative Dispute Resolution (ADR) Records**

**Description:**      ADR Program Files.

ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).

This item refers to the program management and routine activities of offices running ADR processes. Includes:

- program-related correspondence (excludes case-related correspondence)
- copies of statutes, regulations
- meeting minutes
- final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended
- copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices)
- evaluation records of the ADR program
- other records relating to the agency's overall administration of its ADR program

**Disposition:**      Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1, item 27a)

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**B-02-002-21**      **Alternative Dispute Resolution (ADR) Records**

**Description:**      ADR case files - Formal process.

ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).

This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances). Includes:

- agreements to use ADR
- documentation of the settlement or discontinuance of the ADR case
- parties' written evaluations of the process and/or the neutral third party mediator
- correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs)

**Disposition:**      Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 27b)

**DispAuthNo:**      DAA-GRS-2015-0007-0003 (G)      **Date Edited:**      8/28/2017

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**B-02-002-22**      **Reasonable Accommodation Records**

**Description:**      Reasonable accommodation program files.

Administrative records not linked to a case file. Includes:

- instructions
- directives
- notices
- timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation
- reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance
- notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices

Includes Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.

**Disposition:**      Temporary. Destroy 3 years after being superseded, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 24a)

**DispAuthNo:**      DAA-GRS-2015-0007-0004 (G      **Date Edited:**      8/30/2017

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#### **B-02-002-23 Reasonable Accommodation Records**

**Description:** Reasonable accommodation employee case files

Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:

- request approvals and denials
- notice of procedures for informal dispute resolution or appeal processes, including ADR processes
- forms
- correspondence
- emails
- policy guidance documents
- records of oral conversations
- medical records
- supporting notes and documentation

Includes Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.

**Disposition:** Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 24b and GRS 1, item 24e)

**DispAuthNo:** DAA-GRS-2015-0007-0005 (G      **Date Edited:** 8/30/2017)

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#### **B-02-002-24 Equal Employment Opportunity (EEO) Records**

**Description:** EEO program files.

General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 25g)

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**B-02-002-25 Equal Employment Opportunity (EEO) Records**

**Description:** EEO official discrimination complaint case files – Formal process.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court.

Note: This item includes all records gathered in the informal process which become the formal process case file once a formal complaint is filed.

**Disposition:** Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 25a)

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**B-02-002-26 Equal Employment Opportunity (EEO) Records**

**Description:** EEO case files that did not result in an EEO complaint.

Includes cases that did not result in an official formal or informal EEO complaint.

**Disposition:** Temporary. Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use. [Supersedes GRS 1, item 25c; GRS 1, item 25c(1); and GRS 1, item 25c(2)]

**DispAuthNo:** DAA-GRS-2015-0007-0009 (G      **Date Edited:** 8/28/2017

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**B-02-002-27 Equal Employment Opportunity (EEO) Records**

**Description:** EEO compliance review files.

Reviews, background documents, and correspondence relating to contractor employment practices.

**Disposition:** Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use. [Supersedes GRS 1, item 25d(1)]

**DispAuthNo:** DAA-GRS-2015-0007-0010 (G      **Date Edited:** 8/28/2017

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**B-02-002-28      Equal Employment Opportunity (EEO) Records**

**Description:** EEO reports and employment statistics files.

Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.

**Disposition:** Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use. [Supersedes GRS 1, item 25d(2); GRS 1, item 25f; GRS 1, item 25h(1); GRS 1, item 25h(2); GRS 1, item 25h(3); and GRS 1, item 25h(4)]

**DispAuthNo:** DAA-GRS-2015-0007-0011 (G      **Date Edited:** 8/28/2017

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**B-02-002-29      Labor Management Relations Agreement Negotiation Records**

**Description:** Office(s) responsible for negotiations.

Records relating to negotiations with labor unions. Includes:

- negotiation agreements
- requests to bargain
- bargaining session records/notes
- correspondence
- memoranda
- reports
- forms
- other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

**Disposition:** Temporary. Destroy 5 years after expiration of agreement, but longer retention is authorized if required for business use. [Supersedes GRS 1, item 28a(1)]

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**B-02-002-30 Labor Management Relations Agreement Negotiation Records**

**Description:** All other offices.

Records relating to negotiations with labor unions. Includes:

- negotiation agreements
- requests to bargain
- bargaining session records/notes
- correspondence
- memoranda
- reports
- forms
- other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

**Disposition:** Temporary. Destroy when no longer needed for business use. [GRS 1, item 28a(2)]

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**B-02-002-31 Labor Management Relations Agreement Negotiation Records**

**Description:** Labor management relations arbitration records.

Correspondence, forms, and related records relating to labor arbitration cases.

Records relating to negotiations with labor unions. Includes:

- negotiation agreements
- requests to bargain
- bargaining session records/notes
- correspondence
- memoranda
- reports
- forms
- other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

**Disposition:** Temporary. Destroy 5 years after final resolution of case, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 28b)

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#### **B-02-002-32      Administrative Grievance, Disciplinary, and Adverse Action Files**

**Description:** Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes:

- grievance documents (copy of original grievance submission and supporting documentation/evidence)
- statements of witnesses
- reports of interviews and hearings
- examiner's findings and recommendations
- copy of the original decision
- related correspondence and exhibits

Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.

**Disposition:** Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed. (Supersedes GRS 1, item 30a)

**DispAuthNo:** DAA-GRS-2015-0007-0017 (G      **Date Edited:** 8/28/2017)

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#### **B-02-002-33      Administrative Grievance, Disciplinary, and Adverse Action Files**

**Description:** Adverse action files.

Case files and records related to effected adverse actions against employees. Includes:

- copy of the proposed adverse action
- supporting documents
- statements of witnesses
- employee's reply
- hearing notices
- reports
- decisions
- appeal records
- supporting documentation of letters of reprimand

Exclusion: Excludes letters of reprimand which are filed in the OPF.

**Disposition:** Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed. (Supersedes GRS 1, item 30b)

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**B-02-002-34      Administrative Grievance, Disciplinary, and Adverse Action Files**

**Description:** Performance-based action files.

Case files and records related to effected performance based actions against employees. Includes:

- performance appraisal
- performance improvement plan
- supporting documents
- copy of the proposed performance-based action
- employee's reply
- decision notices
- hearing notices
- appeal records

**Disposition:** Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed. (Supersedes GRS 1, item 30b)

**DispAuthNo:** DAA-GRS-2015-0007-0023 (G      **Date Edited:** 8/28/2017

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**B-02-002-35      Displaced Employee Program Files**

**Description:** Displaced employee program files.

Includes:

- program related correspondence
- program implementation records
- reporting and tracking files sent to oversight agencies such as OPM, and to senior level management
- control files
- information collected about displaced employees

Exclusion: These items do not apply to the Department of Defense.

