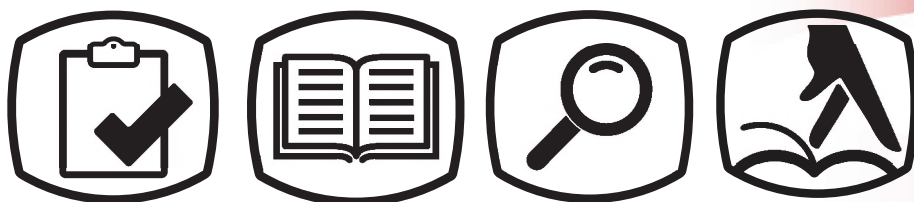




General Records Schedules



INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

This publication supersedes the General Records Schedules (GRS) formerly contained in the Internal Revenue Manual (IRM) 1.15.38 through 1.15.64.

The GRS is issued by the Archivist of the United States (National Archives and Records Administration, NARA) to provide disposition authorization for records common to several or all agencies of the Federal Government. They have been adopted and prescribed for use by the Internal Revenue Service.

The GRS contains records that are common to most offices, such as administrative-related records. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions, and certain non-textual records. They also include records relating to temporary commissions, boards, councils, and committees.

The GRS includes an index of commonly used Standard, Optional, and IRS Forms and also includes a subject index. The forms index includes only the forms most frequently used by the IRS and various Government agencies. The subject index serves as a cross-reference to the records series and disposition instructions contained throughout the GRS. It shows the record title, the GRS number, and the item number.

New to this version is the inclusion of 11 NARA-revised Schedules as the entire GRS goes through a lengthy rewrite process. As an aide, a cross-walk is included after the index to illustrate the changes to the Schedules. NARA updates are current in this version as of August 2016.

The GRS is not applicable to records created prior to January 1, 1921. Unless so designated, special disposal authorizations shall be obtained from NARA (via submission to the IRS Records and Information Management Program) before disposing of these earlier records.

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GENERAL RECORDS SCHEDULE 1: Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management (OPM), the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to The Guide to Personnel Recordkeeping, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

1. Official Personnel Folders (OPFs).
Records filed on the right side of the OPF. (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.

- a. Transferred employees.

See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.

- b. Separated employees.

Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. [See note (2) after this item]. NPRC will destroy 65 years after separation from Federal service. (N1-GRS-87-12 item 1b2)

[NOTES: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPFs to NPRC. These agencies retain OPFs for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

2. Service Record Cards. [See note after item 2b.]

Service Record Card (Standard Form (SF) 7 or equivalent).

- a. Cards for employees separated or transferred on or before December 31, 1947. Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action. (N1-GRS-78-2 item 1)
- b. Cards for employees separated or transferred on or after January 1, 1948. Destroy 3 years after separation or transfer of employee. (NC1-64-77-10 item 2b)

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete.]

3. Personnel Correspondence Files.

Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records

maintained at agency staff planning levels.
Destroy when 3 years old. (N1-GRS-81-10 item 1)

4. Offers of Employment Files.

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when appointment is effective. (NC1-64-77-10 item 4a)

b. Declined offers:

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application. (NC1-64-77-10 item 4b1)

(2) Temporary or excepted appointment.

File with application (see GRS 1, items 33k, 33l, 33m, or 33n, as appropriate). (NC1-64-77-10 item 4b2)

(3) (3) All others.

Destroy immediately. (NC1-64-77-10 item 4b3)

5. Certificate of Eligibles Files.

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old. (NC1-64-77-10 item 5)

6. Employee Record Cards. [See note after this item.]

Employee record cards used for informational purposes outside personnel offices (such as SF 7B).

Destroy on separation or transfer of employee. (NC1-64-77-10 item 6)

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]

7. Position Classification Files.

a. Position Classification Standards Files.

(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

Destroy when superseded or obsolete. (N1-GRS-81-11 item 1)

(2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.

(a) Case file.

Destroy 5 years after position is abolished or description is superseded. (NC1-64-77-10 item 7a2a)

(b) Review File.

Destroy when 2 years old. (NC1-64-77-10 item 7a2b)

b. Position Descriptions.

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Destroy 2 years after position is abolished or description is superseded. (N1-GRS-88-4 item 1)

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. (NC1-64-77-10 item 7c1a)

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded. (NC1-64-77-10 item 7c1b)

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

(2) Destroy 3 years after case is closed. (N1-GRS-90-1 item 7d1) (2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded. (N1-GRS-90-1 item 7d2)

8. Interview Records.

Correspondence, reports, and other records relating to interviews with prospective employees.

Destroy 6 months after transfer or separation of employee. (NC1-64-77-10 item 8)

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews

Destroy 1 year after case is closed. (NC1-64-77-10 item 9)

10. Temporary Individual Employee Records.

- a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records. (N1-GRS-97-4 item 10a)

- b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency. (N1-GRS-97-4 item 10b)

11. Position Identification Strips. [See note after this item.]

Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete. (NC1-64-77-10 item 11) [NOTE: Effective December 31, 1994, the SF 7D became obsolete.]

12. Employee Awards Files. [See note after item 12d.]

- a. General awards records, EXCLUDING those relating to department-level awards.

- (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency- sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Destroy 2 years after approval or disapproval. (NC1-64-77-10 item 12a1)

- (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy when 2 years old. (NC1-64-77-10 item 12a2)

- b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Destroy when 1 year old. (NC1-64-77-10 item 12b)

- c. Letters of commendation and appreciation.

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.

Destroy when 2 years old. (NC1-64-77-10 item 12c)

- d. Lists of or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations. Destroy when superseded or obsolete. (NC1-64-77-10 item 12d)

[NOTE: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

- 13. Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old. (NC1-64-77-10 item 13)

- 14. Notifications of Personnel Actions.

Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

- a. Chronological file copies, including fact sheets, maintained in personnel offices.

Destroy when 2 years old. (NC1-64-77-10 item 14a)

- b. All other copies maintained in personnel offices.

Destroy when 1 year old. (NC1-64-77-10 item 14b)

- 15. RESERVED

- 16. Personnel Operations Statistical Reports.

Statistical reports in the operating personnel office and subordinate units relating to personnel

Destroy when 2 years old. (NC1-64-77-10 item 16)

- 17. Correspondence and Forms Files.

Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.

- a. Correspondence and forms relating to pending personnel actions.

Destroy when action is completed. (NC1-64-77-10 item 17a)

- b. All other correspondence and forms.

Destroy when 6 months old. (NC1-64-77-10 item 17c)

18. Supervisors' Personnel Files and Duplicate OPF Documentation.

a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer. (NC1-64-77-10 item 18a)

b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old. (NC1-64-77-10 item 18b)

19. Individual Non-Occupational Health Record Files.

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 6 years after date of last entry. (NC1-64-77-10 item 19)

20. Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. If information is summarized on statistical report.

Destroy 3 months after last entry. (NC1-64-77-10 item 20a)

b. If information is not summarized.

Destroy 2 years after last entry. (NC1-64-77-10 item 20b)

21. Employee Medical Folder (EMF). [See note after item 21c.]

a. Long-term medical records as defined in 5 CFR Part 293, Subpart E.

(1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

(2) Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. (N1-GRS-86-4 item 21a2)

- b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM)

Destroy 1 year after separation or transfer of employee. (N1-GRS-86-4 item 21b)

- c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

Destroy 60 years after retirement to the NARA records storage facility. (N1-GRS-86-4 item 21c)

[NOTE: Electronic master files and databases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

22. Statistical Summaries. [See note after this item.]

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Destroy 2 years after date of summary or report. (NC1-64-77-10 item 22)

[NOTE: Electronic master files and databases created to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

23. Employee Performance File System Records. [See note after item 23b(4).]

- a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

- (1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.

Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice. (N1-GRS-93-3 item 23a1)

- (2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded. (N1-GRS-93-3 item 23a2)

- (3) Performance-related records pertaining to a former employee.

- (a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule).

An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule. (N1-GRS-95-3 item 23a3a)

- (b) All other performance plans and ratings.

Destroy when 4 years old. (N1-GRS-98-2 item 2)

- (4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Destroy 4 years after date of appraisal. (N1-GRS-95-3 item 23a4)

- (5) Supporting documents.

Destroy 4 years after date of appraisal. (N1-GRS-98-2 item 3)

- b. SES appointees (as defined in 5 U.S.C. 3132a(2)).

- (1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded. (N1-GRS-82-2, item 23b1)

- (2) Performance-related records pertaining to a former SES appointee.

- (a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule. (N1-GRS-88-3 item 23b2a)

- (b) All other performance ratings and plans.

Destroy when 5 years old. (N1-GRS-98-2 item 4)

- (3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal. (N1-GRS-82-2 item 23b3)

- (4) Supporting documents.

Destroy 5 years after date of appraisal. (N1-GRS-98-2 item 5)

[NOTE: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

24. Reasonable Accommodation Request Records

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. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

- Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;
- Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and
- Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

a. General Files

Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.

Destroy three years after supercession or when no longer needed for reference whichever is later. (N1-GRS-04-2 item 1a)

b. Employee Case Files

Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes.

Destroy three years after employee separation from the agency or all appeals are concluded whichever is later. (N1-GRS-04-2 item 1b)

[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]

c. Supplemental Files

Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, notes.

Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later. (N1-GRS-04-2 item 1c)

[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file. (N1-GRS-04-2 item 1c Note)]

d. Tracking System

Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.

Delete/destroy three years after compliance report is filed or when no longer needed for reference. (N1-GRS-04-2 item 1d)

25. Equal Employment Opportunity (EEO) Records.

a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

Destroy 4 years after resolution of case. (N1-GRS-80-9 item 1)

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.

Destroy 1 year after resolution of case. (NC1-64-77-10 item 26b)

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files

Destroy 2 years after final resolution of case. (N1-GRS-92-3 item 25c1)

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Destroy when 2 years old. (N1-GRS-92-3 item 25c2)

d. Compliance Records.

(1) Compliance Review Files.

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

Destroy when 7 years old. (NC1-64-77-10 item 26d1)

(2) EEO Compliance Reports.

Destroy when 3 years old. (NC1-64-77-10 item 26d2)

e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase

Destroy when 1 year old. (NC1-64-77-10 item 26e)

f. Employment Statistics Files. [See note after this item.]

Employment statistics relating to race and sex.

Destroy when 5 years old. (NC1-64-77-10 item 26f)

[NOTE: Electronic master files and databases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

g. EEO General Files.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. (NC1-64-77-10 item 26g)

h. EEO Affirmative Action Plans (AAP).

(1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan. (NC-64-76-4 item 27a)

(2) Agency feeder plan to consolidated AAP(s).

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. (NC-64-76-4 item 27b)

- (3) Report of on-site reviews of Affirmative Action Programs.
Destroy 5 years from date of report. (N1-GRS-83-2 item 1)
- (4) Agency copy of annual report of Affirmative Action accomplishments.
Destroy 5 years from date of report. (N1-GRS-83-4 item 26h4)

26. Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling. (NC1-64-77-10 item 27a)

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old. (NC1-64-77-10 item 27b)

27. Alternative Dispute Resolution (ADR) Files.

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, 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.

[NOTE: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]

- a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Destroy when 3 years old. Longer retention is authorized if records are needed for agency business. (N1-GRS-03-2 item a)

- b. Case Files: Records documenting ADR proceedings. These files may include an agreement 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, and related correspondence.

Destroy 3 years after settlement is implemented or case is discontinued. (N1-GRS-03-2 item b)

28. Labor Management Relations Records.

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Destroy 5 years after expiration of agreement. (NC1-64-77-10 item 29a1)

(2) Other offices.

Destroy when superseded or obsolete. (NC1-64-77-10 item 29a2)

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases,

Destroy 5 years after final resolution of case. (NC1-64-77-10 item 29b)

29. Training Records.

EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. [See note after item 29b.]

a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Destroy when 5 years old or 5 years after completion of a specific training program. (NC1-64-77-10 item 30b1)

(2) Background and working files.

Destroy when 3 years old. (NC1-64-77-10 item 30b2)

b. Employee training.

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Destroy when 5 years old or when superseded or obsolete, whichever is sooner. (NC1-64-77-10 item 30c)

[NOTE: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

30. Administrative Grievance, Disciplinary, and Adverse Action Files. [See note after item 30b.]

a. Administrative Grievance Files (5 CFR 771).

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy no sooner than 4 years but no later than 7 years after case is closed. (N1- GRS-92-1 item 30a)

b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432).

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Destroy no sooner than 4 years but no later than 7 years after case is closed. (N1- GRS-92-1 item 30b)

[NOTE: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the agency's records disposition manual, and any other issuance dealing with the disposition of these records. (N1-GRS-92-1 item 30 Note)]

31. Personnel Injury Files.

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. (N1-GRS-86-4 item 32)

32. Merit Promotion Case Files.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. (N1-GRS-79-2 item 1)

33. Examining and Certification Records.

a. Delegated agreements.

Delegated agreements and related records created under the authority of 5 U.S.C.1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

Destroy 3 years after termination of agreement. (N1-GRS-86-1 item 34)

- b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34a)

- c. Correspondence or notices received from eligibles indicating a change in name, address, or availability.
Destroy 90 days after updating the appropriate record in the registry or inventory. (N1-GRS-02-1 item 33c)

- d. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock. (N1-GRS-85-2 item 34b)

Destroy when test is superseded or obsolete.

- e. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cutoff. (N1-GRS-85-2 item 34c)

- f. Examination Announcement Case Documentation Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off. (N1-GRS-02-1 item 33f)

- g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Destroy 2 years after the date on which the register of inventory is terminated. (N1-GRS-02-1 item 33g)

- h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34f)

i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old. (N1-GRS-85-2 item 34h)

j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cutoff. (N1-GRS-85-2 item 34i)

k. Cancelled and ineligible applications for positions filled from a register or inventory.

Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-02-1 item 33k)

l. Eligible applications for positions filled from a register or inventory, including OF612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory.

Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). (N1-GRS-02-1 item 33l1 [el-one])

(2) On inactive register or inventory.

Cut off annually. Destroy 1 year after cut off. (N1-GRS-02-1 item 33l2 [el- two])

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format. Cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33m)

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33n)

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cutoff. (N1-GRS-85-2 item 34k)

- p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33p)

- q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Cut off annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33q)

- r. Interagency Placement Program (IPP) application and registration sheet.

Destroy upon expiration of employee's DEP eligibility. (N1-GRS-85-2 item 34n)

- s. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off. (N1-GRS-85-2 item 34o)

- t. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report. (N1-GRS-85-2 item 34p)

34. Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Destroy when 5 years old. (N1-GRS-87-6 item 35)

35. Denied Health Benefits Requests Under Spouse Equity. [See note after item 35b(2).] Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

- a. Health benefits denied, not appealed.

Destroy 3 years after denial. (N1-GRS-88-2 item 1a)

- b. Health benefits denied, appealed to OPM for reconsideration.

- (1) Appeal successful - benefits granted.

Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook. (N1-GRS-88-2 item 1b1)

- (2) Appeal unsuccessful - benefits denied.

Destroy 3 years after denial. (N1-GRS-88-2 item 1b2)

[NOTE: Pursuant to Subchapter S17 of the FEHB Handbook enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

36. Federal Workplace Drug Testing Program Files. [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).] (N1-GRS-98-2 item 6)

- b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested. Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36b)

- c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36c)

- d. Records relating to the collection and handling of specimens.

- (1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36d1)

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36d2)

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

(c) Employees. (N1-GRS-98-1 item 36e2a)

Destroy when employee leaves the agency or when 3 years old, whichever is later.

(d) Applicants not accepted for employment.

Destroy when 3 years old. [See note (2) after item 36e(2).] (N1-GRS-98-1 item 36e2b)

(2) Negative results.

Destroy when 3 years old. (N1-GRS-98-1 item 36e1)

[NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s). (N1-GRS-98-1 Notes 1 and 2)]

37. Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed. (N1-GRS-92-5 item 1)

38. Wage Survey Files.

Wage survey reports and data, background documents and correspondence pertaining to 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).

Destroy after completion of second succeeding wage survey.

39. Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case. (N1-GRS-93-2 item 1)

40. Pay Comparability Records.

Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later. (N1-GRS-96-2)

41. Alternate Worksite Records.

- a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

Destroy 1 year after end of employee's participation in the program. (N1-GRS-97-1 item 1a)

- b. Unapproved requests.

Destroy 1 year after request is rejected. (N1-GRS-97-1 item 1b)

Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

Destroy when 1 year old, or when no longer needed, whichever is later. (N1-GRS-97-1 item 1c)

GENERAL RECORDS SCHEDULE 1.1: Financial Management and Reporting Records

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

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

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, which will likely reappear as new GRS 10.3.