**Disposition:** Temporary. Destroy 3 years after being superseded, but longer disposition is authorized if required for business use. (Supersedes GRS 1, item 33s)

**DispAuthNo:** DAA-GRS-2015-0007-0019 (G      **Date Edited:** 8/28/2017

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**B-02-002-36**      **Displaced Employee Program Files**

**Description:** Displaced employee program application records.

Includes:

- applications
- registrations
- forms
- data
- other related documentation

**Disposition:** Temporary. Destroy when employee is no longer eligible for displaced employee programs, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 33r)

**DispAuthNo:** DAA-GRS-2015-0007-0020 (G      **Date Edited:** 8/28/2017

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**B-02-002-37**      **Telework/Alternate Worksite Records**

**Description:** Telework/alternative worksite program files.  
Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:

- correspondence
- notes
- policy implementation documents
- form development files
- planning records
- program evaluation documentation/data
- reports provided to senior management and oversight agencies such as OPM
- other related records generated by the agency or by participating employees

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1, item 42c)

**DispAuthNo:** DAA-GRS-2015-0007-0021 (G      **Date Edited:** 8/28/2017

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#### **B-02-002-38 Telework/Alternate Worksite Records**

**Description:** Forms, requests, or applications to participate in telework/alternate worksite programs. Includes:

- agreements between the agency and the employee
- records such as questionnaires relating to the safety of the worksite
- forms, checklists and similar records regarding the installation and use of equipment, hardware, and software
- the use of secure, classified information or data subject to the Privacy Act, or agencies' Personally Identifiable Information policies

Note: "End of employee participation" in the disposition instruction refers to if employee leaves telework entirely, is rejected, denied, or barred from telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment.

**Disposition:** Temporary. Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 42a and GRS 1, item 42b)

**DispAuthNo:** DAA-GRS-2015-0007-0022 (G      **Date Edited:** 8/28/2017)

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#### **B-02-002-39 Records used to Calculate Payroll, Arrange Paycheck Deposit, and Change Previously Issued Paychecks.**

**Description:** Includes:

- additions to paychecks
  - o child care subsidies
  - o Internal Revenue Service form W-9 (Request for Taxpayer Identification Number)
  - o other additions
- deductions from paychecks
  - o insurance
  - o retirement accounts (e.g. Thrift Savings Plan, my Retirement Account, etc.)
  - o flexible spending accounts, such as medical savings and dependent care assistance
  - o union dues
  - o Combined Federal Campaign
  - o garnishments (IRS form 668A—Notice of Levy—and similar records)
  - o Treasury bond purchases
  - o other deductions
- authorizations for deposits into bank accounts
- changes or corrections to previous transactions either at paying agency or payroll processor

**Disposition:** Temporary. Destroy 2 years after employee separation or retirement, but longer retention is authorized if required for business use. (Supersedes GRS 2, item 15a; GRS 2, item 15b; and GRS 2, item 18)

**DispAuthNo:** DAA-GRS-2016-0015-0001 (G      **Date Edited:** 8/28/2017)

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#### **B-02-002-40 Time and Attendance Records**

**Description:** Sign-in/sign-out records (including duty officer log), time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Legal citation: 29 U.S.C. 516.5a

**Disposition:** Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; GRS 2, item 7; and GRS 2, item 8, and II-NN-3544, item 26)

**DispAuthNo:** DAA-GRS-2016-0015-0003 (G      **Date Edited:** 4/9/2020)

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#### **B-02-002-41 Agency Payroll Record for Each Pay Period**

**Description:** Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.

Legal citation: 5 U.S.C. 8466

**Disposition:** Temporary. Destroy when 56 years old. (Supersedes GRS 2, item 1b)

**DispAuthNo:** DAA-GRS-2016-0015-0004 (G      **Date Edited:** 8/28/2017)

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#### **B-02-002-42 Wage and Tax Statements**

**Description:** Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.

Legal citations:

Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3.

IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).

**Disposition:** Temporary. Destroy when 4 years old, but longer retention is authorized if required for business use. (Supersedes GRS 2, item 13b and GRS 2, item 13c)

**DispAuthNo:** DAA-GRS-2016-0015-0005 (G      **Date Edited:** 8/28/2017)

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**B-02-002-43 Payroll Program Administrative Records**

**Description:** Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.

Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.

**Disposition:** Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 2, item 22b)

**DispAuthNo:** DAA-GRS-2016-0015-0006 (G      **Date Edited:** 8/28/2017)

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**B-02-002-44 Payroll Program Administrative Records**

**Description:** Payroll system reports providing fiscal information on agency payroll.

Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.

**Disposition:** Temporary. Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use. (Supersedes GRS 2, item 22c)

**DispAuthNo:** DAA-GRS-2016-0015-0007 (G      **Date Edited:** 8/28/2017)

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**B-02-002-45 Donated Leave Program Individual Case Files**

**Description:** Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.

**Disposition:** Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2016-0015-0009 (G      **Date Edited:** 8/28/2017)

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**B-02-002-46**      **Wage Survey Files**

**Description:** Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

**Disposition:** Temporary. Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention is authorized if required for business use. (Supersedes GRS 1, item 38)

**DispAuthNo:** DAA-GRS-2016-0015-0010 (G)      **Date Edited:** 8/28/2017

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**B-02-002-47**      **Workers' Compensation (Personnel Injury Compensation) Records**

**Description:** Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.

Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:

- forms, reports, correspondence, claims
- medical and investigatory records
- administrative determinations or court rulings
- payment records

Exclusion 1: Copies filed in the Employee Medical Folder.

Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.

**Disposition:** Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed. (Supersedes GRS 1, item 31)

**DispAuthNo:** DAA-GRS-2016-0015-0012 (G)      **Date Edited:** 8/28/2017

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<b>B-02-002-51</b>	<b>Separation Program Management Records</b>
<b>Description:</b>	Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.  Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: <ul style="list-style-type: none"><li>• registers of separation or transfers such as SF-2807, SF3103, or similar records</li><li>• retention registers and related records</li><li>• reports, correspondence, and control documents</li><li>• exit interview compilations identifying and tracking trends</li></ul>
<b>Disposition:</b>	Temporary. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use. (Supersedes GRS 1, 17b(1) and GRS 2, item 28)
<b>DispAuthNo:</b>	DAA-GRS-2014-0004-0002 (G) <b>Date Edited:</b> 8/28/2017
<b>B-02-002-52</b>	<b>Individual Employee Separation Records Required to be Placed in Separating Employee's OPF.</b>
<b>Description:</b>	As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to: <ul style="list-style-type: none"><li>• resignation letter</li><li>• reason for separation (such as reduction in force)</li><li>• documentation of retirement-option elections and coverage</li><li>• documentation of indebtedness</li><li>• documentation of payment or repayment to, or refund from FERS or CSRS</li><li>• record of employee leave prepared upon transfer or separation</li><li>• records of most recent performance ratings</li><li>• designation of beneficiary</li></ul>
<b>Disposition:</b>	File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate. (Supersedes GRS 2, item 9a)
<b>DispAuthNo:</b>	GRS 2.5, item 040 <b>Date Edited:</b> 8/30/2017

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#### **B-02-002-53      Non-mission Employee Training Program Records**

- Description:** Records about planning, assessing, managing, and evaluating an agency's training program:
- 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

Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020.

Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.

**Disposition:** 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. (Supersedes GRS 1, item 29a(1); GRS 1, item 29a(2), and GRS 1, item 29b)

**DispAuthNo:** DAA-GRS-2016-0014-0001 (G      **Date Edited:** 8/28/2017

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#### **B-02-002-54      Public Financial Disclosure Reports**

**Description:** All other reports.

Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.

Legal Citation: 5 U.S.C. app. Section 105, 5 CFR part 2634.603

**Disposition:** Temporary. Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (Supersedes GRS 25, item 2a2)

**DispAuthNo:** DAA-GRS-2014-0005-0008 (G      **Date Edited:** 8/28/2017

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**B-02-002-55**      **Confidential Financial Disclosure Reports**

**Description:**      All other reports.

Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450A), and related records.

Legal Citation: 5 CFR 2634.604

**Disposition:**      Temporary. Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (Supersedes GRS 25, item 2b2)

**DispAuthNo:**      DAA-GRS-2014-0005-0012 (G)      **Date Edited:**      8/28/2017

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**B-02-002-56**      **Workforce and Succession Planning Records**

**Description:**      Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:

- planning and analysis models
- planning data
- briefing materials
- studies and surveys
- lists of functions and staff at key locations

**Disposition:**      Temporary. Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.

**DispAuthNo:**      DAA-GRS-2017-0007-0002 (G)      **Date Edited:**      10/31/2019

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**Technology****B-02-003-01 Information Technology Development Project Records—Infrastructure Project Records**

**Description:** Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware; installing and upgrading network operating systems and shared applications; and providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.

Includes records such as installation and testing records; installation reviews and briefings; quality assurance and security review; requirements specifications; technology refresh plans; operational support plans; test plans; and models, diagrams, schematics, and technical documentation.

Exclusion: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.

Note: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.

**Disposition:** Temporary. Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0005-0006 (G)      **Date Edited:** 8/30/2017

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**B-02-003-02 Information Technology Development Project Records—System Development Records**

**Description:** These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.

Records include project plans; feasibility studies; cost analyses; requirements documents; compliance documents such as Privacy Threshold Analyses (PTAs), Privacy Impact Assessments (PIAs), Security Plan, and Information Protection Plan; change control records, Project Schedule; Plan of Action and Milestones (POA&M); Configuration Management Plan; Resource Management Plan; Risk Assessment/Mitigation Plan; Security Plan; Disaster Recovery Plan; Test/Acceptance Plan; Quality Control Plan; Deployment Guide; User Guide; and Training Guide.

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g. data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

**Disposition:** Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0005-0007 (G)      **Date Edited:** 8/30/2017

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**B-02-003-03      Information Technology Development Project Records—Special Purpose  
Computer Programs and Applications**

**Description:**      Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or application, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with the CFR.

**Disposition:**      Temporary. Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.

**DispAuthNo:**      DAA-GRS-2013-0005-0008 (G      **Date Edited:**      8/30/2017

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#### **B-02-003-04 Information Technology Operations and Maintenance Records**

**Description:** Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance of network infrastructure.

Includes records such as files identifying IT facilities and sites; files concerning implementation of IT facility and site management; equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence; inventories of IT assets, network circuits, and building or circuitry diagrams; equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices; requests for service; work orders; service histories; workload schedules; run reports; schedules of maintenance and support activities; problem reports and related decision documents relating to the software infrastructure of the network or system; reports on operations including measures of benchmarks, performance indicators, critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports; website administration including frames, templates, style sheets, site maps, codes that determine site architecture, change requests, site posting logs, clearance records, requests for correction of incorrect links or content posted, requests for removal of duplicate information, user logs, search engine logs, and audit logs; and records to allocate charges and track payment for software and services.

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records. See A-03-015-02.

**Disposition:** Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0005-0004 (G) **Date Edited:** 8/30/2017

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#### **B-02-003-05 Configuration and Change Management Records**

**Description:** Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems.

Includes records such as data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management records; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; and documentation of software distribution (including COTS software license management files) and release or version management.

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

**Disposition:** Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0005-0005 (G)      **Date Edited:** 8/28/2017

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#### **B-02-003-06 Information Technology Oversight and Compliance Records**

**Description:** Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations.

Includes records such as recurring and special reports; responses to findings and recommendations; reports of follow-up activities; statistical performance data; metrics; inventory of web activity; web use statistics; comments/feedback from web site or application users; internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act; system availability reports; target IT architecture reports; systems development lifecycle handbooks; computer network assessments and follow-up documentation; vulnerability assessment reports; assessment and authorization of equipment; Independent Verification and Validation (IV&V) reports; contractor evaluation reports; quality assurance reviews and reports; market analyses and performance surveys; benefit-cost analyses; make vs. buy analysis; reports on implementation of plans; compliance reviews; and data measuring or estimating impact and compliance.

**Disposition:** Temporary. Destroy 5 years after the project/activity/ transaction is completed or superseded, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0005-0010 (G) **Date Edited:** 8/30/2017

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#### **B-02-003-07 Documentation Necessary for Preservation of Permanent Electronic Records**

**Description:** Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in an NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records including: data/database dictionary records, data systems specifications, file specifications, code books, record layouts, metadata, user guides, and output specifications.

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

**Disposition:** Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

**DispAuthNo:** DAA-GRS-2013-0005-0002 (G) **Date Edited:** 8/30/2017

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**B-02-003-08      All Documentation for Temporary Electronic Records and Documentation not Necessary for Preservation of Permanent Records**

**Description:** Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in A-03-016-08a, including data/database dictionary records, data systems specifications, file specifications, code books, record layouts, metadata, user guides, and output specifications.

And also the following records for all electronic records whether scheduled as temporary or permanent: software operating manuals, data standards, table and dependency descriptions, taxonomies, schemas, registries, source code, physical data model, and logical data model.

**Disposition:** Temporary. Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0005-0003 (G)      **Date Edited:** 8/30/2017

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**B-02-003-09      Systems and Data Security Records**

**Description:** These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses.

Includes records such as Systems Security Plans, Disaster Recovery Plans, Continuity of Operations Plans, published computer technical manuals and guides, examples and references used to produce guidelines covering security issues related to specific systems and equipment, records on disaster exercises and resulting evaluations, network vulnerability assessments, risk surveys, service test plans, and test files and data.