This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7. This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

Item	Records Description		Disposition Instruction	Disposition Authority
010	<p>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</p> <p>Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.</p> <p>Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.</p>	Official record held in the office of record	Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0001
011	<p>Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:</p>	All other copies	Temporary. Destroy when business use ceases.	DAA-GRS-2013-0003-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • contracts • requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • data submitted to the Federal Procurement Data System (FPDS) • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations <p>Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:</p> <ul style="list-style-type: none"> • records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including: <ul style="list-style-type: none"> o cash register transaction records o credit card and charge cards receipts o records documenting deposits 			

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> o records documenting allocation of fees to funds/accounts o deposit lists and logs 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 <p>Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:</p> <ul style="list-style-type: none"> • accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes: <ul style="list-style-type: none"> 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 			

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • appropriation, apportionment, and allotment files • posting and control files • bills of lading • transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms <p>Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p>Note 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.</p> <p>Note 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.</p>			
020	<p>Records supporting compilation of agency financial statements and related audit, and all records of all other reports.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports 		Temporary. Destroy 2 years after completion of audit or closure of financial statement/ accounting treatment/issue, but longer retention is authorized if required for business use.	DAA-GRS-2013-0003-0011

Item	Records Description		Disposition Instruction	Disposition Authority
030	<p>Property, plant and equipment (PP&E) and other asset accounting.</p> <p>Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:</p> <ul style="list-style-type: none"> • purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers <p>Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.</p>		<p>Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-004</p>
040	<p>Cost accounting for stores, inventory, and materials.</p> <p>Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:</p> <ul style="list-style-type: none"> • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures • cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts • receiving, inspection, and acceptance documentation 		<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0012</p>

Item	Records Description		Disposition Instruction	Disposition Authority
050	<p>Construction contractors' payroll files.</p> <p>Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.</p>		<p>Temporary. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0003</p>

GENERAL RECORDS SCHEDULE 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p>Grant and cooperative agreement program management records.</p> <p>Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <ul style="list-style-type: none"> • background files <ul style="list-style-type: none"> o Program Announcements o Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices o Requests for Proposals • application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity) • application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity) <p>Note: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion 1: Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p>	<p>Temporary. Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.</p> <p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0008-0007</p> <hr/> <p>DAA-GRS-2013-0003-0002</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion 2: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>			
020	<p>Grant and cooperative agreement case files.</p> <p>Official record of applicant case files held in the office of record.</p> <p>Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • 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, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding) • amendment requests and actions, if any 	<p>Successful applications</p>	<p>Temporary. Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0001</p>
021	<ul style="list-style-type: none"> • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation • summary reports and the like <p>Note: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p> <p>Legal citation: 31 U.S.C. 3731(b), False Claims Act</p>	<p>Unsuccessful applications.</p>	<p>Temporary. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0006</p>
022		<p>All other copies. Copies used for administrative or reference purposes.</p>	<p>Temporary. Destroy when business use ceases,</p>	<p>DAA-GRS-2013-0008-0002</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
030	<p>Final grant and cooperative agreement products or deliverables.</p> <p>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:</p> <ul style="list-style-type: none"> • 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 <p>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.</p> <p>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.</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0008-0003</p>

GENERAL RECORDS SCHEDULE 2: Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civilian employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Standard Form (SF) 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management (OPM); (b) files maintained in agency space for audit by the General Accounting Office (GAO) under 31 U.S.C. 3529(c); (c) records relating to tax withholding, savings bonds, fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. The National Archives and Records Administration (NARA) must be consulted for any records created prior to January 1, 1921 before applying these disposition instructions.

Documents required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the GAO unless the agency concerned has written approval of the Comptroller General, as required by 44 U.S.C. 3309. Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6 - Pay, Leave, and Allowances and incorporated in the GAO Policy and Procedures Manual for Guidance of Federal Agencies.

In the payrolling process different types of records are accumulated. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

All payroll systems require the maintenance of a leave record used to submit data to the payroll system. Information is posted to this record from more detailed records kept by time and attendance clerks located throughout an agency. Depending on the type of system in operation, this leave record may be a hard-copy input form or it may be a wholly electronic input.

Other records incidental to the payrolling process are employee requests for tax withholding; employee requests for Thrift Savings Plan deductions; savings bond records; and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

PAYROLL

1. Individual Employee Pay Record.
 - a. Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system

Update elements and/or entire record as required. (N1-GRS-92-4 item 1a)
 - b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.

Transfer to National Personnel Records Center. Destroy when 56 years old. (N1-GRS-92-4 item 1b)
2. Noncurrent Payroll Files.

Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.

Destroy 15 years after close of pay year in which generated. (N1-GRS-92-4 item 2)

Items 3 through 5. Reserved.

TIME AND ATTENDANCE

6. Leave Application Files.

SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

a. If employee initials time card or equivalent.

Destroy at end of following pay period. (N1-GRS-92-4 item 6a)

b. If employee has not initialed time card or equivalent.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 6b)

7. Time and Attendance Source Records.

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

Destroy after GAO audit or when 6 years old, whichever is sooner. (N1-GRS-92-4 item 7)

8. Time and Attendance Input Records.

Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

Destroy after GAO audit or when 6 years old, whichever is sooner. (N1-GRS-92-4 item 8)

9. ~~Leave Record:~~

a. ~~Record of employee leave, such as SF 1150, prepared upon transfer or separation.~~
Rescinded per GRS Transmittal 24 (see GRS 2.5, item 040)

b. ~~Creating agency copy, when maintained.~~ **Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)**

Items 10 through 12. Reserved.

DEDUCTIONS, ALLOTMENTS, AND ELECTRONIC FUNDS TRANSFERS

13. Tax Files.

a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

Destroy 4 years after superseded or obsolete or upon separation of employee. (N1-GRS-92-4 item 13a)

- b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old. (N1-GRS-92-4 item 13b)

- c. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old. (N1-GRS-92-4 item 13c)

14. Savings Bond Purchase Files.

- a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.

Destroy when superseded or after separation of employee. (N1-GRS-92-4 item 14a)

- b. Bond registration files: issuing agent's copies of bond registration stubs.

Destroy 4 months after date of issuance of bond. (N1-GRS-92-4 item 14b)

- c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.

Destroy 4 months after date of issuance of bond. (N1-GRS-92-4 item 14c)

15. Combined Federal Campaign and Other Allotment Authorizations.

- a. Authorization for individual allotment to the Combined Federal Campaign.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 15a)

- b. Other authorizations, such as union dues and savings.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 15b)

16. Thrift Savings Plan Election Form.

Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan. Destroy when superseded or after separation of employee. (N1-GRS-92-4 item 16)

17. Direct Deposit Sign-up Form (SF 1199A).

Destroy when superseded or after separation. (N1-GRS-92-4 item 17)

18. Levy and Garnishment Files.

Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

Destroy 3 years after garnishment is terminated. (N1-GRS-92-4 item 18)

Items 19 through 21. Reserved.

PAYROLL ADMINISTRATION

22. Payroll System Reports.

a. Error reports, ticklers, system operation reports.

Destroy when related actions are completed or when no longer needed, not to exceed 2 years. (N1-GRS-92-4 item 22a)

b. Reports and data used for agency workload and or personnel management purposes.

Destroy when 2 years old. (N1-GRS-92-4 item 22b)

c. Reports providing fiscal information on agency payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 22c)

23. Payroll Change Files.

Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

a. Copies subject to GAO audit.

Destroy after GAO audit or when 3 years old, whichever is sooner. (N1-GRS-92-4 item 23a)

b. All other copies (Not covered by 23a or 23c).

Destroy 1 month after end of related pay period. (N1-GRS-92-4 item 23b)

*IRS Disposal Authority

c. Federal Erroneous Retirement Code Corrections Act (FERCCA) Case Files.

Cut off at the end of the calendar year the case was closed.

Retire to FRC 3 years after cutoff.

Destroy 25 years after cutoff. (DAA-0058-2016-0016-0001)

24. Payroll Correspondence.

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old. (N1-GRS-92-4 item 24)

Items 25 through 27. Reserved.

RETIREMENT28. ~~Retirement Files.~~

~~Reports, registers, or other control documents, and other records relating to retirement, such as SF-2807 or equivalent.~~ **Superseded by GRS 2.5, items 010 (DAA-GRS-2014-0004-0001) and 011 (DAA-GRS-2014-0004-0002)**

Items 29 through 30. Reserved

GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

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

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p>Separation program management records.</p> <p>Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:</p> <ul style="list-style-type: none"> • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records 	Records not specific to an agency separation initiative.	Temporary. Destroy when no longer required for business use.	DAA-GRS-2014-0004-0001
011	<ul style="list-style-type: none"> • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends 	Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.	Temporary. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.	DAA-GRS-2014-0004-0002
020	<p>Individual employee separation case files.</p> <p>Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) 		Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use	DAA-GRS-2014-0004-0003

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

GENERAL RECORDS SCHEDULE 2.8: Employee Ethics Records

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

Records not covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection

Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs.

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

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>General ethics program records.</p> <p>Records created and maintained to coordinate and manage an agency’s ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:</p> <ul style="list-style-type: none"> • Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records. • Determinations, including advice and counseling to individual employees, and supporting records. • Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities. 	<p>Temporary. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0001
020	<p>Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files.</p> <p>Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict of Interest Referral.</p>	<p>Temporary. Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0002

Item	Records Description		Disposition Instruction	Disposition Authority
030	Reports of payments accepted from non-Federal sources.	Agency reports. Reports, including the “Semiannual Report of Payments Accepted from a Non-Federal Source,” submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.	Temporary. Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0003
031		Supporting documentation. Documentation, such as statements and forms, used to complete the submitted reports.	Temporary. Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0004
040	Office of Government Ethics program questionnaire records. Questionnaires completed by ethics officials, such as the “Annual Agency Ethics Program Questionnaire,” the “Annual Agency Ethics Officer (DAEO) Survey,” and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.		Temporary. Destroy 3 years after submission, but longer retention is authorized if required for business use.	DAA-GRS-2014-0005-0005
050	Ethics program review records. Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.		Temporary. Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0006

Item	Records Description		Disposition Instruction	Disposition Authority
060	<p>Public financial disclosure reports.</p> <p>Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.</p>	<p>Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603</p>	<p>Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0007</p>
061		<p>All other reports.</p> <p>Legal Citation: 5 U.S.C. app. section 105, 5 CFR part 2634.603</p>	<p>Temporary. Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0008</p>
062		<p>Periodic transaction reports.</p> <p>OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p>Legal Citation: STOCK Act, Pub. L. 112-105</p>	<p>Temporary. Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0009</p>

Item	Records Description		Disposition Instruction	Disposition Authority
063	<p>Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).</p> <p>Legal Citation: 5 U.S.C. app. section 105(b)(2)</p>		<p>Temporary. Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0010</p>
070	<p>Confidential financial disclosure reports.</p> <p>Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE</p>	<p>Reports for individuals not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 CFR 2634.604</p>	<p>Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0011</p>
071	<p>Optional Form 450- A), and related records.</p>	<p>All other reports.</p> <p>Legal Citation: 5 CFR 2634.604</p>	<p>Temporary. Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>DAA-GRS-2014-0005-0012</p>

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

Item	Records Description	Disposition Instruction	Disposition Authority	
090	<p>Financial disclosure supporting documentation.</p> <p>Supporting documentation used to review and verify the filer’s report submission. Includes records such as:</p> <ul style="list-style-type: none"> • reviewer’s notes • background research reports • memorialized verbal comments of filer in response to reviewer questions 	<p>Temporary. Destroy at the same time an individual’s related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.</p>	<p>DAA-GRS-2014-0005-0016</p>	
100	<p>Ethics agreements records.</p> <p>Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:</p> <ul style="list-style-type: none"> • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications <p>Note: Ethics Pledges and associated waiver certifications are filed in the political appointee’s Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): Prescribing Standards of Ethical Conduct for Government Officers and Employees.</p>	<p>Agreements for employees who do not file financial disclosure reports.</p>	<p>Temporary. Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2014-0005-0017</p>
101		<p>Agreements for employees who file financial disclosure reports.</p>	<p>Temporary. Destroy at the same time as the employee’s last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2014-0005-0018</p>

GENERAL RECORDS SCHEDULE 3: Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers.

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

1. Real Property Files. [See note after item 1b.]

Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

- a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

- b. Abstract or certificate of title.

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

[NOTE: Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of a Standard Form (SF) 115 to NARA.]

2. General Correspondence Files.

Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.

Destroy when 2 years old. (NC1-64-77-5 item 3)

3. Routine Procurement Files

- a. ~~Procurement or purchase organization copy, and related papers:~~

- (1) ~~Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold"):~~

- (a) ~~Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000: Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- (b) ~~Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000: Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

- (2) ~~Transactions dated earlier than July 3, 1995:~~

- (c) ~~Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000: Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

- (d) ~~Transactions that utilize small purchase procedures and all construction contracts under \$2,000. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- b. ~~Obligation copy. Rescinded per GRS Transmittal 23~~
- c. ~~Other copies of records described above used by component elements of a procurement office for administrative purposes. Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)~~
- d. ~~Data Submitted to the Federal Procurement Data System (FPDS). Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
4. Supply Management Files.
- Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).
- a. Copies received from other units for internal purposes or for transmission to staff agencies.
Destroy when 2 years old. (NC1-64-77-5 item 5a)
- b. Copies in other reporting units and related working documents.
Destroy when 1 year old. (NC1-64-77-5 item 5b)
5. ~~Solicited and Unsolicited Bids and Proposals Files:~~
- a. ~~Successful bids and proposals. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- b. ~~Solicited and unsolicited unsuccessful bids and proposals:~~
- (1) ~~Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- (2) ~~Relating to transactions above the small purchase limitations in 48 CFR Part 13:~~
- (a) ~~When filed separately from contract case files. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- (b) ~~When filed with contract case files. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- c. ~~Canceled solicitations files:~~
- (1) ~~Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers~~

~~that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

(2) ~~Unopened bids. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete. (NC1-GRS-81-2 item 6d)

6. ~~Public Printer Files:~~

~~Records relating to requisitions on the Printer, and all supporting papers.~~

a. ~~Printing procurement unit copy of requisition, invoice, specifications, and related papers. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

b. ~~Accounting copy of requisition. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

7. ~~Non-personnel Requisition File:~~

~~Requisitions for non-personnel services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)). Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

8. Inventory Requisition File.

Requisitions for supplies and equipment for current inventory.

a. Stockroom copy.

Destroy 2 years after completion or cancellation of requisition. (NC1-64-77-5 item 9a)

b. All other copies.

Destroy when 6 months old. (NC1-64-77-5 item 9b)

9. Inventory Files.

a. Inventory lists.

Destroy 2 years from date of list. (NC1-64-77-5 item 10a)

b. Inventory cards.

Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control. (NC1-64-77-5 item 10b)

- c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.

Destroy 2 years after date of survey action or date of posting medium. (NC1-64-77-5 item 10c)

10. ~~Telephone Records:~~

~~Telephone statements and toll slips:~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

11. ~~Contractors' Payroll Files:~~

~~Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers:~~ **Superseded by GRS 1.1, item 050 (DAA-GRS-2013-0003-0003)**

12. ~~Tax Exemption Files:~~

~~Tax exemption certificates and related papers:~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

13. ~~Unsuccessful Grant Application Files:~~

~~Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications:~~ **Superseded by GRS 1.2, item 021 (DAA-GRS-2013-0008-0006)**

14. ~~Grant Administrative Files. [See note after this item.]~~

~~Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program:~~ **Superseded by GRS 1.2, item 010 (DAA-GRS-2013-0008-0007)**

15. Contract Appeals Case Files.

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

- a. ~~Records created prior to October 1, 1979:~~ **Rescinded per GRS Transmittal 23**

- b. Records created after September 30, 1979.

Destroy 1 year after final action on decision. (N1-GRS-87-9 item 19b)

16. ~~Contractor's Statement of Contingent or Other Fees:~~

~~SF 119, Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes:~~ **Rescinded per GRS Transmittal 23**

17. Small and Disadvantaged Business Utilization Files.

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507

Destroy when 3 years old. (N1-GRS-87-14 item 1)

18. Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)

Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures.

[NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.]

a. Circular No. A-76 case files/studies maintained by office having primary responsibility.

Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 to 10 years after cut off. (N1-GRS-05-2 item 18a)

[NOTE: To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.]

b. Circular No. A-76 records maintained by other offices, including information copies and background material.