**Disposition:** Temporary. Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.

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#### **B-02-003-10 Computer Security Incident Handling, Reporting and Follow-up Records**

**Description:** A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as: reporting forms, reporting tools, narrative reports, and background documentation.

Note: Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.

**Disposition:** Temporary. Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0006-0002 (G)      **Date Edited:** 8/28/2017

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#### **B-02-003-11 System Access Records**

**Description:** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: user profiles, log-in files, password files, audit trail files and extracts, system usage files, and cost-back files used to assess charges for system use.

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

a. Systems not requiring special accountability for access.

These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.

**Disposition:** Temporary. Destroy when business use ceases.

**DispAuthNo:** DAA-GRS-2013-0006-0003 (G)      **Date Edited:** 8/28/2017

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#### **B-02-003-12 System Access Records**

**Description:** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: user profiles, log-in files, password files, audit trail files and extracts, system usage files, and cost-back files used to assess charges for system use.

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

b. Systems requiring special accountability for access.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

**Disposition:** Temporary. Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0006-0004 (G      **Date Edited:** 8/28/2017

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#### **B-02-003-13 System Backups and Tape Library Records**

**Description:** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

a. Incremental backup files.

**Disposition:** Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

**DispAuthNo:** DAA-GRS-2013-0006-0005 (G      **Date Edited:** 8/30/2017

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#### **B-02-003-14 System Backups and Tape Library Records**

**Description:** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

b. Full backup files.

**Disposition:** Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

**DispAuthNo:** DAA-GRS-2013-0006-0006 (G      **Date Edited:** 8/28/2017

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**B-02-003-15 Backups of Master Files and Databases**

**Description:** Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

A. File identical to permanent records scheduled for transfer to the National Archives.

**Disposition:** Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2013-0006-0007 (G      **Date Edited:** 8/28/2017

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**B-02-003-16 Backups of Master Files and Databases**

**Description:** Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

b. File identical to temporary records authorized for destruction by a NARA-approved records schedule.

**Disposition:** Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use

**DispAuthNo:** DAA-GRS-2013-0006-0008 (G      **Date Edited:** 8/28/2017

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**B-02-003-17**      **PKI Administrative Records**

**Description:**      FBCA CAs

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

**Disposition:**      Temporary. Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.

**DispAuthNo:**      N1-GRS-07-3, item 13a1 (GR)      **Date Edited:**      8/30/2017

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**B-02-003-18**      **PKI Administrative Records**

**Description:**      Other (non-FBCA et al.) Cas.

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

B.Other (non-FBCA et al.) Cas.

**Disposition:**      Temporary. Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.

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**DispAuthNo:** N1-GRS-07-3, item 13a2 (GR                      **Date Edited:** 8/30/2017

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**B-02-003-19                      PKI Transaction-specific Records**

**Description:** Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

Note: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

**Disposition:** Temporary. Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period.

**DispAuthNo:** N1-GRS-07-3, item 13b (GRS                      **Date Edited:** 8/30/2017

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#### Information Management

**B-02-004-01**      **Tracking and Control Records**

**Description:**      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:

- indexes
- lists
- registers
- inventories
- logs

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.

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.

**Disposition:**      Temporary. Destroy when no longer needed. (Supersedes GRS 20, item 9; GRS 23, item 8; GRS 23, item 9 and GRS 24, item 4b)

**DispAuthNo:**      DAA-GRS-2013-0002-0016 (G)      **Date Edited:**      8/28/2017

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#### **B-02-004-02**      **Records Management Program Records**

**Description:** 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:

- providing oversight of entire records management program
- transferring, destroying, and retrieving records
- inventorying records and conducting records surveys
- scheduling records
- providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions)
- conducting records "clean out" days
- conducting special projects

Records include:

- 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

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.

**Disposition:** 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.(Supersedes GRS 16, item 2b and GRS 16, item 7)

**DispAuthNo:** DAA-GRS-2013-0002-0007 (G      **Date Edited:** 8/28/2017

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#### **B-02-004-03      Forms Management Records**

**Description:** 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:

- registers or databases used to record and control the numbers and other identifying data assigned to each form
- official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form
- background materials and specifications

**Disposition:** Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use. (GRS 16, item 3a; GRS 16, item 3b)

**DispAuthNo:** DAA-GRS-2013-0002-0009 (G)      **Date Edited:** 8/28/2017

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#### **B-02-004-04      FOIA, Privacy Act, and Classified Documents Administrative Records**

**Description:** FOIA, Privacy Act, and classified documents administrative records. Records on managing information access and protection activities. Records include:

- correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification, control, and accounting for classified documents
- associated subject files
- feeder and statistical reports

Documents pertaining to general security and safety within an office, such as copies of security survey and inspection reports, including those maintained by the Bureau of Diplomatic Security. Includes OF-117, Notice of Security Violations, copies of security violation reports, OF-118, Records of Violation and related documents.

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.

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. (Supersedes GRS 18, item 1)

**DispAuthNo:** DAA-GRS-2016-0013-0003 (G)      **Date Edited:** 8/28/2017

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#### B-02-004-05 General Information Request Files

**Description:** Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

**Disposition:** Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.. (Supersedes GRS 14, item 1 and GRS 23, item 7)

**DispAuthNo:** DAA-GRS-2013-0007-0001 (G      **Date Edited:** 8/28/2017)

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#### B-02-004-06 Access and Disclosure Request Files

**Description:** 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:

- granting the request in full
- granting the request in part
- denying the request for any reason including:
  - o inability to fulfill request because records do not exist
  - o inability to fulfill request because request inadequately describes records
  - o inability to fulfill request because search or reproduction fees are not paid
- final adjudication on appeal to any of the above original settlements
- final agency action in response to court remand on appeal Includes:
  - o requests (either first-party or third-party)
  - o replies
  - o copies of requested records
  - o administrative appeals
  - o related supporting documents (such as sanitizing instructions)

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.

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.

**Disposition:** 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. (Supersedes GRS 14, item 11a(1))

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#### **B-02-004-07 Information Access and Protection Operational Records**

**Description:** Information access and protection tracking and control records. Includes:

- records documenting receipt, internal routing, dispatch, and destruction of unclassified records
- tracking databases and other records used to manage overall program
- requests and authorizations for individuals to have access to classified files

**Disposition:** Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (Supersedes GRS 14, item 34; GRS 14, item 35; GRS 18, item 2; GRS 18, item 3; GRS 18, item 4; and GRS 18 item 6)

**DispAuthNo:** DAA-GRS-2016-0002-0002 (G      **Date Edited:** 8/28/2017

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#### **B-02-004-08 Access Control Records**

**Description:** Includes:

- safe and padlock combinations
- names or other personal identifiers of individuals who know combinations
- comparable data used to control access into classified document containers

Includes such forms as:

OF-62, Safe or Cabinet Security Record  
OF-63, Security Container Information  
OF-111, Combination Safe Card

**Disposition:** Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 7a)

**DispAuthNo:** DAA-GRS-2013-0007-0020 (G      **Date Edited:** 8/29/2017

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#### **B-02-004-09 Records Relating to Classified or Controlled Unclassified Document Containers**

**Description:** Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security. Includes:

SF-701, Activity Security Checklist  
SF-702, Security Container Check Sheet.

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.

**Disposition:** Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 7b)

**DispAuthNo:** DAA-GRS-2016-0002-0003 (G      **Date Edited:** 8/29/2017

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<b>B-02-004-10</b>	<b>Accounting for and Control of Access to Classified and Controlled Unclassified Records and Records Requested Under FOIA, PA, and MDR</b>
<b>Description:</b>	<p>Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:</p> <ul style="list-style-type: none"><li>• forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request</li><li>• inventories of controlled records</li><li>• forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data</li><li>• agent and researcher files</li></ul> <p>Includes OF-115, Top Secret Cover Sheet and OF-112, Classified Material Receipt</p>
<b>Disposition:</b>	<p>Temporary. Destroy or delete 5 years after date of last entry, final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status) or final adjudication by courts, as may apply, whichever is later; but longer retention is authorized if required for business use. (Supersedes GRS 14, item 13a; GRS 14, item 13b; GRS 14, item 24a; GRS 14, item 24b; GRS 14, item 33a; GRS 14, item 33b; GRS 18, item 13b; GRS 18, item 24b; GRS 18, item 5a; and GRS 18, item 5b)</p>
<b>DispAuthNo:</b>	DAA-GRS-2016-0002-0004 (G <b>Date Edited:</b> 8/30/2017
<b>B-02-004-11</b>	<b>Privacy Act Accounting of Disclosure Files</b>
<b>Description:</b>	<p>Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:</p> <ul style="list-style-type: none"><li>• forms with the subject individual's name</li><li>• records of the requester's name and address</li><li>• explanations of the purpose for the request</li><li>• date of disclosure</li><li>• proof of subject individual's consent</li></ul>
<b>Disposition:</b>	<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. (Supersedes GRS 14, item 23)</p>
<b>DispAuthNo:</b>	NC1-64-771 item 27 (GRS 4.2 <b>Date Edited:</b> 8/29/2017

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**B-02-004-12**      **Erroneous Release Records**

**Description:** Records filed with the record-keeping copy of the erroneously released records.

Files relating to the inadvertent release of privileged information to unauthorized parties, the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:

- requests for information
- copies of replies
- all related supporting documents

**Disposition:** Temporary. Follow the disposition instructions approved for the erroneously released records or destroy 6 years after the erroneous release, whichever is later. (Supersedes GRS 14, item 36a)

**DispAuthNo:** DAA-GRS-2015-0002-0001 (G      **Date Edited:** 8/29/2017

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**B-02-004-13**      **Erroneous Release Records**

**Description:** Records filed separately from the record-keeping copy of the released records.

Files relating to the inadvertent release of privileged information to unauthorized parties, the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:

- requests for information
- copies of replies
- all related supporting documents

**Disposition:** Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use. (Supersedes GRS 14, item 36b)

**DispAuthNo:** DAA-GRS-2015-0002-0002 (G      **Date Edited:** 8/29/2017

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**B-02-004-14**      **Agency Reports to the Congress, Department of Justice, or other Entities Regarding FOIA, MDR, PA, and Similar Access and Disclosure Programs**

**Description:** Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.

**Disposition:** Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use. (Supersedes GRS 14, item 14 and GRS 14, item 25)

**DispAuthNo:** DAA-GRS-2013-0007-0006 (G      **Date Edited:** 8/29/2017

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#### **B-02-004-15      Legal and Regulatory Compliance Reporting Records**

**Description:** Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

Legal citation: OMB M-07-16.

**Disposition:** Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use. (Supersedes GRS 27, item 4)

**DispAuthNo:** DAA-GRS-2013-0007-0022 (G      **Date Edited:** 8/29/2017

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#### **B-02-004-16      Privacy Act Amendment Request Files**

**Description:** 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:

- 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

**Disposition:** 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. (Supersedes GRS 14, item 22a; GRS 14, item 22b; and GRS 14, item 22c)

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**B-02-004-17**      **Classified Information Nondisclosure Agreements**

**Description:**      Records maintained separately from the individual's official personnel folder.

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.

Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).

**Disposition:**      Temporary. Destroy when 50 years old. (Supersedes GRS 18, item 25a)

**DispAuthNo:**      DAA-GRS-2015-0002-0003 (G      **Date Edited:**      8/29/2017

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#### General Operations Support

**B-02-005-01**      **Administrative Records Maintained in Any Agency Office**

- Description:**      Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:
- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
  - office-level administrative policies and procedures and files related to their development (see Note 1)
  - calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level)
  - informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
  - internal office activity and workload reports
  - studies and analyses of office administrative functions and activities
  - non-mission related management reviews and surveys
  - minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

**Disposition:**      Temporary. Destroy when business use ceases. (Supersedes GRS 23, item 1; GRS 23, item 5a; GRS 23, 5b)

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#### **B-02-005-02      Non-recordkeeping Copies of Electronic Records**

**Description:** Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records.

Note 2: For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.

**Disposition:** Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use. (Supersedes GRS 4.3, item 040)

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#### **B-02-005-03      Records of Non-mission Related Internal Agency Committees**

**Description:** Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include:

- meeting minutes, summaries, agendas, and transcripts
- reports and studies
- membership records
- correspondence, mailing, and distribution records

Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records. Note: Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.

**Disposition:** Temporary. Destroy when business use ceases. (Supersedes GRS 26, item 1a)

**DispAuthNo:** DAA-GRS-2016-0016-0003 (G      **Date Edited:** 8/29/2017

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#### **B-02-005-04      Transitory Records**

**Description:** Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:

- messages coordinating schedules, appointments, and events
- transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments
- received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees
- messages received from agency distribution lists or listservs
- "to-do" or task lists and assignments

**Disposition:** Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule. (Supersedes GRS 23, item 6a; GRS 23, item 6b(1); GRS 23, item 6b(2); and GRS 23, item 7)

**DispAuthNo:** DAA-GRS-2017-0003-0001 (G      **Date Edited:** 3/11/2019

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#### B-02-005-05 Intermediary Records

**Description:** Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:

- non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.
- audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
- dictation recordings
- input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:
  - o hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)
  - o electronic input source records such as transaction files or intermediate input/output files
- ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report
- data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2)

Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.

Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):

- files created only for public access purposes
- summarized information from unscheduled electronic records or inaccessible permanent records
- data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original
- data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)

Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1)

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prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.

Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)

**Disposition:** Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.  
(Supersedes GRS 4.3, item 010; GRS 4.3, item 011; GRS 4.3, item 012; GRS 4.3, item 020; GRS 4.3, item 030, and GRS 4.3, item 031)

**DispAuthNo:** DAA-GRS-2017-0003-0002 (G)      **Date Edited:** 8/29/2017

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## U.S. Department of State Records Schedule

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### Chapter 02: Records Common To All Sections At Post

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#### **B-02-005-06 Continuity Planning and Related Emergency Planning Files**

**Description:** Records may include:

- records on continuity and emergency planning administrative and operational activities:
  - o briefing materials and presentations
  - o status reports
  - o informational papers
  - o files documenting policy or plan development, including policy studies
  - o procedures, operational manuals, and related development records
  - o implementation guidance
  - o related correspondence
  - o Memorandum (s) of Understanding
  - o Delegations of Authority/Orders of Succession
- continuity plans or directives and supporting documentation, including but not limited to:
  - o Continuity of Operations (COOP) plans
  - o Devolution Plans
  - o Occupant Emergency Plans (OEP)
  - o Emergency Action Plans (EAP)
  - o Facility Emergency Action Plans (FEAPS)
  - o Records Emergency Plans (REMT)
  - o Disaster Recovery Plans (DRP)
  - o Pandemic Influenza Plans
- records on continuity or emergency tests or exercises, such as:
  - o instructions to members participating in tests
  - o staffing assignments
  - o records of tests of communications and facilities
- evaluative reports on continuity or emergency tests or exercises, such as:
  - o result reports
  - o readiness reports
  - o risk and vulnerability assessments
  - o site evaluations and inspections
  - o corrective action plans
  - o after action reports/improvement plans

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.

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.

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.

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### Chapter 02: Records Common To All Sections At Post

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Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.

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.

**Disposition:** 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. (Supersedes GRS 18, item 26; GRS 18, item 27; and GRS 18, item 28)

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#### **B-02-005-07      Employee Emergency Contact Information**

**Description:** 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.

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).

**Disposition:** Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.

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## U.S. Department of State Records Schedule

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**B-02-005-08 Facility, Space, Vehicle, Equipment, Stock, and Supply Administrative and Operational Records**

**Description:** Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:

- 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

Exclusion 1: Records of aircraft operations (item 110 in this schedule covers these).

Exclusion 2: Records of supply and property procurement (GRS 1.1, item 010 covers these).

Exclusion 3: Requisition and supply records of the General Services Administration's GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies' mission so they must schedule the records separately).

**Disposition:** Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 3, item 4a; GRS 3, item 4b; GRS 10, item 1; GRS 10, item 4; GRS 11, item 1; GRS 15, item 1)

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**B-02-005-09      Excess Personal Property, Equipment, and Vehicle Records**

**Description:** Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:

- excess property inventories and lists
- lists and other records identifying approved receivers of excess property
- donation receipts
- destruction certificates
- documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle
- related correspondence

Exclusion: Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 10, item 6)

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**B-02-005-10**      **Facility Design, Engineering, and Construction Records**

**Description:**      Draft, preliminary, intermediate, working, and contract negotiation drawings.

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. Includes:

- 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

Exclusion 1: Records documenting financial management of construction contracts (GRS 1.1, item 010 covers these).

Exclusion 2: Records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value).

**Disposition:**      Temporary. Destroy when superseded, or when project terminates, as appropriate. (Supersedes GRS 17, item 5)

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## U.S. Department of State Records Schedule

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**B-02-005-11 Facility, Space, and Equipment Inspection, Maintenance, and Service Records**

**Description:** Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:

- 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

Note 1: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance.

Note 2: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records

**Disposition:** Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use. (Supersedes GRS 11, item 5)

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**B-02-005-12 Land Vehicle and Water Vessel Inspection, Maintenance, and Service Records**

**Description:** Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes:

- work orders, service and repair requisitions, and logs
- descriptions of provided service and repair, and related papers

Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).

**Disposition:** 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. (Supersedes GRS 10, item 2a; GRS 10, item 3b; and GRS 10, item 3)

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#### **B-02-005-13      Vehicle and Heavy Equipment Operator Records**

**Description:** Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.

Exclusion: Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).

**Disposition:** Temporary. Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner. (Supersedes GRS 10, Item 7)

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#### **B-02-005-14      Vehicle and Vessel Accident and Incident Records**

**Description:** Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including:

- Standard Form 91, Motor Vehicle Accident Report
- Standard Form 94, Statement of Witness
- Standard Form 95, Claim for Damage, Injury, or Death
- copies of investigative reports (see Exclusion for original investigative reports)

Exclusion: Original formal accident and incident investigation records (covered under GRS 5.6).

**Disposition:** Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use. (Supersedes GRS 10, item 5)

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<b>B-02-005-15</b>	<b>Mail, Printing, and Telecommunication Services Administrative and Operational Records</b>
<b>Description:</b>	Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes: <ul style="list-style-type: none"><li>• agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use</li><li>• records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment</li><li>• telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data</li><li>• records documenting allocation, distribution, and use of telephone calling cards • statistical reports on mail and package shipment volume and costs</li><li>• related correspondence Exclusion: Agreements used to support payment vouchers (GRS 1.1, item 010 covers these)</li></ul>
<b>Disposition:</b>	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. (Supersedes GRS 12, item 2a; GRS 12, item 2b; GRS 12, item 2d(2); GRS 12, item 2e; and GRS 13, item 2b)
<b>DispAuthNo:</b>	DAA-GRS-2016-0012-0001 (G <b>Date Edited:</b> 3/23/2018

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**B-02-005-16**      **Mail, Printing, and Telecommunication Services Control Records**

**Description:**      Records of general day-to-day communication service administration and specific transmission tracking. Includes:

- 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

Exclusion 1: United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately.

Exclusion 2: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these)

Exclusion 3: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)

Included are Forms DS-454, Receipt for Registered Mail, and DS-712, Registered Mail Invoice.