Cut off upon completion of study. Destroy 2 years after cut off. (N1-GRS-05-2 item 18b)

GENERAL RECORDS SCHEDULE 3.1: General Technology Management Records

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

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

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p>Information technology development project records.</p> <p>Infrastructure project records.</p> <p>Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:</p> <ul style="list-style-type: none"> • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. <p>Includes records such as:</p> <ul style="list-style-type: none"> • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation <p>Exclusion: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.</p> <p>Note: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p>	<p>Temporary. Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0006</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
011	<p>System development records.</p> <p>These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as</p> <ul style="list-style-type: none"> • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: <ul style="list-style-type: none"> o Privacy Threshold Analyses (PTAs) o Privacy Impact Assessments (PIAs) o Security Plan o Information Protection Plan • change control records • Project Schedule <ul style="list-style-type: none"> • 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 • Training Guide <p>Exclusion: This item does not apply to system data or content.</p> <p>Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.</p> <p>Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.</p>	<p>Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0007</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
012	<p>Special purpose computer programs and applications.</p> <p>Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.</p> <p>Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.</p> <p>Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission- related function.</p> <p>Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.</p>	<p>Temporary. Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0008</p>
020	<p>Information technology operations and maintenance records.</p> <p>Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites: <ul style="list-style-type: none"> o reviews o site visit reports o trouble reports o equipment service histories o reports of follow-up actions o related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams 	<p>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.</p>	<p>DAA-GRS-2013-0005-0004</p>

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices • requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations <ul style="list-style-type: none"> o measures of benchmarks o performance indicators o critical success factors o error and exception reporting o self-assessments o performance monitoring o management reports • website administration <ul style="list-style-type: none"> o frames o templates o style sheets o site maps o codes that determine site architecture o change requests o site posting logs o clearance records o requests for correction of incorrect links or content posted o requests for removal of duplicate information o user logs o search engine logs o audit logs • records to allocate charges and track payment for software and services <p>Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p>Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.</p>		

Item	Records Title/Description	Disposition Instruction	Disposition Authority
030	<p>Configuration and Change Management Records.</p> <p>Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as:</p> <ul style="list-style-type: none"> • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution (including COTS software license management files) and release or version management <p>Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p>Note 2: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p>Note 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	<p>Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0005</p>
040	<p>Information technology oversight and compliance records.</p> <p>Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:</p> <ul style="list-style-type: none"> • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act 	<p>Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0010</p>

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

Item	Records Title/Description		Disposition Instruction	Disposition Authority
051	<p>It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.</p>	<p>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</p> <p>Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including</p> <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p> <ul style="list-style-type: none"> • software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model 	<p>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</p>	<p>DAA-GRS-2013-0005-0003</p>

GENERAL RECORDS SCHEDULE 3.2: Information Systems Security Records

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

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p>Systems and data security records.</p> <p>These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as:</p> <ul style="list-style-type: none"> • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data 	<p>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.</p>	<p>DAA-GRS-2013-0006-0001</p>
020	<p>Computer security incident handling, reporting and follow-up records.</p> <p>A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins (“hacks,” including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as:</p> <ul style="list-style-type: none"> • reporting forms • reporting tools • narrative reports • background documentation 	<p>Temporary. Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use</p>	<p>DAA-GRS-2013-0006-0002</p>

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

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
041		Full backup files.	Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0006
050	<p>Backups of master files and databases.</p> <p>Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.</p>	File identical to permanent records scheduled for transfer to the National Archives.	Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0007
051		File identical to temporary records authorized for destruction by a NARA-approved records schedule.	Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use.	DAA-GRS-2013-0006-0008
060	<p>PKI administrative records.</p> <p>Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining</p>	FBCA CAs.	Temporary. Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3, item 13a1

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
061	<p>that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.</p> <p>Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to- transaction.</p>	Other (non- FBCA et. al.) CAs.	<p>Temporary. Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.</p>	N1-GRS-07-3 , item 13a2

Item	Records Title/Description	Disposition Instruction	Disposition Authority
062	<p>PKI transaction-specific records.</p> <p>Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.</p> <p>Note: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.</p>	<p>Temporary. Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period.</p>	<p>N1-GRS- 07-3, item 13b</p>

GENERAL RECORDS SCHEDULE 4: Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration (GSA) transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the GSA and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form (SF) 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.

b. SF 120, Report of Excess Personal Property, and SF 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

1. Property Disposal Correspondence Files.

Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.

Destroy when 2 years old. (GRS 4, 1952, item 4)

2. Excess Personal Property Reports.

Destroy when 3 years old. (GRS 4, 1952, item 5)

3. ~~Surplus Property Case Files.~~

~~Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.~~

a. ~~Transactions of more than \$25,000.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

b. ~~Transactions of \$25,000 or less.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. Real Property Files. [See note after this item.]

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists,

and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is re- leased for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

[NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]

GENERAL RECORDS SCHEDULE 4.1: Records Management Records

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

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

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<p>Records include:</p> <ul style="list-style-type: none"> • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States <p>Exclusion: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.</p>		
030	<p>Vital or essential records program records.</p> <p>Records involved in planning, operating, and managing the agency’s vital or essential records program. Includes:</p> <ul style="list-style-type: none"> • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests 	<p>Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use</p>	<p>DAA-GRS-2013-0006-0003</p>
031	<p>Copies of vital records.</p> <p>Copies of agency records deemed essential to restore agency functions in case of emergency.</p>	<p>Temporary. Destroy when superseded by the next cycle.</p>	<p>DAA-GRS-2013-0002-0015</p>
040	<p>Forms management records.</p> <p>Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes:</p> <ul style="list-style-type: none"> • registers or databases used to record and control the numbers and other identifying data assigned to each form • 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 	<p>Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2013-0002-0009</p>

GENERAL RECORDS SCHEDULE 4.2: Information Access and Protection Records

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

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>General information request files.</p> <p>Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.</p>	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0001
	<p>Access and disclosure request files.</p> <p>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by</p> <ul style="list-style-type: none"> • granting the request in full • granting the request in part • denying the request for any reason including: <ul style="list-style-type: none"> 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: • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) <p>Exclusion: Record copies of requested records are not covered by this item. They remain covered by their original disposal authority.</p> <p>Note: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p>	<p>Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0002

Item	Records Description		Disposition Instruction	Disposition Authority
030	Internal information access and protection program operation records. General administrative records.	Includes: <ul style="list-style-type: none"> records documenting security-approved container access records documenting receipt, internal routing, dispatch, and destruction of classified, unclassified-but-controlled, and unclassified records relating to classified or controlled unclassified document containers, such as forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security tracking databases and other records used to manage overall program requests and authorizations for individuals to have access to classified files 	Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0003
031		Access control records. Includes: <ul style="list-style-type: none"> safe and padlock combinations names or other personal identifiers of individuals who know combinations comparable data used to control access into classified document containers 	Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0020
032		Records relating to classified or controlled unclassified document containers. Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security. 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.	Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0021
040		Accounting for and control of access to classified, controlled unclassified, and unclassified records and records regarding FOIA, PA, and MDR. 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: <ul style="list-style-type: none"> forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request inventories of controlled records 	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	DAA-GRS-2013-0007-0004

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> forms accompanying documents to ensure continuing control, showing names of people handling the documents, intra-office routing, and comparable data agent and researcher files 	adjudication by courts, as may apply, whichever is later; but longer retention is authorized if required for business use.		
050	<p>Privacy Act accounting of disclosure files.</p> <p>Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:</p> <ul style="list-style-type: none"> forms with the subject individual's name records of the requester's name and address explanations of the purpose for the request date of disclosure proof of subject individual's consent 	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.	NC1-64-77-1 item 27	
060	<p>Erroneous release records.</p> <p>Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:</p>	Records in which record-keeping copy of the released records is interfiled with records of the erroneous release.	Temporary. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.	DAA-GRS-2015-0002-0001
061	<ul style="list-style-type: none"> requests for information copies of replies all related supporting documents <p>May include:</p> <ul style="list-style-type: none"> official copy of records requested or copies 	Files that do not include the record-keeping copy of the released records.	Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.	DAA-GRS-2015-0002-0002
070	<p>Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.</p> <p>Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p>		Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0006

Item	Records Description	Disposition Instruction	Disposition Authority
080	<p>Legal and regulatory compliance reporting records.</p> <p>Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.</p>	<p>Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</p> <p>Legal citation: OMB M-07-16.</p>	<p>Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p> <p>DAA-GRS-2013-0007-0022</p>
081		<p>All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</p>	<p>Temporary. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.</p> <p>DAA-GRS-2013-0007-0023</p>
090	<p>Privacy Act amendment request files.</p> <p>Files relating to an individual’s request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual’s request for review of an agency’s refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:</p> <ul style="list-style-type: none"> • requests to amend and to review refusal to amend • copies of agency’s replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials 	<p>Temporary. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0007</p>
100	<p>Automatic and systematic declassification review program records.</p> <p>Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.</p>	<p>Temporary. Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0008</p>
110	<p>Fundamental classification guidance review files.</p> <p>Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).</p>	<p>Temporary. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0011</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
120	<p>Classified information nondisclosure agreements.</p>	<p>Maintained in the individual's official personnel folder.</p>	<p>Apply the disposition for the official personnel folder.</p>	
121	<p>Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.</p>	<p>Maintained separately from the individual's official personnel folder.</p> <p>Legal citations:</p> <p>ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).</p>	<p>Temporary. Destroy when 50 years old.</p>	<p>DAA-GRS-2015-0002-0003</p>
130	<p>Personally identifiable information extracts.</p> <p>System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p>Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."</p>	<p>Temporary. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.</p>	<p>DAA-GRS-2013-0007-0012</p>	
140	<p>Personally identifiable information extract logs.</p> <p>Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0007-0013</p>	

GENERAL RECORDS SCHEDULE 4.3: Input Records, Output Records, and Electronic Copies

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

Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled that have been converted to an electronic format. Electronic versions of special media records such as these often do not adequately replace the original and therefore the original records may not be destroyed as “input records.”

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

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • Hardcopy records when the electronic versions do not meet NARA’s electronic records standards. • Hardcopy records that are not incorporated in their entirety into an electronic system. • Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1) Not media neutral. Applies to hardcopy or analog records only.</p>		
012	<p>Hardcopy or analog input/source records not previously scheduled. Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p>Exclusion 1: Hardcopy records when the electronic versions do not meet NARA’s electronic records standards.</p> <p>Exclusion 2: Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p>Exclusion 3: Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p>Temporary. Destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0003</p>
020	<p>Electronic input/source records.</p> <p>Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:</p> <ul style="list-style-type: none"> • electronic files that duplicate information from a source electronic system for input into another electronic system • electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions) 	<p>Temporary. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> • computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database • metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations <p>Exclusion 1: Original electronic records maintained in the source system.</p> <p>Exclusion 2: Electronic input records required for audit and legal purposes.</p> <p>Exclusion 3: Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.</p> <p>Not media neutral. Applies to electronic records only.</p>			
030	<p>Output records.</p> <p>Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system.</p>	<p>Ad hoc reports.</p> <p>Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p>Exclusion 1: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p> <p>Exclusion 2: Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
031	<p>Exclusion 1: Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher- level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p> <p>Exclusion 2: Any hardcopy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p>	<p>Data file outputs. Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including:</p> <ul style="list-style-type: none"> • data files consisting of summarized or aggregated information (See exclusions) • electronic files consisting of extracted information (See exclusions) • print file (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports) • technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions) <p>Exclusion 1: Data files that are created as disclosure-free files to allow public access to the data.</p> <p>Exclusion 2: Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed.</p> <p>Exclusion 3: Data extracts produced by an extraction process which changes the informational content of the source master file or database.</p> <p>Exclusion 4: Technical reformat files created for transfer to NARA.</p> <p>Exclusion 5: Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012).</p> <p>Not media neutral. Applies to electronic records only.</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0006</p>

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

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of OMB and the Department of Treasury reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

1. Budget Correspondence Files.

Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

Destroy when 2 years old. (GRS 5, 1952, items 1 and 3)

2. Budget Background Records.

Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

Destroy 1 year after the close of the fiscal year covered by the budget. (NC1-GRS-81-13 item 2)

3. Budget Reports Files.

Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of fiscal year).

Destroy when 5 years old. (GRS 5, 1952, item 5a)

b. All other reports

Destroy 3 years after the end of the fiscal year. (NC-64-75-2 item 5b)

Budget Apportionment Files. [See note after this item.]

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Destroy 2 years after the close of the fiscal year. (GRS 5, 1952, item 6)

[NOTE: The following budget files are not covered by the GRS:

- * Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.
- * Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA. (GRS 5, 1952, items 1 and 2)]

GENERAL RECORDS SCHEDULE 6: Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Department of Treasury. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if a site audit was involved. This procedure was extended and confirmed by GAO General Regulation No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form (SF) 1166 and SF 1167) for use by all agencies, effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer of the Treasury.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that an audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognizance. GAO has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal records centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Records Management, GAO. Because the records previously transferred to GAO are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

1. ~~Accountable Officers' Files. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

- a. ~~Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.~~

~~Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.~~

- ~~SF 215 — Deposit Ticket~~
- ~~SF 224 — Statement of Transactions~~
- ~~SF 1012 — Travel Voucher~~
- ~~SF 1034 — Public Voucher for Purchases and Services Other Than Personal~~
- ~~SF 1036 — Statement of Certificate and Award~~
- ~~SF 1038 — Advance of Funds Application and Account~~
- ~~SF 1047 — Public Voucher for Refunds~~
- ~~SF 1069 — Voucher for Allowance at Foreign Posts of Duty~~
- ~~SF 1080 — Voucher for Transfer Between Appropriations and/or Funds~~
- ~~SF 1081 — Voucher and Schedule of Withdrawals and Credits~~
- ~~SF 1096 — Schedule of Voucher Deductions~~
- ~~SF 1097 — Voucher and Schedule to Effect Correction of Errors~~
- ~~SF 1098 — Schedule of Canceled Checks~~
- ~~SF 1113 — Public Voucher for Transportation Charges~~
- ~~SF 1129 — Reimbursement Voucher~~
- ~~SF 1143 — Advertising Order~~
- ~~SF 1145 — Voucher for Payment Under Federal Tort Claims Act~~
- ~~SF 1154 — Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee~~
- ~~SF 1156 — Public Voucher for Fees and Mileage~~
- ~~SF 1164 — Claim for Reimbursement for Expenditures on Official Business~~
- ~~SF 1166 — Voucher and Schedule of Payments~~
- ~~SF 1185 — Schedule of Undeliverable Checks for Credit to Government Agencies~~
- ~~SF 1218 — Statement of Accountability (Foreign Service Account)~~
- ~~SF 1219 — Statement of Accountability~~
- ~~SF 1220 — Statement of Transactions According to Appropriation, Funds, and Receipt Accounts~~
- ~~SF 1221 — Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)~~
- ~~OF 1114 — Bill of Collection~~
- ~~OF 1114A — Official Receipt~~
- ~~OF 1114B — Collection Voucher~~

Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

- b. ~~Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2. **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**~~

2. ~~GAO Exceptions Files:~~

~~GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence.~~
Rescinded per GRS Transmittal 23

3. ~~Certificates Settlement Files:~~

~~Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.~~

c. ~~Certificates covering closed account settlements, supplemental settlements, and final balance settlements.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

d. ~~Certificates covering periodic settlements.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

4. ~~General Fund Files:~~

~~Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

5. Accounting Administrative Files.

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

a. Files used for workload and personnel management purposes.

Destroy when 2 years old. (NC-64-77-11, item 5a)

b. All other files.

Destroy when 3 years old. (NC-64-77-11, item 5b)

6. ~~Federal Personnel Surety Bond Files:~~

a. ~~Official copies of bond and attached powers of attorney.~~

(1) ~~Bonds purchased before January 1, 1956.~~ **Rescinded per GRS Transmittal 23**

(2) ~~Bonds purchased after December 31, 1955.~~ **Rescinded per GRS Transmittal 23**

b. ~~Other bond files including other copies of bonds and related documents.~~ **Rescinded per GRS Transmittal 23**

7. ~~Gasoline Sales Tickets:~~

~~Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.~~
Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

8. ~~Telephone Toll Tickets:~~

~~Originals and copies of toll tickets filed in support of telephone toll call payments. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**~~

9. ~~Telegrams:~~

~~Originals and copies of telegrams filed in support of telegraph bills. **Rescinded per GRS Transmittal 23**~~

10. Administrative Claims Files.

- a. Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1a)

- b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).

Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

- (1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1b1)

- (2) Claims for which collection action has been terminated under 4 CFR Part 104.

- (a) Claims for which the Government's right to collect was not extended.

Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued. (N1-GRS-87-13 item 1b2a)

- (b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

Destroy 3 months after the end of the extended period. (N1-GRS-87-13 item 1b2b)

- (3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated.

Destroy when 6 years, 3 months old. (N1-GRS-87-13 item 1b3)

- c. Claims files that are affected by a court order or that are subject to litigation proceedings.

Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later. (N1-GRS-87-13 item 1c)

11. Waiver of Claims Files.

Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.

- a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount).

Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved. (N1-GRS-88-1 item 11a)

- b. Denied waivers.

Destroy with related claims files in accordance with items 10b and 10c of this schedule. (N1-GRS-88-1 item 11b)

GENERAL RECORDS SCHEDULE 6.1: Email Managed under a Capstone Approach

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

Agencies must not implement this GRS until approval of [NARA form 1005 \(NA-1005\), Verification for Implementing GRS 6.1](#). Additional information, including a link to the form, may be found in FAQ 3 and in the instructions accompanying the form.

GRS Scope

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

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

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

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

Applying this GRS

When applying this GRS in part, agencies must ensure that all other email records are covered by another NARA-approved disposition authority. Agencies NOT managing any of their email under the Capstone approach are still responsible for managing their email by applying NARA-approved records schedules.

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

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

Agencies must transfer to NARA the emails of Capstone officials captured during their tenure as a Capstone official. Therefore, email of Capstone officials created prior to their designation as a Capstone official (e.g.,

prior to their promotion/rotation into a Capstone position) should be treated as temporary and not transferred to NARA. For guidance on transferring email as a permanent record, see NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records and the relevant sections of [36 CFR Part 1235](#).