**Disposition:**      Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (Supersedes GRS 12, item 1; GRS 12, item 2c; GRS 12, item 3a; GRS 12, item 5a; GRS 12, item 6a; and GRS 12, item 6f)

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#### **B-02-005-17 Security Administrative Records**

**Description:** Records about routine facility security, protective services, and personnel security program administration. Includes:

- status reports on cleared individuals and other reports
- staffing level and work planning assessments, such as guard assignment records
- standard operating procedures manuals

**Disposition:** Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 8)

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#### **B-02-005-18 Property Pass Records**

**Description:** 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.

**Disposition:** Temporary. Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 12)

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#### **B-02-005-19 Unclaimed Personal Property Records**

**Description:** Records for property valued at \$500 or less.

Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:

- lost-and-found logs and release forms
- loss statements
- receipts
- reports

Legal citation: 41 CFR 102-41.130

**Disposition:** Temporary. Destroy 30 days after the property is found, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 15b)

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#### **B-02-005-20 Facility Security Assessment Records**

**Description:** All other facility security areas.

Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes:

- facility notes
- inspector notes and reports
- vulnerability assessments

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

**Disposition:** 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. (Supersedes GRS 18, item 10)

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#### **B-02-005-21 Accident and Incident Records**

**Description:** 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:

- statements of witnesses
- warning notices
- records about arrests, commitments, and traffic violations
- accident and incident reports
- law enforcement agency requests for information

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.

Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.

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.

**Disposition:** 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. (Supersedes GRS 18, item 11)

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**B-02-005-22**      **Visitor Processing Records**

**Description:**      Areas requiring highest level security awareness.

Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.

Includes areas designated by the Interagency Security Committee as Facility Security Level V.

Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.

**Disposition:**      Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 17a)

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**B-02-005-23**      **Personnel Security and Access Clearance Records**

**Description:**      Records of people not issued clearances. Includes case files of applicants not hired.

Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:

- questionnaires
- summaries of reports prepared by the investigating agency
- documentation of agency adjudication process and final determination

Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.

Exclusion: Copies of investigative reports covered in items 170 and 171.

**Disposition:**      Temporary. Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.

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**B-02-005-24 Personnel Security and Access Clearance Records**

**Description:** Records of people issued clearances.

Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:

- questionnaires
- summaries of reports prepared by the investigating agency
- documentation of agency adjudication process and final determination

Note: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.

Exclusion: Copies of investigative reports covered in items 170 and 171.

**Disposition:** Temporary. Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 22a)

**DispAuthNo:** DAA-GRS-2017-0006-0025 (G      **Date Edited:** 3/23/2018)

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**B-02-005-25 Index to the Personnel Security Case Files**

**Description:** Lists or reports showing the current security clearance status of individuals.

**Disposition:** Temporary. Destroy when superseded or obsolete. (Supersedes GRS 18, item 23)

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**B-02-005-26**      **Internal Administrative Accountability and Operational Management Control Records**

**Description:** 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:

- 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

Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).

Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).

Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).

**Disposition:** Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 16, item 14d)

**DispAuthNo:** DAA-GRS-2017-0008-0001 (G)      **Date Edited:** 3/23/2018

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**B-02-005-27**      **Internal Control Review, Response, and Mitigation Management Records**

**Description:** 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.

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).

**Disposition:** Temporary. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use. (Supersedes GRS 16, item 14f1)

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**B-02-005-28      Administrative Directives and Notices**

**Description:** Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.

Exclusion: Documents related to mission activities (agencies schedule these separately).

**Disposition:** Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later. (Supersedes GRS 16, item 1a and GRS 16, item 1b)

**DispAuthNo:** DAA-GRS-2017-0008-0003 (G      **Date Edited:** 3/23/2018

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**B-02-005-29      Records about Authorizing and Managing Report Requirements and Parameters**

**Description:** 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.

**Disposition:** Temporary. Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use. (Supersedes GRS 16, item 6)

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**B-02-005-30**      **Mandatory Reports to External Federal Entities Regarding Administrative Matters**

**Description:** 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:

- Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent
- Annual Performance Plan, Annual Performance Report, or equivalent
- Statement of Assurance (per FMFIA), or equivalent
- Information Collection Budget
- report on financial management systems' compliance with requirements (per FMFIA), or equivalent
- report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- service organization auditor report, or equivalent
- annual strategic review
- identified material weaknesses and corrective actions report
- improper payments report
- premium class travel report
- report on property provided to nonfederal recipients, schools, and nonprofit educational institutions
- feeder reports to the Status of Telework in the Federal Government Report to Congress
- feeder reports to GSA fleet reports
- E-Government status and compliance report (per PRA)

Includes ancillary records such as:

- background and research records
- submission packets and compilations
- related files

Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.

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).

**Disposition:** 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. (Supersedes GRS 3, item 18a; GRS 3, item 18b; GRS 13, item 5a; GRS 13, item 5b; GRS 16, item 12)

**DispAuthNo:** DAA-GRS-2017-0008-0005 (G

**Date Edited:** 3/23/2018

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**B-02-005-31**      **Records of Allegations and Claims that Fall Under U.S. Office of Special Counsel Jurisdiction**

**Description:** 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.

Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).

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).

**Disposition:** Temporary. Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.

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**B-02-005-32**      **Federal Register Notices Other Than Proposed and Final Rules**

**Description:** 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.

Note 1: SORNs per se are covered by GRS 4.2, item 150.

Note 2: PRA Information Collection reports are covered by GRS 5.7, item 050.

Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.

**Disposition:** Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use. (Supersedes GRS 16, item 13a and GRS 6.6, Item 040)

**DispAuthNo:** DAA-GRS-2017-0012-0004 (G      **Date Edited:** 6/12/2020

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**B-02-005-33 Agency Input into the Unified Agenda**

**Description:** Records that process agency input into the publication of:

- 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

Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.

**Disposition:** Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 16, item 13b and GRS 6.6, Item 050)

**DispAuthNo:** DAA-GRS-2017-0012-0005 (G      **Date Edited:** 6/12/2020)

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**B-02-005-34 Technical and administrative help desk operation records**

**Description:**

- records of incoming requests (and responses) made by phone, email, web portal, etc.
- trouble tickets and tracking logs
- quick guides and “Frequently Asked Questions” (FAQs)
- evaluations and feedback about help desk services
- analysis and reports generated from customer management data
- customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

Exclusion: Public customer service records scheduled under GRS 6.5.

**Disposition:** Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. (Supersedes GRS 24, item 10a and GRS 24, item 10b)

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**B-02-005-35      Personal Identification Credentials and Cards**

**Description:** Records about credential badges (such as smart cards) that are (1) based on the HSPD12 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. Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.

Application and Activation Records.

Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:

- 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

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.

**Disposition:** 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.

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#### Mission Support

**B-02-006-01      Email of Capstone Officials**

**Description:** Capstone Officials are Department of State senior officials designated by account level or by email addresses, based on the official's position-level within the Department. These positions are included by category on an approved NARA form 1005 (NA-1005), Verification for Implementing GRS 6.1. The following are Capstone designated Senior Official positions for the Department:

Category 1. Secretary of State

Category 2. Deputy Secretary(s) of State, Under Secretaries, Assistant Secretaries, Special Envoys/Special Representatives, Ambassadors at Large, Chiefs of Mission, U.S. Representatives, Delegates, and positions designated as Assistant Secretary-level equivalents.