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Email of Capstone officials.</p> <p>Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual’s name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), Verification for Implementing GRS 6.1, and must include, when applicable:</p> <ol style="list-style-type: none"> 1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent; 2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s); 3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s); 4. Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides; 5. Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s); 6. Directors of significant program offices, and/or their equivalent(s); 7. Principal regional officials, such as Regional Administrators, and/or their equivalent(s); 8. Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General, etc.; 9. Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions); and 10. Additional roles and positions that predominately create permanent records related to mission critical functions or policy decisions and/or are of historical significance. <p>This includes those officials in an acting capacity for any of the above positions longer than 60 days. Agencies may also include individual emails from otherwise temporary accounts appropriate for permanent disposition in this category.</p> <p>This item must include all existing legacy email accounts that correlate to the roles and positions described above.</p>	<p>Permanent. Cut off at the end of the calendar year. Transfer to NARA when the records are 15 years old, or after declassification review (when applicable), whichever is later.</p>	<p>DAA-GRS-2014-0001-0001</p>

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

GENERAL RECORDS SCHEDULE 6.2: Federal Advisory Committee Records

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

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

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

Item	Records Description	Disposition Instruction	Disposition Authority
Committee Records			
010	<p>Substantive Committee Records (Non-Grant Review Committees)</p> <p>Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</p> <p>Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include:</p> <ul style="list-style-type: none"> • records related to the establishment of the committee: <ul style="list-style-type: none"> o charters (original, renewal, re-establishment, and amended) o enacting legislation o explanation of committee need, when required o filing letters to Congress o organization charts o committee specific bylaws, standard operating procedures, or guidelines o any other materials that document the organization and functions of the committee and its components • records related to committee membership: <ul style="list-style-type: none"> o memos or similar documentation of how and/or why individual members were selected o membership balance plans o membership rosters o appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc. o Resignation or termination letters 	<p>Permanent. Transfer when records are 15 years old or upon termination of committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • records of committee meetings and hearings: <ul style="list-style-type: none"> o agency head's determination that a meeting or portion of a meeting may be closed to the public o agendas o materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations o meeting minutes o public comments o testimony received during hearings o transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020) • records related to committee findings and recommendations: <ul style="list-style-type: none"> o one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee o responses from agency to committee regarding recommendations o committee presentations or briefings of findings • records created by committee members: <ul style="list-style-type: none"> o correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer) • records related to research collected or created by the committee: <ul style="list-style-type: none"> o records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data) o raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies • documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): <ul style="list-style-type: none"> o records relating to the formation of the subcommittee or working group, if they exist <ul style="list-style-type: none"> » decision documents » membership » statement of purpose or other documentation of duties and responsibilities o records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to: <ul style="list-style-type: none"> » meeting minutes » transcripts » reports » briefing materials » substantive correspondence, including electronic mail, exchanged between one or more 		

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> » 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 <ul style="list-style-type: none"> • records related to committee termination (i.e., email, letter, memo, etc.). • other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records. <p>Note: Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).</p>		
020	<p>Substantive Audiovisual Records (Non-Grant Review Committees)</p> <p>Exclusion: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</p> <p>Records include:</p> <ul style="list-style-type: none"> • 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 	<p>Permanent. Transfer when records are 3 years old or upon termination of committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0002</p>
030	<p>Grant Review Committee Records</p> <p>Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials.</p> <p>Note: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.</p>	<p>Temporary. Destroy upon termination of committee.</p>	<p>DAA-GRS-2015-0001-0003</p>
040	<p>Committee Accountability Records</p> <p>Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents.</p>	<p>Temporary. Destroy when 6 years old. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0001-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Records include:</p> <ul style="list-style-type: none"> • travel costs • committee member payments • meeting room costs • contractor costs • Federal Register notice costs <p>Exclusion: Forms filed under the Ethics in Government Act (see note).</p> <p>Note: Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).</p>		
050	<p>Non-substantive Committee Records</p> <p>Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.</p> <ul style="list-style-type: none"> • drafts and copies of Federal Register notices • audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • photographs of committee social functions, routine award events, and other non-mission-related activities • records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc. • routine correspondence: <ul style="list-style-type: none"> o correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues) o public requests for information • Non-substantive committee membership records, including: <ul style="list-style-type: none"> o Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee o Member credentials (resumes or biographies) o Member files (personnel-type records) • Non-substantive web content <p>Note 1: Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.</p>	<p>Temporary. Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.</p>	<p>DAA-GRS-2015-0001-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Note 2: Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 4.3, item 040.</p>		
Committee Management Records			
060	<p>Committee Management Records</p> <p>Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include:</p> <ul style="list-style-type: none"> • agency guidelines • correspondence • requests for approval of committee nominees • copies of records about committees maintained for reporting purposes, such as: <ul style="list-style-type: none"> o information provided to GSA Secretariat for annual comprehensive reviews o statistical data files and reports o annual reports to the Library of Congress describing the agency’s compliance with the Government in the Sunshine Act o financial operating plans and final cost accountings <p>Note: This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.</p>	<p>Temporary. Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0001-0006</p>

GENERAL RECORDS SCHEDULE 7: Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they, in turn, summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Department of Treasury, and overall reports of agency fiscal condition which may be required by the General Accounting Office (GAO) (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by GAO auditors to be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Department of Treasury and the OMB, or to those formerly maintained by the GAO. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

1. Expenditure Accounting General Correspondence and Subject Files.

Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.
Destroy when 2 years old. (GRS 7, 1952, item 1)

2. ~~General Accounting Ledgers:~~

~~General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.~~
Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

3. ~~Appropriation Allotment Files:~~

~~Allotment records showing status of obligations and allotments under each authorized appropriation.~~
Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

4. ~~Expenditure Accounting Posting and Control Files:~~

~~Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule:~~

a. ~~Original records:~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

b. ~~Copies:~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

GENERAL RECORDS SCHEDULE 8: Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

- a. **Stores Accounting.** These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.
 - b. **Plant Accounting.** These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.
 - c. **Cost Accounting.** These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.
1. **Plant, Cost, and Stores General Correspondence Files.**
Correspondence files of units responsible for plant, cost, and stores accounting operations. Destroy when 2 years old. (GRS 8, 1952, item 1)
 2. ~~Stores Invoice Files:~~
~~Invoices or equivalent papers used for stores accounting purposes.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**
 3. ~~Stores Accounting Files:~~
~~Stores accounting returns and reports.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**
 4. ~~Stores Accounting Background Files:~~
~~Working files used in accumulating stores accounting data.~~ **Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)**

5. ~~Plant Accounting Files. [See note after this item.]~~

~~Plant account cards and ledgers, other than those pertaining to structures. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

6. ~~Cost Accounting Reports:~~

a. ~~Copies in units receiving reports. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

b. ~~Copies in reporting units and related work papers. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

7. ~~Cost Report Data Files:~~

~~Ledgers, forms, and electronic records used to accumulate data for use in cost reports.~~

a. ~~Ledgers and forms. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

b. ~~Automated records:~~

(1) ~~Detail cards. Rescinded per GRS Transmittal 23~~

(2) ~~Summary cards. Rescinded per GRS Transmittal 23~~

(3) ~~Tabulations. Rescinded per GRS Transmittal 23~~

GENERAL RECORDS SCHEDULE 9: Travel and Transportation Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by General Records Schedule 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

- a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records
- b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard-form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.

1. ~~Commercial Freight and Passenger Transportation Files:~~

- a. ~~Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- b. ~~Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- c. ~~Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~
- d. ~~Obligation copy of commercial passenger transportation vouchers. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

- e. ~~Unused ticket redemption forms, such as SF 1170.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**
2. Lost or Damaged Shipments Files.
- Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.
- Destroy when 6 years old. (N1-GRS-91-3, item 2)
3. ~~Noncommercial, Reimbursable Travel Files.~~
- ~~Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.~~
- a. ~~Travel administrative office files.~~ **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**
- b. ~~Obligation copies.~~ **Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**
4. General Travel and Transportation Files.
- a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.
- Destroy when 2 years old. (N1-GRS-91-3, item 4a)
- b. Accountability records documenting the issue or receipt of accountable documents.
- Destroy 1 year after all entries are cleared. (N1-GRS-91-3, item 4b)
5. Records Relating to Official Passports. [See notes after item 5c.]
- a. Application files.
- Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.
- Destroy when 3 years old or upon separation of the bearer, whichever is sooner. (N1-GRS-91-1, item 5a)
- b. Annual reports concerning official passports.
- Reports to the Department of State concerning the number of official passports issued and related matters.
- Destroy when 1 year old. (N1-GRS-91-1, item 5b)

c. Passport registers

Registers and lists of agency personnel who have official passports. Destroy when superseded or obsolete. (N1-GRS-98-2, item 9)

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State. (N1-GRS-91-1, item 5 Notes)]

6. RESERVED

7. Federal Employee Transportation Subsidy Records.

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Destroy when 3 years old. (N1-GRS-97-2, item 7)



GENERAL RECORDS SCHEDULE 10

Motor Vehicle and Aircraft Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles and aircraft used by agencies.

Motor vehicles. Items 1 through 7 pertain to motor vehicles used by agencies. 41 CFR 101-34 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Acquisition Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This portion of the schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Acquisition Service (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

Aircraft. Items 9 through 13 pertain to the management, maintenance, and operation of aircraft used by Federal agencies. 41 CFR 102-33 prescribes policies and procedures. These items include Federal records accumulated in connection with the use of leased aircraft as well as records provided by contractors for government agencies. Specifically excluded from this schedule are previously approved records series from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

[Note: Some of these records may be necessary for the investigation and preparation of accident/incident reports. Agencies conducting their own internal accident/incident investigation congruent with those conducted by the Federal Aviation Administration and the National Transportation Safety Board must maintain those records in accordance with item 13 of this schedule. The records of the Federal Aviation Administration and the National Transportation Safety Board are excluded from item 13 of this schedule.]

1. Motor Vehicle Correspondence Files.

Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

Destroy when 2 years old. (GRS 10, 1952, item 1)

2. Motor Vehicle Operating and Maintenance Files.

a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

Destroy when 3 months old. (GRS 10, 1952, item 2a)

b. Maintenance records, including those relating to service and repair. Destroy when 1 year old. (GRS 10, 1952, item 2b)

3. Motor Vehicle Cost Files.

Motor vehicle ledger and worksheets providing cost and expense data.

Destroy 3 years after discontinuance of ledger or date of worksheet. (GRS 10, 1952, item 3)

4. Motor Vehicle Report Files.

Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data.

Destroy 3 years after date of report. (GRS 10, 1952, item 4)

5. Motor Vehicle Accident Files.

Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness.

Destroy 6 years after case is closed. (GRS 10, 1952, item 5)

6. Motor Vehicle Release Files.

Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle.

Destroy 4 years after vehicle leaves agency custody. (NARA memo 10/20/1955)

7. Motor Vehicle Operator Files.

Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.

Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

8. Reserved.

9. Routine Aircraft Operations.

Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records.

Destroy when 2 years old. (N1-GRS-04-6, item 1)

10. Logistical Support for Flight Operations.

Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters.

Destroy when 6 years old or when superseded, whichever is later. (N1-GRS-04-6, item 2)

11. General Aircraft Maintenance and Modifications Records.

Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see item 12 for records relating to maintenance activities involving specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of materiel, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.

- a. Recordkeeping copies of maintenance manuals for unique or customized aircraft

Permanent. Transfer to the National Archives in 5-year blocks after they become superseded or obsolete. (N1-GRS-04-6, item 3a)

- b. All other records

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-04-6, item 3b)

12. Individual Aircraft Maintenance and Airframe Modifications Records.

Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.

Destroy 6 years after aircraft disposal or clearance of related equipment from the program. (N1-GRS-04-6, item 4)

13. Records Required for Accident/Incident Reports.

Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies.

Keep for the duration of investigation and then destroy 1 year after completion of investigation and preparation of required reports. (N1-GRS-04-6, item 5)

GENERAL RECORDS SCHEDULE 11: Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records that reflect Government-wide programs (such as the records held by the GSA Public Buildings Service). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

1. Space and Maintenance General Correspondence Files.

Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.

Destroy when 2 years old. (N1-GRS-96-1, item 1c)

2. Agency Space Files.

Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.

a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete. (GRS 11, 1952, item 2a)

b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

(1) Agency reports to the GSA, including Standard Form (SF) 81, Request for Space, and related documents.

Destroy when 2 years old. (GRS 11, 1952, item 2b1)

(2) Copies in subordinate reporting units and related work papers.

Destroy when 1 year old. (GRS 11, 1952, item 2b2)

3. Directory Service Files.

Correspondence, forms, and other records relating to the compilation of directory service listings. Destroy 2 months after issuance of listing. (GRS 11, 1952, item 3)

4. Credentials Files.

Identification credentials and related papers.

- a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Destroy credentials 3 months after return to issuing office. (GRS 11, 1952, item 4a)

- b. Receipts, indexes, listings, and accountable records.

Destroy after all listed credentials are accounted for. (GRS 11, 1952, item 4b)

5. Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work is performed or requisition is canceled. (GRS 11, 1952, item 5)

GENERAL RECORDS SCHEDULE 12: Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records that reflect Government-wide programs, such as records held by the U.S. Postal Service and the Information Technology Service of the General Services Administration (GSA), other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the GSA and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

1. Messenger Service Files.

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

Destroy when 2 months old. (NC1-64-77-9, item 1)

2. Communication General Files.

a. Correspondence and related records pertaining to internal administration and operation.
Destroy when 2 years old. (NC1-64-77-9, item 2a)

b. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

Destroy when 3 years old. (NC1-64-77-9, item 2b)

c. Telecommunications statistical reports including cost and volume data.

Destroy when 1 year old. (NC1-64-77-9, item 2c)

d. ~~Telecommunications voucher files:~~

(1) ~~Reference copies of vouchers, bills, invoices, and related records. Superseded by GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)~~

(2) Records relating to installation, change, removal, and servicing of equipment.

Destroy 1 year after audit or when 3 years old, whichever is sooner. (NC1-64-77-9, item 2d2)

e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Destroy 2 years after expiration or cancellation of agreement. (NC1-64-77-9, item 2e)

3. Telecommunications Operational Files. [See note after item 3b.]

- a. Message registers, logs, performance reports, daily load reports, and related and similar records.
Destroy when 6 months old. (NC1-64-77-9, item 3a)
- b. Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office. Destroy when 2 months old. (NC1-64-77-9, item 3b)

[NOTE: Master files and data bases created to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

4. Telephone Use (Call Detail) Records.

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records.

Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records. (N1-GRS-96-4)

[NOTE: Records for those numbers associated with e-mail transmission may be deleted or destroyed as indicated above if the agency has ensured that the transmission data that is necessary for the intelligibility of the e-mail is preserved elsewhere. (N1-GRS-96-4 note)]

5. Post Office and Private Mail Company Records.

Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service

- a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.

Destroy when 1 year old. (N1-GRS-87-2 item 1a)

- b. Application for registration and certification of declared value mail.

Destroy when 1 year old. (N1-GRS-87-2 item 1b)

- c. Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail.

Destroy when 1 year old. (N1-GRS-87-2 item 1c)

6. Mail and Delivery Service Control Files.

- a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files.

Destroy when 1 year old. (NC1-64-77-9, item 6a)
 - b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds). Destroy when 6 months old. (NC1-64-77-9, item 6b)
 - c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).

Destroy when 6 months old. (NC1-64-77-9, item 6c)
 - d. Statistical reports and data relating to handling of mail and volume of work performed.

Destroy when 1 year old. (NC1-64-77-9, item 6d)
 - e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.

Destroy when 1 year old. (NC1-64-77-9, item 6e)
 - f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

Destroy when 6 months old. (NC1-64-77-9, item 6f)
 - g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

Destroy when 1 year old or when superseded or obsolete, whichever is applicable. (NC1-64-77-9, item 6g)
 - h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable. (NC1-64-77-9, item 6h)
7. Metered Mail Files.

Official metered mail reports and all related papers. Destroy when 6 years old. (NC1-64-77-9, item 7)
 8. Postal Irregularities File.

Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail. Destroy 3 years after completion of investigation. (NC1-64-77-9, item 8)

GENERAL RECORDS SCHEDULE 13: Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

1. Administrative Correspondence Files.

Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.

Destroy when 2 years old. (GRS 13, 1952, item 2)

2. Project Files. [See note after item 2b.]

Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.

- a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.

Destroy 1 year after completion of job. (GRS 13, 1952, item 3a)

- b. Files pertaining to planning and other technical matters.

Destroy when 3 years old. (GRS 13, 1952, item 3b)

[NOTE: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed. (NC1-GRS-81-5, items 1a and 1b)]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable. (GRS 13, 1952, item 4)

4. Mailing Lists.

- a. Correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. (GRS 13, 1952, item 5a)

- b. Card lists.

Destroy individual cards when canceled or revised. (GRS 13, 1952, item 5b)

5. Joint Committee on Printing (JCP) Reports Files.

Reports to Congress and related records.

- a. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old. (GRS 13, 1952, item 6a)

- b. Copies in subordinate reporting units and related work papers.

Destroy 1 year after date of report. (GRS 13, 1952, item 6b)

6. Internal Management Files.

Records relating to internal management and operation of the unit. Destroy when 2 years old. (GRS 13, 1952, item 7)

GENERAL RECORDS SCHEDULE 14: Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out

the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them.

To schedule these and other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

1. ~~Information Requests Files:~~

~~Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature. Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)~~

2. ~~Acknowledgment Files:~~

~~Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply. Superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)~~

3. Press Service Files.

Press service teletype news and similar materials. Destroy when 3 months old.

4. Information Project Files.

Information service project case files maintained in formally designated information offices. Destroy 1 year after close of file or 1 year after completion of project.

5. Commendation/Complaint Correspondence Files.

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

Destroy when 3 months old. (GRS 14, 1952, item 5)

6. Indexes and Check Lists.

Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.

Destroy when superseded or obsolete.

Items 7 through 10. Reserved.

11. ~~FOIA Requests Files:~~

~~Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.~~

a. ~~Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein):~~

(1) ~~Granting access to all the requested records.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

(2) ~~Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

(a) ~~Request not appealed.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

(b) ~~Request appealed.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

(3) ~~Denying access to all or part of the records requested.~~

(a) ~~Request not appealed.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

(b) ~~Request appealed.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

b. ~~Official file copy of requested records.~~ **Rescinded per GRS Transmittal 24**

12. ~~FOIA Appeals Files:~~

~~Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

a. ~~Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

b. ~~Official file copy of records under appeal.~~ **Rescinded per GRS Transmittal 24**

13. ~~FOIA Control Files:~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

- a. ~~Registers or listing:~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**
- b. ~~Other files:~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**

14. ~~FOIA Reports Files:~~

~~Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level. **Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)**~~

15. FOIA Administrative Files.

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old. (N1-GRS-98-2 item 12)

16. 16 through 20. Reserved.

21. ~~Privacy Act Requests Files:~~

~~Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.~~

- a. ~~Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein):~~
 - (1) ~~Granting access to all the requested records. **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**~~
 - (2) ~~Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees:~~
 - (a) ~~Requests not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**~~
 - (b) ~~Requests appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**~~
 - (3) ~~Denying access to all or part of the records requested:~~
 - (a) ~~Requests not appealed. **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**~~

(b) ~~Requests appealed.~~ **Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)**

b. ~~Official file copy of requested records.~~ **Rescinded per GRS Transmittal 24**

22. ~~Privacy Act Amendment Case Files:~~

~~Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).~~

a. ~~Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.~~ **Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)**

b. ~~Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.~~ **Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)**

c. ~~Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.~~ **Superseded by GRS 4.2, item 090 (DAA-GRS-2013-0007-0007)**

23. ~~Privacy Act Accounting of Disclosure Files.~~ **Now GRS 4.2, item 050**

24. ~~Privacy Act Control Files:~~

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.~~

a. ~~Registers or listings.~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**

b. ~~Other files.~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**

25. ~~Privacy Act Reports Files:~~

~~Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.~~ **Superseded by GRS 4.2, item 070 (DAA-GRS-2013-0007-0006)**

26. ~~Privacy Act General Administrative Files.~~

~~Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.~~

~~Destroy when 2 years old. (N1-GRS-98-2 item 13)~~

27 through 30. Reserved.

31. ~~Mandatory Review For Declassification Requests Files:~~

~~Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.~~

a. ~~Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable):~~

(1) ~~Granting access to all the requested records. Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

(2) ~~Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees:~~

(a) ~~Request not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

(b) ~~Request appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

(4) ~~Denying access to all or part of the records requested:~~

(a) ~~Request not appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

(b) ~~Request appealed. Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

b. ~~Official file copy of requested records. Rescinded per GRS Transmittal 23~~

c. ~~Sanitizing instructions. Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

32. ~~Mandatory Review for Declassification Appeals Files:~~

~~Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

a. ~~Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein). Superseded by GRS 4.2, item 020 (DAA-GRS-2013-0007-0002)~~

b. ~~Official file copy of records under appeal. Rescinded per GRS Transmittal 24~~

33. ~~Mandatory Review for Declassification Control Files:~~

~~Files maintained for control purposes in responding to requests, including registers and similar records-~~

~~listing date, nature, and purpose of request and name and address of requester.~~

a. ~~Registers or listing.~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**

b. ~~Other files.~~ **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**

34. ~~Mandatory Review for Declassification Reports Files:~~

~~Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office.~~ **Superseded by GRS 4.2, item 030 (DAA-GRS-2013-0007-0003)**

35. ~~Mandatory Review for Declassification Administrative Files:~~

~~Records relating to the general agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including notices, memoranda, correspondence, and related records.~~ **Superseded by GRS 4.2, item 030 (DAA-GRS-2013-0007-0003)**

36. ~~Erroneous Release Files:~~

~~Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.~~

a. ~~Files that include the official file copy of the released records.~~ **Superseded by GRS 4.2, item 060 (DAA-GRS-2015-0002-0001)**

b. ~~Files that do not include the official file copy of the released records.~~ **Superseded by GRS 4.2, item 061 (DAA-GRS-2015-0002-0002)**

GENERAL RECORDS SCHEDULE 15: Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

1. Housing General Correspondence Files.

Correspondence files pertaining to the maintenance and management of housing projects. Destroy when 2 years old. (GRS 15, 1953, item 1)

2. Housing Maintenance and Repair Files.

Maintenance and repair records for individual units.

a. Summary card or ledger record.

Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control. (GRS 15, 1953, item 2a)

b. Work orders, requisitions, and related papers involved in repair and maintenance work.

Destroy 3 fiscal years following close of fiscal year in which work is done. (GRS 15, 1953, item 2b)

3. Housing Management Files.

Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.

Destroy when 2 years old. (GRS 15, 1953, item 3)

4. Housing Lease Files.

Copies of leases, renewals, termination notices, and related documents.

Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs or (b) litigation is concluded, whichever is later. (GRS 15, 1953, item 4)

5. Housing Assignment and Vacancy Card Files.
 - a. Individual tenant cards.

Destroy when tenant vacates unit. (GRS 15, 1953, item 5a)
 - b. Individual housing unit cards.

Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control. (GRS 15, 1953, item 5b)
6. Housing Inventory Files.

Furnishing inventory files, pertaining to items included in furnished units.

Destroy 3 fiscal years after close of fiscal year in which inventory is superseded. (GRS 15, 1953, item 6)
7. Housing Application Files (other than copies in lease files).
 - a. Rejected application files.

Destroy 1 year from date of rejection. (GRS 15, 1953, item 7a)
 - b. All others.

Destroy when 2 years old. (GRS 15, 1953, item 7b)

GENERAL RECORDS SCHEDULE 16: Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of a Standard Form (SF) 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

1. Administrative Issuances. [See note after item 1b.]
 - a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)
 - b. Case files related to (a) above that document aspects of the development of the issuance

Destroy when issuance is destroyed. (NC1-GRS-81-5 item 3d)

[NOTE: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA. (NC1-64-77-8 items 1a & 2a)]

2. ~~Records Disposition Files:~~

~~Descriptive inventories, disposal authorizations, schedules, and reports.~~

- a. ~~Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.~~
 - (1) ~~SF 115s that have been approved by NARA. Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)~~
 - (2) ~~Other records. Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)~~
 - b. ~~Routine correspondence and memoranda. Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)~~
3. ~~Forms Files:~~
- a. ~~One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form. Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)~~
 - b. ~~Background materials, requisitions, specifications, processing data, and control records. Superseded by GRS 4.1, item 040 (DAA-GRS-2013-0002-0009)~~
4. ~~Records Holdings Files:~~
- ~~Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.~~
- a. ~~Records held by offices that prepare reports on agency-wide records holdings. Rescinded per GRS Transmittal 24~~
 - b. ~~Records held by other offices. **Rescinded per GRS Transmittal 24**~~
5. Project Control Files.
- Memoranda, reports, and other records documenting assignments, progress, and completion of projects.
- Destroy 1 year after the year in which the project is closed. (NC1-64-77-8 item 7)
6. Reports Control Files.
- Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.
- Destroy 2 years after the report is discontinued. (NC1-GRS-80-7 item 1)

7. ~~Records Management Files:~~

~~Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. **Superseded by GRS 4.1, items 020 (DAA-GRS-2013-0002-0007) and 030 (DAA-GRS-2013-0002-0008)**~~

8. Reserved.

9. ~~Feasibility Studies:~~

~~Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system. **Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0007)**~~

10. ~~Microform Inspection Records:~~

- a. ~~Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**~~
- b. ~~Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230. **Superseded by GRS 4.1, item 020 (DAA-GRS-2013-0002-0007)**~~

11. IRM Triennial Review Files.

Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old. (N1-GRS-87-15 item 1)

12. Information Collection Budget Files.

Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old. (N1-GRS-87-16 item 1)

13. Documents Published in the Federal Register. [See note after item 13b.]

- a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant

application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old. (N1-GRS-87-17 item 1a)

- b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old. (N1-GRS-87-17 item 1b)

[NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition. (N1-GRS-87-17 item 1 Note)]

14. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded. (N1-GRS-91-5 item 1a)

- b. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded. (N1-GRS-91-5 item 1b)

- c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Cut off closed files annually. Destroy after next review cycle. (N1-GRS-91-5 item 1c)

- d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

Cut off closed files annually. Destroy after next reporting cycle. (N1-GRS-91-5 item 1d) [NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA. (N1-GRS-91-5 item 1d)]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed. (N1-GRS-98-2 item 23)

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff. (N1-GRS-91-5 item 1f1)

(2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff. (N1-GRS-91-5 item 1f2)

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]

GENERAL RECORDS SCHEDULE 17: Cartographic, Aerial Photographic, Architectural, and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives and Records Administration (NARA) before applying the disposition instructions in this schedule.

1. **Cartographic Records Prepared During Intermediate Stages of Publication.**

Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.

Destroy when no longer needed for revision. (N1-GRS-88-5 item 1)

2. **Reserved.**

3. **Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.**

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 24)

4. **Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.**

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 25)

5. **Contract Negotiation Drawings.**

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

Destroy when the final working/as-built drawings have been produced. (N1-GRS-98-2 item 26)

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6. Space Assignment Plans.

Outline floor plans indicating occupancy of a building.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 27)

7. Reserved.

8. Engineering Drawings of Routine Minor Parts.

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 28)

9. Drawings Reflecting Minor Modifications.

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 29)

10. Paint Plans and Samples. [See note after this item.]

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after the structure or object has been retired from service. (N1-GRS-98-2 item 30)

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting a Standard Form (SF) 115 to NARA. (N1-GRS-88-5 item 10 Note)]

GENERAL RECORDS SCHEDULE 18: Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation.

The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.

1. Classified Documents Administrative Correspondence Files. [See note after this item.]

Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

Destroy when 2 years old. (GRS 18, 1960, item 2)

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

2. ~~Document Receipt Files:~~

~~Records documenting the receipt and issuance of classified documents. Superseded by GRS 4.2, item 030 (DAA-GRS-2013-0007-0003)~~

3. ~~Destruction Certificates Files:~~

~~Certificates relating to the destruction of classified documents. Superseded by GRS 4.2, item 030 (DAA-GRS-2013-0007-0003)~~

4. ~~Classified Document Inventory Files:~~

~~Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. Superseded by GRS 4.2, item 030 (DAA-GRS-2013-0007-0003)~~

5. ~~Top Secret Accounting and Control Files.~~
- a. ~~Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**~~
 - b. ~~Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. **Superseded by GRS 4.2, item 040 (DAA-GRS-2013-0007-0004)**~~
6. ~~Access Request Files.~~
- ~~Requests and authorizations for individuals to have access to classified files. **Superseded by GRS 4.2, item 030 (DAA-GRS-2013-0007-0003)**~~
7. ~~Classified Document Container Security Files. [See note after item 7b.]~~
- a. ~~Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. **Superseded by GRS 4.2, item 031 (DAA-GRS-2013-0007-0020)**~~
 - b. ~~Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet. **Superseded by GRS 4.2, item 032 (DAA-GRS-2013-0007-0021)**~~

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. Security and Protective Services Administrative Correspondence Files. [See note after this item.] Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.
- Destroy when 2 years old. (GRS 18, 1960, item 9)
- [NOTE:** This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]
9. Survey and Inspection Files. (Government-owned facilities)
- Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.
- Destroy when 3 years old or upon discontinuance of facility, whichever is sooner. (GRS 18, 1960, item 10)

10. Survey and Inspection Files. (privately owned facilities)

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.

Destroy when 4 years old or when security cognizance is terminated, whichever is sooner. (GRS 18, 1960, item 11)

11. Investigative Files.

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.

Destroy when 2 years old. (GRS 18, 1960, item 12)

12. Property Pass Files.

Property pass files, authorizing removal of property or materials.

Destroy 3 months after expiration or revocation. (GRS 18, 1960, item 13)

13. Guard Assignment Files.

Files relating to guard assignments and strength.

a. Ledger records.

Destroy 3 years after final entry. (GRS 18, 1960, item 14a)

b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.

Destroy when 2 years old. (GRS 18, 1960, item 14b)

14. Police Functions Files.

Files relating to exercise of police functions.

a. Ledger records of arrest, cars ticketed, and outside police contacts.

Destroy 3 years after final entry. (GRS 18, 1960, item 15a)

b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.

Destroy when 2 years old. (GRS 18, 1960, item 15b)

c. Reports on contact of outside police with building occupants.

Destroy when 1 year old. (GRS 18, 1960, item 15c)

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.

a. Ledger files.

Destroy 3 years after final entry. (GRS 18, 1960, item 16a)

b. Reports, loss statements, receipts, and other documents relating to lost and found articles.

Destroy when 1 year old. (GRS 18, 1960, item 16b)

16. Key Accountability Files.

Files relating to accountability for keys issued.

a. For areas under maximum security.

Destroy 3 years after turn-in of key. (GRS 18, 1960, item 17)

b. For other areas.

Destroy 6 months after turn-in of key. (GRS 18, 1960, item 17)

17. Visitor Control Files.

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

a. For areas under maximum security.

Destroy 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18, 1960, item 18)

b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, 1960, item 18)

18. Facilities Checks Files.

Files relating to periodic guard force facility checks.

a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule). Destroy when 1 year old. (GRS 18, 1960, item 19a)

- b. Reports of routine after-hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule.

Destroy when 1 month old. (GRS 18, 1960, item 19b)

19. Guard Service Control Files.

- a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete. (GRS 18, 1960, item 20a)

- b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old. (GRS 18, 1960, item 20b)

- c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old. (GRS 18, 1960, item 20c)

- d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms. (GRS 18, 1960, item 20d)

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule.

- a. Central guard office master logs.

Destroy 2 years after final entry. (GRS 18, 1960, item 21a)

- b. Individual guard post logs of occurrences entered in master logs.

Destroy 1 year after final entry. (GRS 18, 1960, item 21b)

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

21. Security Clearance Administrative Subject Files.

Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.

Destroy when 2 years old. (NC1-GRS-80-1 item 22)

22. Personnel Security Clearance Files.

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

- a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. (NC1-GRS-80-1 item 23a)

- b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Destroy in accordance with the investigating agency instructions. (NC1-GRS-80-1 item 23b)

- c. Index to the Personnel Security Case Files.

Destroy with related case file. (NC1-GRS-80-1 item 23c)

23. Personnel Security Clearance Status Files.

Lists or rosters showing the current security clearance status of individuals. Destroy when superseded or obsolete. (NC1-GRS-80-1 item 24)

24. Security Violations Files.

Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.

- a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutive determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations.

Destroy 5 years after close of case. (NC1-GRS-81-8 item 1a)

- b. All other files, exclusive of documents placed in official personnel folders.

Destroy 2 years after completion of final action. (N1-GRS-98-2 item 31)

25. ~~Classified Information Nondisclosure Agreements.~~

- a. ~~If maintained separately from the individual's official personnel folder.~~ **Superseded by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003)**

- b. ~~If maintained in the individual's official personnel folder.~~ **Rescinded by GRS Transmittal 24**

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files. [See note after this item.] Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule. Destroy when 2 years old. (GRS 18, 1960, item 27)

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]

27. Emergency Planning Case Files. [See notes after this item.]

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files.

Destroy 3 years after issuance of a new plan or directive. (NC1-GRS-81-1 item 1b)

[NOTES: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115. (Implied in NC1-GRS-81-1 item 1a)]

28. Emergency Operations Tests Files.

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.

Destroy when 3 years old. (NC1-GRS-81-1 item 4)

29. National Defense Executive Reserve (NDER) Case Files.

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

- a. Case files on reservists.

Destroy 5 years after termination from NDER program. (NC1-GRS-87-10 item 1a)

- b. Case files on individuals whose applications were rejected or withdrawn.

Destroy when 5 years old. (NC1-GRS-87-10 item 1b)

GENERAL RECORDS SCHEDULE 20: Electronic Records

This schedule provides disposal authorization for certain electronic records and for specified paper, microform, or other hard copy records that are integrally related to the electronic records.

This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 1a (in part), 2a, and 16 of this schedule apply to hard copy records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for the referenced electronic records whatever the medium in which such programs and documentation exist.