Category 3. Deputies of positions in Category 2, Principal Officers, Deputy Chief of Missions and Deputy Principal Officers who are Deputy Chief of Mission-equivalents, Deputy U.S. Representatives, and positions designated as Deputy Assistant Secretary-level equivalents.

Category 4. Special and Staff assistants - Office of the Secretary.

Category 5. N/A

Category 6. Directors of significant program offices.

Category 7. N/A

Category 8. Senior Advisors for the Secretary, Deputy Secretary(s), Under Secretaries, Assistant Secretaries, & Special Advisors

Category 9. U.S. Advisory Commission on Public Diplomacy Positions.

Category 10. N/A

**Disposition:** Permanent. Cut off in accordance with agency's business needs. Transfer to NARA 25 years after cutoff, or after declassification review (when applicable), whichever is later.

**DispAuthNo:** DAA-GRS-2014-0001-0001 (G)      **Date Edited:** 8/28/2017

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**B-02-006-02      Email of Non-Capstone officials**

**Description:** Email of all other officials, staff, and contractors not included in item 010.

Note: This item applies to the majority of email/accounts/users within the Department.

**Disposition:** Temporary. Delete when 7 years old, but longer retention is authorized if required for business use.

**DispAuthNo:** DAA-GRS-2014-0001-0002 (G)      **Date Edited:** 8/28/2017

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#### **B-02-006-03 Substantive Committee Records (Non-Grant Review Committees)**

**Description:** Records created or received by Federal advisory committees pursuant to the Federal Advisory Committee Act of 1972.

Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created by all offices. Records may include, but are not limited to:

- records related to the establishment of the committee:
  - o charters (original, renewal, re-establishment, and amended)
  - o enacting legislation
  - o explanation of committee need, when required
  - o filing letters to Congress
  - o organization charts
  - o committee specific bylaws, standard operating procedures, or guidelines
  - o any other materials that document the organization and functions of the committee and its components
- records related to committee membership:
  - o memos or similar documentation of how and/or why individual members were selected
  - o membership balance plans
  - o membership rosters
  - o appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.
  - o Resignation or termination letters
- records of committee meetings and hearings:
  - o agency head's determination that a meeting or portion of a meeting may be closed to the public
  - o agendas
  - o materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations
  - o meeting minutes
  - o public comments
  - o testimony received during hearings
  - o transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020)
- records related to committee findings and recommendations:
  - o one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee
  - o responses from agency to committee regarding recommendations
  - o committee presentations or briefings of findings
- records created by committee members:
  - o correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)
- records related to research collected or created by the committee:

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- o records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)
- o raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies
- documentation of advisory committee subcommittees (i.e., working groups, or other subgroups):
  - o records relating to the formation of the subcommittee or working group, if they exist
    - decision documents
    - membership
    - statement of purpose or other documentation of duties and responsibilities
  - o records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to:
    - meeting minutes
    - transcripts
    - reports
    - briefing materials
    - substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer)
    - background materials
- records related to committee termination (i.e., email, letter, memo, etc.).
- other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records.

Note: Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).

Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.

**Disposition:** Permanent. Transfer when records are 15 years old or upon termination of committee, whichever is sooner. (Supersedes GRS 26, item 2a and GRS 26, item 2c1)

**DispAuthNo:** DAA-GRS-2015-0001-0001 (G)      **Date Edited:** 10/4/2017

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**B-02-006-04      Substantive Audiovisual Records (Non-Grant Review Committees)**

**Description:**      Records include:

- audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed
- captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings
- posters (2 copies) produced by or for the committee

Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.

**Disposition:**      Permanent. Transfer when records are 3 years old or upon termination of committee, whichever is sooner. (Supersedes GRS 26, item 2a)

**DispAuthNo:**      DAA-GRS-2015-0001-0002 (G      **Date Edited:**      8/29/2017

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#### **B-02-006-05 Information Technology Program and Capital Investment Planning Records**

**Description:** Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:

- strategic and tactical plans
- records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications
- records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities
- reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting
- portfolio management records, including clearance and review
- Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions
- business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets

Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately).

Exclusion 2: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately).

Exclusion 3: System data or content (agencies must schedule these separately).

Exclusion 4: Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these).

Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).

**Disposition:** Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use. (Supersedes GRS 27, item 1; GRS 27, item 3; and GRS 27, item 5)

**DispAuthNo:** DAA-GRS-2017-0009-0001 (G **Date Edited:** 3/21/2018)

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#### **B-02-006-06 Enterprise Architecture Records**

**Description:** Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.

Exclusion: Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).

**Disposition:** Temporary. Destroy 7 years after creating a new iteration of the enterprise or information architecture, but longer retention is authorized if required for business use. (GRS 27, item 2)

**DispAuthNo:** DAA-GRS-2017-0009-0002 (G      **Date Edited:** 3/21/2018)

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#### **B-02-006-07 Public Affairs-Related Routine Operational Records**

**Description:** Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:

- 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)

**Disposition:** Temporary. Destroy when 3 years old, or no longer needed, whichever is later.

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**B-02-006-08      Public Correspondence and Communications not Requiring Formal Action**

**Description:** Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:

- comments the agency receives but does not act upon or that do not require a response, such as:
  - o write-in campaigns
  - o personal opinions on current events or personal experiences
  - o routine complaints or commendations
  - o anonymous communications
  - o suggestion box comments
  - o public correspondence addressed to another entity and copied to the agency or that the agency receives in error
  - o comments posted by the public on an agency website that do not require response or that the agency does not collect for further use
  
- communications from the public that the agency responds to but takes no formal action on
- agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting

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.

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.

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.

Exclusion 2: Public comments that the agency takes action on or uses to take action are not covered by this GRS.

**Disposition:** Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use. (Supersedes GRS 14, item 5)

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#### **B-02-006-09 Public Customer Service Operations Records**

**Description:** Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes:

- incoming requests and responses
- trouble tickets and tracking logs
- recordings of call center phone conversations with customers used for quality control and customer service training
- system data, including customer ticket numbers and visit tracking
- evaluations and feedback about customer services
- information about customer services, such as “Frequently Asked Questions” (FAQs) and user guides
- reports generated from customer management data
- complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.

Exclusion 1: Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency-specific schedule.

Exclusion 2: Reports that recommend changes or revisions to an agency’s customer service operation; agencies must schedule these records on an agency-specific schedule.

**Disposition:** Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. (Supersedes GRS 14, item 5)

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#### **B-02-006-10 Customer/Client Records**

**Description:** Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

**Disposition:** Temporary. Delete when superseded, obsolete, or when customer requests the agency remove the records. (Supersedes GRS 13, item 4a and GRS 13, item 4b)

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