This schedule has been revised to expand the authority agencies have to apply previously approved schedules to electronic records; grant broader authority to agencies to dispose of hard copy records that have been converted to an electronic format; and provide disposition instructions for ad hoc printouts and for documentation associated with permanent electronic records. Additionally, because copies of system security records are now covered by GRS 24, item 5, a cross-reference has been provided for

item 11b to that effect. The items affected by the revisions to this GRS 20 schedule are 2, 3, 3.1, 11, and 16.

Electronic versions of most records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records:
 - a. Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records. **Superseded by GRS 3.1, items 010 (DAA-GRS-2013-0005-0006), 011 (DAA-GRS-2013-0005-0007), and 020 (DAA-GRS-2013-0005-0004)**
 - b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**
 - c. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**

2. ~~Input/Source Records:~~

- a. ~~Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.):~~

- (1) ~~Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format. **Rescinded by GRS Transmittal 23**~~
- (2) ~~Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion. **Rescinded by GRS Transmittal 23**~~
- (3) ~~Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations). **Rescinded by GRS Transmittal 23**~~
- (4) ~~Hard copy documents other than those covered by Items 2(a) (1)–(3).~~

~~Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later. **Superseded by GRS 4.3, items 010 (DAA-GRS-2013-0001-0001), 011 (DAA-GRS-2013-0001-0002), and 012 (DAA-GRS-2013-0001-0003)**~~

- b. ~~Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~
- c. ~~Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~
- d. ~~Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database. **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**~~

3. ~~Electronic Records That Replace Temporary Hard Copy Records:~~

~~Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)~~

- a. ~~Scanned images.~~ **Rescinded by GRS Transmittal 23**
- b. ~~Electronic formats other than scanned images:~~
 - (1) ~~Records covered by temporary items in the GRS other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files) -- or -- Records covered by temporary items in an agency-specific schedule that pertain to administrative housekeeping activities.~~ **Rescinded by GRS Transmittal 23**
 - (2) ~~Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files).~~ **Rescinded by GRS Transmittal 23**
 - (3) ~~Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings.~~ **Rescinded by GRS Transmittal 23**
 - (4) ~~Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records.~~ **Rescinded by GRS Transmittal 23**
 - (5) ~~Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4).~~ **Rescinded by GRS Transmittal 23**

3.1 ~~Electronic Records That Replace Permanent Hard Copy Records:~~

~~Electronic records that replace hard copy records approved as permanent in a previously approved schedule.~~
Rescinded by GRS Transmittal 23

4. ~~Data Files Consisting of Summarized Information:~~

~~Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.~~ **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

5. ~~Records Consisting of Extracted Information:~~

~~Electronic files consisting solely of records extracted from a single master file or database that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are produced as disclosure-free files to allow public access to the data; or produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.~~ **Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)**

6. ~~Print File:~~

~~Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports. Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)~~

7. ~~Technical Reformat File:~~

~~Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives. Superseded by GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)~~

8. ~~Backups of Files:~~

~~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 records scheduled for transfer to the National Archives. Superseded by GRS 3.2, item 050 (DAA-GRS-2013-0006-0007)~~
- b. ~~File identical to records authorized for disposal in a NARA-approved records schedule. Superseded by GRS 3.2, item 051 (DAA-GRS-2013-0006-0008)~~

9. ~~Finding Aids (or Indexes):~~

~~Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

10. ~~Special Purpose Programs:~~

~~Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. Superseded by GRS 3.1, item 012 (DAA-GRS-2013-0005-0008)~~

11. ~~Documentation:~~

- a. ~~Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records:~~
 - (1) ~~Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule. Superseded by GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)~~
 - (2) ~~Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule. Superseded by GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)~~

- b. ~~Copies of records relating to system security.~~ **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**

12. ~~Downloaded and Copied Data:~~

~~Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.~~

- a. ~~Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.~~ **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**
- b. ~~Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.~~ **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**
- c. ~~Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.~~ **Superseded by GRS 4.3, item 020 (DAA-GRS-2013-0001-0004)**

13. ~~Word Processing Files:~~

~~Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

14. ~~Electronic Mail Records:~~

~~Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for record keeping purposes.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

15. ~~Electronic Spreadsheets:~~

~~Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.~~

- a. ~~When used to produce hard copy that is maintained in organized files.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**
- b. ~~When maintained only in electronic form.~~ **Superseded by GRS 4.3, item 040 (DAA-GRS-2013-0001-0007)**

16. ~~Hard copy printouts created to meet ad hoc business needs~~

~~Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs. Excluded are printouts created to satisfy established reporting requirements (e.g., a statistical report produced quarterly in accordance with an agency directive).~~ **Superseded by GRS 4.3, item 030 (DAA-GRS-2013-0001-0005)**

GENERAL RECORDS SCHEDULE 21: Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA) Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, “Managing Audiovisual Records: An Instructional Guide” and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word “destroy” is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, “Recovery of Precious Metals.”

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

STILL PHOTOGRAPHY

1. Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency.
 Destroy when 1 year old. (N1-GRS-98-2, item 32)
2. Personnel Identification or Passport Photographs.
 Destroy when 5 years old or when superseded or obsolete, whichever is later. (N1-GRS-98-2, item 33)
3. Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency.
 Destroy 1 year after completion of training program. (N1-GRS-81-9, item I-3)
4. Reserved.

GRAPHIC ARTS

5. Viewgraphs.
 Destroy 1 year after use. (N1-GRS-98-2, item 34)

6. Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics.
Destroy when no longer needed for publication or reprinting. (N1-GRS-98-2, item 35)
7. Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.
Destroy when no longer needed for publication or reprinting. (N1-GRS-81-9, item II-3)
8. Line Copies of Graphs and Charts.
Destroy when no longer needed for publication or reprinting. (N1-GRS-98-2, item 36)

MOTION PICTURES

9. Films Acquired from Outside Sources for Personnel and Management Training.
Destroy 1 year after completion of training program. (N1-GRS-81-9, item III-1)
10. Reserved.
11. Routine Surveillance Footage.
Destroy when 6 months old. (N1-GRS-98-2, item 37)
12. Routine Scientific, Medical, or Engineering Footage.
Destroy when 2 years old. (N1-GRS-98-2, item 38)
13. Reserved.

VIDEO RECORDINGS

14. Programs Acquired from Outside Sources for Personnel and Management Training.
Destroy 1 year after completion of training program. (N1-GRS-81-9, item IV-1)
15. Reserved.
16. Rehearsal or Practice Tapes.
Destroy immediately. (N1-GRS-81-9, item IV-3)
17. Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency. (These include "role-play" sessions, management and supervisory instruction, etc.)
Destroy 1 year after completion of training program. (N1-GRS-81-9, item IV-4)
18. Routine Surveillance Recordings.
Destroy when 6 months old. (N1-GRS-98-2, item 39)

19. Routine Scientific, Medical, or Engineering Recordings.
Destroy when 2 years old. (N1-GRS-98-2, item 40)
20. Recordings that Document Routine Meetings and Award Presentations.
Destroy when 2 years old. (N1-GRS-98-2, item 41)
21. Reserved.

AUDIO (SOUND) RECORDINGS

22. Recordings of Meetings Made Exclusively for Note Taking or Transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. [See note after this item.]
Destroy immediately after use. (N1-GRS-81-9, item V-1)
[NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]
23. Dictation Belts or Tapes.
Destroy immediately after use. (N1-GRS-81-9, item V-2)
24. Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production.
Destroy immediately after use. (N1-GRS-81-9, item V-3)
25. Reserved.
26. Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis.
Destroy when 6 months old. (N1-GRS-98-2, item 42)
27. Reserved.

RELATED DOCUMENTATION

28. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records.
Dispose of according to the instructions covering the related audiovisual records. (N1-GRS-81-9, item VI-1)
29. ~~Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records.~~ **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**



GENERAL RECORDS SCHEDULE 23: Records Common to Most Offices within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

1. Office Administrative Files. [See note after this item.]

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Destroy when 2 years old. (N1-GRS-98-2 item 43)

[NOTE: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA). (N1-GRS-98-2 item 43 Note)]

2-4. Reserved.

5. Schedules of Daily Activities.

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

- a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. [See note after item 5a.]

Destroy or delete when 2 years old. (N1-GRS-87-19 item 5a)

[NOTE: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. (N1-GRS-87-19 item 5a Note)]

- b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Destroy or delete when no longer needed for convenience of reference. (N1-GRS-87-19 item 5b)

6. Suspense Files.

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

- a. A note or other reminder to take action.

Destroy after action is taken. (N1-GRS-80-8 item 3a)

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files. (N1-GRS-80-8 item 3b)

7. Transitory Files.

Records of short-term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:

- ~~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; **Bullet superseded by GRS 4.2, item 010 (DAA-GRS-2013-0007-0001)**~~
- Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;
- Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;
- Suspense and tickler files or “to-do” and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems). (N1-GRS-04-5, item 1)

8. ~~Tracking and Control Records:~~

~~Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**~~

9. ~~Finding Aids (or Indexes):~~

~~Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**~~

GENERAL RECORDS SCHEDULE 24: Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), “information technology” includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records.

1. ~~Oversight and Compliance Files:~~

~~Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities:~~

- a. ~~Performance measurements and benchmarks. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~
- b. ~~All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~

2. ~~IT Facility, Site Management, and Equipment Support Services Records:~~

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and 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. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

3. ~~IT Asset and Configuration Management Files:~~
- a. ~~Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~
 - b. ~~Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~
 - (1) ~~Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. **Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)**~~
 - (2) ~~Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~
4. ~~System Backups and Tape Library Records:~~
- a. ~~Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data:~~
 - (1) ~~Incremental backup tapes. **Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)**~~
 - (2) ~~Full backup tapes. **Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)**~~
 - b. ~~Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. **Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)**~~
5. ~~Files Related to Maintaining the Security of Systems and Data:~~
- a. ~~System Security Plans and Disaster Recovery Plans. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**~~
 - b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. **Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)**~~
6. ~~User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures:~~
- a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records. **Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)**~~

- b. ~~Routine systems, i.e., those not covered by item 6a.~~ **Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)**
7. ~~Computer Security Incident Handling, Reporting and Follow-up Records.~~ **Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)**
8. ~~IT Operations Records:~~
- a. ~~Workload schedules, run reports, and schedules of maintenance and support activities.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
- b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
- c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
9. ~~Financing of IT Resources and Services:~~
- a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
- b. ~~Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
- c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.~~ **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**
10. IT Customer Service Files.
- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.
- Destroy/delete 1 year after record is superseded or obsolete. (N1-GRS-03-1 item 10a)
- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.
- Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later. (N1-GRS-03-1 item 10b)

11. ~~IT Infrastructure Design and Implementation Files:~~

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) 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; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.~~

- a. ~~Records for projects that are not implemented:~~ **Superseded by GRS 3.1, item 010 (DAA- GRS-2013-0005-0006)**
- b. ~~Records for projects that are implemented:~~ **Superseded by GRS 3.1, item 010 (DAA- GRS-2013-0005-0006)**
- c. ~~Installation and testing records:~~ **Superseded by GRS 3.1, item 010 (DAA- GRS-2013-0005-0006)**

12. RESERVED.

13. ~~Public Key Infrastructure (PKI) Records:~~

- a. ~~PKI Administrative Records:~~
 - (1) ~~FBGA CAs.~~ **Now GRS 3.2, item 060**
 - (2) ~~Other (non-FBGA et. al.) CAs.~~ **Now GRS 3.2, item 061**
- b. ~~PKI Transaction-specific Records:~~ **Now GRS 3.2, item 062**

GENERAL RECORDS SCHEDULE 25: Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5

C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and

training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

1. ~~Ethics Program Implementation, Interpretation, Counseling, and Development Files:~~

~~Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics related regulations and directives. Including:~~

- ~~• Records documenting the review of proposed or established ethics related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.~~
- ~~• Determinations, including advice and counseling to individual employees, and supporting records.~~
- ~~• Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.~~
- a. ~~Records such as determinations regarding attendance at widely attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines. **Superseded by GRS 2.8, item 010 (DAA-GRS-2014-0005-0001)**~~
- b. ~~All other records. **Superseded by GRS 2.8, item 010 (DAA-GRS-2014-0005-0001)**~~

2. Financial Disclosure Reporting Files:

Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

- a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records:
 - (1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected. **Superseded by GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)**
 - (2) All other SF 278s. **Superseded by GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)**
- b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records:
 - (1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)**
 - (2) All other OGE Form 450s and OGE Optional Form 450-As. **Superseded by GRS 2.8, items 071 (DAA-GRS-2014-0005-0012) and 072 (DAA-GRS-2014-0005-0013)**
- c. Alternative or additional financial disclosure reports and related records:
 - (1) Reports for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 080 (DAA-GRS-2014-0005-0014)**
 - (2) All other alternative or additional financial disclosure reports. **Superseded by GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)**

3. Ethics Agreement Records:

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.
- Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.
- Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3). **Superseded by GRS 2.8, items 100 (DAA-GRS-2014-0005-0017) and 101 (DAA-GRS-2014-0005-0018)**

4. ~~Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files:~~

~~Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution. **Superseded by GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)**~~

5. ~~Non-Federally Funded Travel Files:~~

a. ~~Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. § 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties. **Superseded by GRS 2.8, item 030 (DAA-GRS-2014-0005-0003)**~~

b. ~~Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel. **Superseded by GRS 2.8, item 031 (DAA-GRS-2014-0005-0004)**~~

6. ~~Ethics Program Review Files:~~

~~Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling:~~

a. ~~OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~

b. ~~All other records produced during OGE program reviews, including notes and background materials. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~

7. ~~Annual Agency Ethics Program Questionnaire Files:~~

a. ~~Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~

b. ~~All other records related to responses to annual agency ethics program questionnaires. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~

8. ~~Ethics Program Employee Training and Education Files.~~

a. ~~Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.~~

Destroy when 6 years old. (N1-GRS-01-1 item 8a)

- b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 8b)

9. ~~Ethics Program Procedures Files:~~

~~Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes. Superseded by GRS 2.8, item 010 (DAA-GRS-2014-0005-0001)~~



GENERAL RECORDS SCHEDULE 26: Temporary Commissions, Boards, Councils and Committees

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term “commission” is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the Code of Federal Regulations (CFR) and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA’s transfer requirements for permanent records. See 36 CFR Sections: 1228.266 – Audiovisual Records; 1228.268 – Cartographic and Architectural Records; 1228.270 – Electronic Records; 1230.026 – Microform Records

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the National Archives in an approved electronic format.

1. Internal Agency Committees

a. Internal agency committees unrelated to an agency’s mission

Committees established by an agency for facilitative or operational purposes unrelated to the agency’s mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

Any files created and/or maintained by the committee

Destroy/delete when no longer needed for administrative purposes. (N1-GRS-04-1 item 1a)

b. Internal agency committees related to an agency’s mission

Committees established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the agency’s mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

Any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.

These records are potentially permanent and must be scheduled by submission of an SF 115 to NARA. (N1-GRS-04-1 item 1b)

2. ~~Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA).~~

~~[NOTE: The term “advisory committee” as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup~~

which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government.]

- a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as
- original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components
 - agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed
 - one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files
 - correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission
 - substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data)
 - questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically)
 - records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act
 - documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and
 - documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records. (Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002)

[NOTE: Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.]

- b. ~~Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as~~
- ~~• correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]~~
 - ~~• audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events~~
 - ~~• other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and~~
 - ~~• extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

~~[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred.]~~

~~[NOTE: Administrative records generated by an advisory committee — records relating to budget, personnel, supply or similar housekeeping or facilitation functions — may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support.]~~

c. ~~Web site records.E~~

- ~~(1) **Electronic version of web site(s). (Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005))**~~
- ~~(2) Design, management, and technical operation records. Rescinded by GRS Transmittal 24~~
- ~~(3) **Electronic version of content records duplicated in textual series of commission records. (Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

~~[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records.]~~

3. ~~Committee Records Not Maintained by the Sponsor or Secretariat~~

~~Copies of committee records, such as agendas, meeting minutes, final reports and related records~~

~~created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. **Rescinded by GRS Transmittal 24**~~

~~[NOTE: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~[NOTE: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.]~~

4. Committee Management Records

~~Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5U.S.C. Appendix 2). [See note after this item.] Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees:~~

~~Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer. **(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006))**~~

~~[NOTE: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.]~~

~~[NOTE: Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting a SF 115 to NARA.]~~



GENERAL RECORDS SCHEDULE 27: Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results

Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management. This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA.

1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[Note: Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

4. ~~Legal and Regulatory Compliance Records~~

~~Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. **Superseded by GRS 4.2, item 080 (DAA-GRS-2013-0007-0002)**~~

5. CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. CIO Subject and Office Records

Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 6)

[**Note:** Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere. (N1-GRS-04-4 item 6 Note)]

7. Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems.

Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old. (N1-GRS-04-4 item 7)

[**Note:** This item applies only to records of the CIO, not of the office’s subordinate staff. See GRS 23/5 for coverage of the latter. (N1-GRS-04-4 item 7 Note)]

Implementation Guide

ITEM TITLE	TYPES OF RECORDS
<p>1. Information Technology (IT) Program Planning Records</p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records.</p> <p>[Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]</p>
<p>2. Enterprise Architecture Records</p> <p>Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency’s baseline or target enterprise architecture (EA).</p> <p>[Note: An “iteration” would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.]</p> <p>[Note: This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.</p>

ITEM TITLE	TYPES OF RECORDS
<p>3. IT Capital Investment Records</p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency’s capital investment portfolio; and related clearance and review records.</p> <p>[Note: Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, “Financing of IT Resources and Services,” covers many such records.]</p>
<p>4. Legal and Regulatory Compliance Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Records of agency-wide compliance with Federal laws and regulations governing information resources management.</p>
<p>5. CIO Committee Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> <p>[Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]</p>
<p>6. CIO Subject and Office Records</p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above.</p> <p>[Note: Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, “Files Related to Maintaining the Security of Systems and Data.”]</p>
<p>7. Schedules of Daily Activities</p> <p>Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.</p>	<p>Official calendars, appointment books, schedules, logs, and diaries.</p> <p>[Note: This item applies only to records of the CIO, not of the office’s subordinate staff. See GRS 23/5 for coverage of the latter.]</p>



Frequently Asked Questions about General Records Schedule 27, Records of the Chief Information Officer

1. To whom does General Records Schedule 27 apply?

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

2. Does this schedule describe all of the records of Federal CIOs?

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

3. How does this schedule differ from GRS 20, Electronic Records, and GRS 24, Information Technology (IT) Operations and Management Records?

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

4. How does GRS 27/4, "Legal and Regulatory Compliance Records," differ from GRS 24/1, "Oversight and Compliance Files"?

GRS 27/4 covers CIO records that document an agency's compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office's or a system's compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

5. Does this schedule cover records related to IT security?

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, "Legal and Regulatory Compliance Records." However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, "Files Related to Maintaining the Security of Systems and Data." Records related to specific security breaches or incidents are covered by GRS 24/7, "Computer Security Incident Handling, Reporting and Follow-up Records."

6. Does this schedule cover system data?

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to the National Archives.

7. Do records have to be arranged in these categories?

No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

8. Is this schedule only for paper records?

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

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Spreadsheets	4.3	040
Systems usage files	3.2	030
System usage files	3.2	030
System security files	3.2	010
Test data	3.1	010,011,020
Test documentation	3.1	010,011,020
Update records	4.3	020
User identification files	3.2	030,031
Valid transaction files	4.3	020
Work files	4.3	020
Emergency Planning		
Case files	18	27
Correspondence	18	26
Operations tests	18	28
Employee Performance	1	23
Employee Records (see Personnel and also Payroll)		

	SCHEDULE	ITEM
Employee Transfer and Detail	1	14
Employee Training and Education (Ethics)	25	8
Engineering Drawings	17	8.9
Enterprise Architecture	27	2
Environment	11	10
Equal Employment Opportunity Complaints	1	25
Equipment	11	5d,8,9
Equipment Support Services (IT)	3.1	020
Erasable Media (see Electronic Records)		
Erroneous Release	14	36
Ethics Program		
Agreements	2.8	100,101
Conflict of interest violations	2.8	020
Financial disclosure reporting	2.8	060,061,070,071,072,080,081
Implementation and interpretation	2.8	010
Non-Friendly funded travel	2.8	030,031
Procedures	2.8	010
Program review	2.8	050
Questionnaires	2.8	040
Training and education	25	8
Expenditure Accounting		
Allotment	1.1	010
Correspondence	7	1
Ledgers	1.1	010
Posting and control	1.1	010
Facilities, Security		
Correspondence	18	8
Inspections and surveys	18	9,10
Investigation	18	11
Facsimile Machine Logs	3.1	011
Federal Activities Inventory Reform Act (FAIR)	3	18
Federal Advisory Committee Act	6.2	010,020,050
Federal Register, Documents Published in	16	13
Films		
Engineering	21	12
Scientific and medical	21	12
Surveillance	21	11
Training	21	9
Financial Disclosure Reporting	2.8	060,061,070,071,072,080,081
Financing of IT Resources and Services	3.1	020

	SCHEDULE	ITEM
Finding Aids		
Audiovisual	4.1	010
General	4.1	010
Information services	14	6
Electronic	4.1	010
Flextime Records (see Payroll)		
Follow-up Files	23	6
Forms	4.1	040
Foundation Information for Real Property Management (FIRM)	11	7
Freedom of Information Act Files		
Administrative	14	15
Appeals	14	12
Control	4.2	040
Erroneous release	4.2	060,061
Reports	4.2	070
Requests	4.2	020
Freight	9/1.1	2/010
Freight and Passenger Transportation Files	1.1	010,011
Garnishment System (GARNISH)	2	18c
Gasoline Sales Tickets	1.1	010
General Accounting Office		
Notices of exception	6	2
Site audit	1.1	010,011
Support documentation	6/1.1	9/010
Government Losses in Shipment Act	9	2
Grants	1.2	010,021
Graphic Arts (also see Audiovisual)	21	5-8
Guard		
Assignment	18	13
Facility checks	18	18
Service control	18	19
Logs and registers	18	20
Health Benefits Claims, Former Spouse	1	35
Health Programs, Civilian		
Dispensary logs	1	20
Employee medical folder	1	21
Health record card	1	19
Individual cases	1	21
Reports	1	22

	SCHEDULE		ITEM
Household Effects, Shipment of Housing	1.1		010
Applications	15		7
Assignment	15		5
Correspondence	15		1
Furnishings inventory	15		6
Lease	15		4
Maintenance and repair	15		2
Reports	15		3
Requests (EEO)	1		25e
Tenant	15		5a
Vacancy	15		5
Identification Credentials	11		4
Immigration and Naturalization Service I-9 Forms	1		10b
Implementation Files			
Ethics program	2.8		010
IT functions	3.1		010
Incentive Award Case Files	1		13
Indexes (see Finding Aids)			
Information Collection Budget	16		12
Information Resources Management			
Information collection budge	16		12
Systems studies	3.1		011
Triennial reviews	16		11
Information Services			
Acknowledgement files	4.1		010
Bibliographies	14		6
Correspondence	14/4.2		5/010
Erroneous release	4.2`		060,061
Freedom of information	14/4.2		14/020,040,070
Information retrieval system	3.1		012
Press service files	14		3
Privacy Act files	4.2		020,040,050,070,090
Project case files	14		4
Publications indexes & bibliographies	14		6
Requests	4.2		010
Information Technology			
Capital investment	27		3
Legal and regulatory compliance	4.2		080
Program planning	27		1

	SCHEDULE	ITEM
Site management	3.1	020
Information Technology Operations and Management		
Asset and configuration management	3.1	020,030
Authorizations	3.2	030,031
Computer security incidents	3.2	020
Customer service	24	10
Facility		
Equipment support	3.1	020
Site management	3.1	020
Financing	3.1	020
Infrastructure design and implementation	3.1	010
Operations	3.1	020
Oversight and compliance	3.1	040
Security of systems and data	3.2	010
System backups and tape library	3.2/4.1	040,041/010
User identification and authorization	3.2	030,031
Infrastructure Design (IT)	3.1	010
Injury and Illness, Occupational	1	31,35
Inspections		
Microform logs	4.1	020
Safety and Security		
Government-owned facilities	18	9
Privately-owned facilities	18	10
Internal Agency Committees	26	1
Internal Control Review	16	4
Interview	1	8
Inventory, equipment, and supplies	3	9
Investigative Files	18	11
Invitations		
Bid	1.1	010
Committee meetings	16	8b(2)
Invoices, Stores Accounting	1.1	040
Job Descriptions	1	7
Key Control, Security	18	16
Labor Management Relations	1	28
Leave	2/2.5	6-8/020,040
Donated	1	37
Ledgers		
Allotment	1.1	010
Cost report	8/1.1	7,040

	SCHEDULE		ITEM
Electronic files to produce	20	6	
General accounts	1.1	010	
Plant accounting	8	5	
Subsidiary	1.1	010	
Levy and Garnishment	2	18	
Losses in Shipment Act, Government	2	18	
Mail	9	2	
Administration	12	5g	
Certified	12	5a	
Control	12	5	
Delayed delivery report	12	5c	
Express	12	5a	
Insured	12	5a	
Loss report	12	5c,8	
Messenger service	12	1.6h	
Metered	12	7	
Overnight	12	5a	
Postal irregularities	12	8	
Private mail companies	12	5	
Receipt and routine	12	6a	
Receipts	12	6a,6f	
Registered mail ¹	12	5a,6b	
Stamps	12	6c,6e	
Statistical reports	12	6b,6d	
Mailing List	13	4	
Maintenance	11	1.5	
General aircraft maintenance	10	11	
Individual aircraft	10	12	
IT systems and data	3.2	010	
Management (see Administrative Management)			
Mandatory Review for Declassification			
Administrative files	4.2	030	
Appeals	4.2	020	
Control	4.2	040	
Reports	4.2	030	
Requests	4.2	020	
Maps (see Cartographic)			
Measurement Data, Electronic	4.3	020	
Medical Records	1	19-21	
Merit Promotion Case Files	1	32	

	SCHEDULE		ITEM
Messenger Service	12		1
Microform Inspection	4.1		020
Motion Pictures (also see Audiovisual)	21		
Motor Vehicle			
Accidents	10		5
Correspondence	10		1.7
Cost and expense data	10		3
Maintenance	10		2b
Operation	10		2a
Operators	10		7
Releases	10		6
Reports	10		4
National Defense Executive Reserve Cases	18		29
Nondisclosure Agreements (Classified Information)	4.3		021
Non-Federally Funded Travel	2.8		030,031
Notices	16		1
	4.1		010
Notification of Personnel Action	1		14
Notifications of Violations of Criminal Conflicts of Interest Statutes	2.8		020
Observational Data, Electronic	4.3		020
Occupational Injury and Illness	1		31,34
Office Records (CIO)	27		6
Official Personnel Folders	1		1,10
Operations Records (IT)	3.1		020
Overseas Employment	1		3
Oversight and Compliance (IT)	3.1		040
Parking Permits	11		10
Passes	11		4a,10
	18		12
Passports	9		5
Photographs	21		2
Password Files (IT User)	3.2		030,031
Pay and Payroll			
Allotment authorizations	2		15,16
Bonds			
Authorization	2		14
Purchase	2		14
Receipt and transmittal	2		14
Registration			14

	SCHEDULE	ITEM
Combined Federal Campaign	2	
Correction records	2	23
Direct deposit	2	17
Electronic fund transfer	2	17
Flextime records	2	7
Individual employee pay record	2	1
Leave application	2	6
Leave record	2.5	020,040
Levy and garnishment	2	18
Pay comparability	1	40
Payrolls (copy)	2	2
Reports		
Error	2	22a
Fiscal	2	22c
Management or workload	2	22b
Tax	2	13c
Retirement	2.5	010,011
Savings allotment authorizations	2	15b
Taxes	2	13
Thrift Savings Plan	2	16
Time and attendance reports	2	7,8
Union dues	2	15b
Wage survey	1	38
Performance Rating	1	23
Personal Injury	1	31
Personnel (Civilian)		
Adverse action	1	30b
Affirmative Action Plans	1	25h
Alternative dispute resolution	1	27
Application recore card	1	33e
Applications for employment	1	33k,33l,33m,33n
Appointments	1	4,41
Awards	1	12,13
Certificates of Eligibles	1	5,33g,33p
Certificaates requests control index	1	33q
Correspondence	1	3,4,17a,17c,33b,33c,33h
Counseling	1	26
Delegated agreements	1	33
Discrimination cases	1	25
Displaced employee program	1	33r,33s

	SCHEDULE	ITEM
Dispensary logs	1	20
Driver tests	10	7
Drug testing	1	36
Employee interviews	1	8
Employee medical folder	1	21
Employee record card	1	6
Eqaul Employment Opportunity	1	25
Evaluations	1	7c(2)
Examination announcement cases	1	33f
Examinations	1	33d,33i
Financial disclosure reports	1	24
Grievance	1	30a
Handicapped individuals	1	41
Health benefits claims, denied	1	35
Health records cases	1	21
Health records, individual	1	19,21
Health unit control files	1	20
Incentive awards		
Cases	1	12a
Reports	1	13
Informational files	1	18
Injury and illness	1	31.34
Interviews	1	8
Labor-managment relations	1	28
Leave	2/2.5	6,7,8/020,040
Letters of reference	1	10
Motor vehicle operations	10	7
Notification of Personnel Action	1	14
Official Personnel Folder	1	1,10
Pay comparability	1	41
Performance ratings	1	23
Personnel security case files	18	22
Position classification		
Appeals	1	7d
Standards	1	7a(1)
Survey	1	7c
Position descriptions	1	7b
Position identification strips	1	11
Reduction-In-Force (RIF) records	1/2.5	30b/011
Registers of Eligibles	1	33g

	SCHEDULE	ITEM
Reports		
Affirmative action	1	25h(4)
Audits of delegated examining operations	1	33t
Statistical	1	16,22,25f
Retention registers	2.5	010,011
Retirement assistance	2.5	020
Retirement (payroll)	2	28
Security clearance	18	22,23
Security violation	18	24
Service record card	1	2
Standards of conduct	1	27
Temporary records	1	10
Test material - lost/exposed	1	33j
Test material stock control	1	33d
Time and attendance	22.5	6-8/020,040
Training	1	29
Vacancy announcements	1	32
Personnel Security		
Case files	18	22
Correspondence	18	21
Status	18	23
Violations	18	24
Photographs (also see Audiovisual)	21	1-4
Plant Accounting		
Account cards	1.1	040
Correspondence	8	1
Ledgers	1.1	040
Police Records	18	14
Position Descriptions	1	7b
Postal Irregularities	12	8
Postal Records	12	5.7
Press Service	14	3
Printing		
Correspondence	13	1
Mailing lists	13	4
Management	13	6
Planning	13	2b
Projects	13	2a
Reports to Congress	13	5
Registers	13	3

	SCHEDULE	ITEM
Printouts		
Privacy Act	4.3	030
Administrative	14126	
Amendment cases	4.2	090
Control records	4.2	040
Disclosure	4.2	050
Erroneous release	4.2	060,061
Reports	4.2	070
Requests	4.2	020
Procurement		
Bids and proposals	1.1	010
Bond and surety	1.1	010,011
Contract appeals	3	15
Contractors' payrolls	1.1	050
Contracts	1.1	010,011
Correspondence	3	2
Federal Procurement Data System	1.1	010
Inventories	3	9
Purchase orders	1.1	010,011
Real property acquisition	3	1
Requisitions	3/1.1	8/010
Small and disadvantaged business utilization	3	17
Supply management	3	4
Survey, reports of	3	9c
Tax exemption certificates	1.1	010
Telephone statements	1.1	010
Production Files (Audiovisual)	21	28
Profiles (IT User)	3.2	030,031
Program Review (Ethics)	2.8	050
Employee training and education files	25	8
Procedure files	2.8	010
Questionnaire files	2.8	040
Promotion, Merit	1	3,32
Property Disposal		
Correspondence	4	1
Excess personal property reports	4	2
Real property disposal	4	4
Surplus property	1.1	010
Proposals (see Bids and Proposals Files)		
Property Pass	18	12

	SCHEDULE	ITEM
Publications, Electronic	4.3	031
Purchase Orders	1.1	010,011
Recordings		
Sound (audio)	21	22-24,26
Video	21	14,16-20
Records Disposition Files	4.1	020
Records Holdings Files	16	4
Records Management Files	4.1	020,030
Reduction-In-Force (RIF) Records (see Personnel)		
Referrals and Notifications of Violations of Criminal Conflicts of Interest Statutes	2.8	020
Regulatory Compliance Records	4.2	080
Reports		
Accident, motor vehicle	10	5
Budget	5	3
Building space and maintenance	11	2b,6,8,10,13
Communications	12	2b
Computer security incident handling	3.2	020
Control Files	26	6
Cost accounting	1.1	040
Electronic files to produce	4.3	031
Financial disclosure	2.8	060,061,070,071,072,080,081
Freedom of Information	4.2	070
Health programs, civilian	1	22
Housing	15	3
Incentive award	1	13
Joint committee on printing	13	5a
Losses in shipment act, government	9	2
Mail	12	5c,6b,6d,7,8
Motor vehicle	10	4
Pay and payroll	2/2.5	22/010,011
Personnel	1	13,16,22,25f,25h(4),33q
Privacy Act	4.2	070
Property disposal	4	2
Security (facility)	18	18
Space and maintenance	11	2,6,8,10,13
Statistical		
Communications	12	2c
Cost accounting	8/1.1	7/040
Health	1	22

	SCHEDULE		ITEM
Mail	12	6b,6d	
Payroll	2	22	
Personnel	1	16	
Surplus property	4	2	
Requisitions			
Bindings	13	2	
Control registers	13	2	
Duplication	13	2	
Housing maintenance and repair	15	2b	
Non-personal	1.1	010	
Printing	13	2a	
Procurement	3/1.1	8/010.011	
Public Printer	1.1	010	
Stamps	12	6c	
Supplies and equipment	3	8	
Retirement	2.5	010,011	
Assistance	2.5	020	
Safety and Security Inspections	18	9,10	
Schedules of Daily Activities	23	5	
Scripts	21	28	
Security and Protective Services			
Correspondence	18	8	
Guard assignment and strength	18	13	
Guard force facility checks	18	18	
Guard log and registers	18	20	
Guard service control	18	19	
Investigations	18	11	
Key accountability	18	16	
Lost or Stolen property	18	15	
Police files	18	14	
Property pass files	18	12	
Survey and inspection	18	9,10	
Visitor control files	18	17	
Security Incident Handling (IT)	3.2	020	
Security of Systems and Data (IT)	3.2	010	
Selective Placement	1	5	
Shortage and Demurrage Reports	1.1	010	
Site Audit Records	1.1	010,011	
	2	1	

	SCHEDULE	ITEM
Small and disadvantaged business utilization (see Procurement)		
Software	3.1	012
Sound Recordings (also see Audiovisual)	21	22-24, 26
Space and Maintenance		
Allocation and utilization	11	2
Building plans	11	2
Correspondence	11	1,2b
Credentials	11	4,13
Directory service listings	11	3
Maintenance and repair	11	5,6,8,9,12,13,15
Specifications, Real Property	4	4
Spreadsheets	4.3	040
Statement of Employment and Financial Interest	1	24b
Statistical Files		
Extracted data	4.3	031
Summarized data	4.3	031
Still Pictures (also see Audiovisual)	21	1-4
Stores Accounting		
Correspondence	8	1
Invoices	1.1	040
Returns and reports	1.1	040
Work papers	1.1	040
Succession Planning Resource Center System (SPRC)	1	45
Suggestions, Employee	1	12a(1)
Supply		
Inventory	3	9
Requirements	3	4
Requisitions	3	8
Surety Bond Files	6	6
Surplus Property		
Correspondence	4	1
Personal property	1.1	010
Real property	4	4
Reports	4	2
Suspense Files	23	6
System Backups and Tape Libraries	3.2/4.1	040,041/010
Tax Exemption Certificates	1.1	010
Tax Files	2	13
Telecommunications	12/1.1	2,3/011

	SCHEDULE		ITEM
Telegrams	6	9	
Telephone			
Statements and toll slips	3	10	
(See Also:)	1.1	01	
Use	12	4	
Temporary Commissions, Boards, Councils and Committees			
Day-to-day activities	6.2	050	
Establishment of	6.2	010,020	
Management	6.2	040,050,060	
Web site records	6.2	010,050	
Thrift Savings Plan	2	16	
Time and Attendance	2/2.5	6-8/020,040	
Title Papers	3	1	
Total Evaluation Performance System (TEPS)	1	23a(6)	
Tracking Files (see Control Records)			
Training Records	1	29	
Transit Certificates	1.1	010	
Transitory Files	23	7	
Transportation			
Accountability	9	4	
Bills of Lading	1.1	010	
Correspondence	9	4	
Freight records	1.1	010	
Lost or damaged shipment	9	2	
Subsidies	9	7	
Travel			
Accountability	9	4	
Authorization	1.1	010	
Correspondence	9	4	
Ethics related	25	5	
GovTrip/Concur	1.1	010	
Orders	1.1	010,011	
Passports	9	5	
Reimbursement	1.1	010	
Requests	1.1	010	
TRAS	6	1c	
Vouchers	1.1	010,011	
User Identification, Profiles, Authorizations, and Password Files	3.2	030,031	
U.S. Postal Service Records	12	5	

	SCHEDULE		ITEM
U.S. Saving Bonds	12		5
Payroll savings	2		14
Receipt and transmittal	2		14
Registration	2		14
Utilities	11		16
Vacancy Announcement	1		32
Video Recordings (see also Audiovisual)	21		14,16-20
Viewgraphs	21		5
Violations (Ethics)	2.8		020
Visitors' Passes	11		4
Vouchers			
Communications	12/1.1		2d/011
General	1.1		011,011
Passenger transportation	1.1		010
Wage Survey	1		38
Waiver of Claims	6		1
Work Papers			
Budget	5		2
Stores accounting	1.1		040



GRS Crosswalk Document

January
2016

Old-to-new crosswalk covering the entire old GRS. The GRS is issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the Federal Government.

For use with IRS Document 12829



OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	1a	OPFs -Transferred Employees	To receiving agency	No change		
1	1b	OPFs - Separated Employees	65 years	No change		
1	2a	Service Record Cards - 1947 and earlier	60 years	No change		
1	2b	Service Record Cards - 1948 and later	3 years	No change		
1	3	Personnel Correspondence Files	3 years	No change		
1	4a	Offers of Employment Files – Accepted	When appointment is effective	No change		
1	4b1	Offers of Employment Files - Declined (cert. of Eligibles)	Return to OPM	No change		
1	4b2	Offers of Employment Files - Declined (temp or excepted)	File with application	No change		
1	4b3	Offers of Employment Files - Declined (all others)	Destroy immediately	No change		
1	5	Certificate of Eligibles Files	2 years	No change		
1	6	Employee record cards	Separation of employee	No change		
1	7a1	Position Classification Files - Standards	Superseded or obsolete	No change		
1	7a2a	Position Classification Files - Standards development: case	5 years	No change		
1	7a2b	Position Classification Files - Standards development: review	2 years	No change		
1	7b	Position Classification Files - PDs	2 years	No change		
1	7c1	Position Classification Files - Classification survey reports	3 years	No change		
1	7c2	Position Classification Files - Inspections and audits	Superseded or obsolete	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	7d1	Position Classification Files – Classification appeals	3 years	No change		
1	7d2	Position Classification Files - Cert. of classification	When position is abolished	No change		
1	8	Interview Records	6 months	No change		
1	9	Performance Rating Board case files	1 year	No change		
1	10a	Temporary individual employee records - Left side of OPF	Superseded or obsolete	No change		
1	10b	Temporary individual employee records – INS form I-9	3 years	No change		
1	11	Position ID strips	Superseded or obsolete	No change		
1	12a1	Employee Awards Files - General within agency	2 years	No change		
1	12a2	Employee Awards Files - General outside of agency	2 years	No change		
1	12b	Employee Awards Files - Length of service/sick leave	1 year	No change		
1	12c	Employee Awards Files - Letters of commendation	2 years	No change		
1	12d	Employee Awards Files - Lists/indexes to award nominations	Superseded or obsolete	No change		
1	13	Incentive awards	3 years	No change		
1	14a	Notifications of Personnel Actions (SF-50) - Chron file copies in pers offices	2 years	No change		
1	14b	Notifications of Personnel Actions (SF-50) – All other copies in pers offices	1 year	No change		
1	15	Does not exist		No change		
1	16	Personnel Operations statistical reports	2 years	No change		
1	17a	Correspondence and forms - Pending personnel actions	Immediate	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	17b1	Retention registers and related records used to effect reduction-in-force actions	2 years	2.5	011	Destroy 2 year after date of program closure but longer retention is authorized if required for business use.
1	17b2	Retention registers and related records from which no reduction-in-force actions have been taken and related records	Superseded or obsolete	2.5	010	Destroy when no longer required for business use.
1	17c	All other correspondence and forms	6 months	No change		
1	18a	Supervisors' Personnel Files	Superseded or obsolete or 1 year	No change		
1	18b	Duplicates of OPF material	6 months	No change		
1	19	Non-occupational health records	6 years	No change		
1	20a	Health Unit Control Files - Logs of visitors, summarized on statistical reports	3 months	No change		
1	20b	Health Unit Control Files - Logs not summarized	2 years	No change		
1	21a1	Employee Medical Folder (EMF) - Long-term transferred employees	See 5 CFR Part 293 Subpart E	No change		
1	21a2	Employee Medical Folder (EMF) - Long-term separated employees	75 years or 60 years or 30 years	No change		
1	21b	Employee Medical Folder (EMF) - Temp EMF records	1 year	No change		
1	21c	Employee Medical Folder (EMF) – Individual employee health file pre-EMF system	60 years	No change		
1	22	Statistical summaries re health	2 years	No change		
1	23a1	Employee Performance File System Records -Non-SES Employees - Unacceptable performance	1 year	No change		
1	23a2	Employee Performance File System Records -Non-SES Employees - Records superseded thru admin or judicial procedure	Superseded	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	23a3a	Employee Performance File System Records -Non-SES Employees - Performance Related Records Pertaining to a Former Employee - Latest rating	To gaining agency or 4 years	No change		
1	23a3b	Employee Performance File System Records -Non-SES Employees - Performance Related Records Pertaining to a Former Employee - All other performance plans and ratings	4 years	No change		
1	23a4	Employee Performance File System Records - Non-SES Employees - All other performance appraisal records	4 years	No change		
1	23a5	Employee Performance File System Records -Non-SES Employees - Supporting documents	4 years	No change		
1	23b1	Employee Performance File System Records - SES appointees - SES records superseded thru admin or judicial procedure	Superseded	No change		
1	23b2a	Employee Performance File System Records -SES appointees -Performance-related records pertaining to a former SES appointee - SES latest rating	To gaining agency or 5 years	No change		
1	23b2b	Employee Performance File System Records -SES appointees -Performance-related records pertaining to a former SES appointee - SES all other plans/ratings	5 years	No change		
1	23b3	Employee Performance File System Records -SES all other performance appraisals	5 years	No change		
1	23b4	Employee Performance File System Records -SES appointees -SES supporting documents	5 years	No change		

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	24a	Reasonable Accommodation Request Records – General	3 years	No change		
1	24b	Reasonable Accommodation Request Records – Employee case files	3 years	No change		
1	24c	Reasonable Accommodation Request Records -Supplemental files	3 years	No change		
1	24d	Reasonable Accommodation Request Records– Tracking system	3 years	No change		
1	25a	EEO Records - Discrimination complaints	4 years	No change		
1	25b	EEO Records - Duplicates of above	1 year	No change		
1	25c1	EEO Records - Prelim/bkgd files	2 years	No change		
1	25c2	EEO Records - Bkgd to complaints that don't become official discrimination cases	2 years	No change		
1	25d1	EEO Records - Compliance reviews re contractor practices	7 years	No change		
1	25d2	EEO Records - Compliance reports	3 years	No change		
1	25e	EEO Records - Employee housing requests	1 year	No change		
1	25f	EEO Records - Employment statistics re race/sex	5 years	No change		
1	25g	EEO Records - EEO general	3 years	No change		
1	25h1	EEO Records - Affirmative Action Plans:consolidated for whole agency	5 years	No change		
1	25h2	EEO Records - Feeder plans	5 years	No change		
1	25h3	EEO Records - On-site review of AAP	5 years	No change		
1	25h4	EEO Records - Agency copy of AAP annual rept	5 years	No change		
1	26a	Personnel Counseling Records – Counseling files	3 years	No change		
1	26b	Personnel Counseling Records - Alcohol and drug abuse program	3 years	No change		

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	27a	Alternative Dispute Resolution (ADR) Files - General files	3 years	No change		
1	27b	Alternative Dispute Resolution (ADR) Files -Case files	3 years	No change		
1	28a1	Labor Management Relations Records -General and case files, office of record	5 years	No change		
1	28a2	Labor Management Relations Records - All other offices	Superseded or obsolete	No change		
1	28b	Labor Management Relations Records -Arbitration general and case	5 years	No change		
1	29a1	Training Records - General in-house, excluding curriculum	5 years	No change		
1	29a2	Training Records - Background	3 years	No change		
1	29b	Training Records - Training by outside opportunities	5 years	No change		
1	30a	Administrative Grievance Disciplinary & Adverse Action Files - Admin Grievance	4 to 7 years	No change		
1	30b	Administrative Grievance Disciplinary & Adverse Action Files Adverse & performance based actions	4 to 7 years	No change		
1	31	Personal Injury Files	3 years	No change		
1	32	Merit Promotion Case Files	2 years or OPM audit	No change		
1	33a	Examining and Certification Records - Delegated agreements	3 years	No change		
1	33b	Examining and Certification Records – General correspondence	1 year	No change		
1	33c	Examining and Certification Records – Change of address/status notes from Eligibles	90 days	No change		
1	33d	Examining and Certification Records – Test material stock control	Superseded or obsolete	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	33e	Examining and Certification Records -Application record card(OPM 5000A)	90 days	No change		
1	33f	Examining and Certification Records -Examination announcements	2 years	No change		
1	33g	Examining and Certification Records – Register of Eligibles(OPM 5001-C)	2 years	No change		
1	33h	Examining and Certification Records – Letters denying eligibility (OPM 4896)	1 year	No change		
1	33i	Examining and Certification Records - Test answer sheets	6 months	No change		
1	33j	Examining and Certification Records -Lost/exposed test material	5 years	No change		
1	33k	Examining and Certification Records -Cancelled or ineligible applications	1 year	No change		
1	33l1	Examining and Certification Records - Eligible applications (OF 612 etc.) on active register	90 days	No change		
1	33l2	Examining and Certification Records - Eligible applications (OF 612 etc.) on inactive register	1 year	No change		
1	33m	Examining and Certification Records - Ineligible applications for positions filled by case	2 years	No change		
1	33n	Examining and Certification Records - Eligible applications for positions filled by case	2 years	No change		
1	33o	Examining and Certification Records - Request for prior approval of pers actions (SF 59 OPM 648)	1 year	No change		
1	33p	Examining and Certification Records -Certificates (SF 39 SF39A)	2 years	No change		
1	33q	Examining and Certification Records -Certification request control index	2 years	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	33r	Examining and Certification Records -Interagency Placement Program	Termination of eligibility	No change		
1	33s	Examining and Certification Records - DEP control cards	2 years	No change		
1	33t	Examining and Certification Records - Audit reports	3 years	No change		
1	34	Occupational injury/illness Files	5 years	No change		
1	35a	Denied health benefits requests under spouse equity - Not appealed	3 years	No change		
1	35b1	Denied health benefits requests under spouse equity -Appealed--successful	Create enrollment file (see note)	No change		
1	35b2	Denied health benefits requests under spouse equity -Appealed--unsuccessful	3 years	No change		
1	36a	Federal Workplace Drug Testing Program Files -Test plans/procedures	3 years	No change		
1	36b	Federal Workplace Drug Testing Program Files -Employee acknowledgement of notice that drug-testing may be necessary in a position	Employee separation	No change		
1	36c	Federal Workplace Drug Testing Program Files -Selection/scheduling	3 years	No change		
1	36d1	Federal Workplace Drug Testing Program Files -Collection/handling of specimens record books	3 years	No change		
1	36d2	Federal Workplace Drug Testing Program Files - Collection/handling of specimens chain of custody	3 years	No change		
1	36e1a	Federal Workplace Drug Testing Program Files- Test results: positive: employees	3 years or employee separation	No change		

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
1	36e1b	Federal Workplace Drug Testing Program Files- Test results: positive: not employees	3 years	No change		
1	36e2	Federal Workplace Drug Testing Program Files- Test results:negative	3 years	No change		
1	37	Donated leave Program Case Files	1 year	No change		
1	38	Wage survey files	Completion of two more surveys	No change		
1	39	Retirement assistance files	1 year	2.5	020	Destroy 1 year after date of separation or transfer but longer retention is authorized if required for business use
1	40	Handicapped Individuals Appointment Case Files	5 years	No change		
1	41	Pay comparability records	3 years	No change		
1	42a	Alternative Worksite Records - Approved	1 year	No change		
1	42b	Alternative Worksite Records - Unapproved	1 year	No change		
1	42c	Alternative Worksite Records - Forms	1 year	No change		
2	1a	Individual Employee Pay Record - Database version	Update regularly	No change		
2	1b	Individual Employee Pay Record - Individual Pay Record non- electronic	56 years	No change		
2	2	Noncurrent Payroll Files	15 years	No change		
2	3	Does not exist		N/A		
2	4	Does not exist		N/A		
2	5	Does not exist		N/A		
2	6a	Leave Application Files - If employee initials time card	End of following pay period	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
2	6b	Leave Application Files - If employee has not initialed time card	3 years or GAO audit	No change		
2	7	Time and Attendance Source Records	6 years or GAO audit	No change		
2	8	Time and Attendance Input Records	6 years or GAO audit	No change		
2	9a	Leave record: Record of employee leave, such as SF 1150, prepared upon transfer or separation	File on right [sic] side of OPF	2.5	040	File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.
2	9b	Leave record: Creating agency copy when maintained	3 years	2.5	020	Destroy 1 year after date of separation or transfer but longer retention is authorized if required for business use.
2	10	Does not exist	N/A			
2	11	Does not exist	N/A			
2	12	Does not exist	N/A			
2	13a	Tax Files - W-4s	4 years	No change		
2	13b	Tax Files - Agency copy of W-2s	4 years	No change		
2	13c	Tax Files - Agency copy of W-3s etc.	4 years	No change		
2	14a	Saving Bond Purchase Files - Authorization for purchase and Request for Change	Separation of employee	No change		
2	14b	Saving Bond Purchase Files - Bond registration files	4 months	No change		
2	14c	Saving Bond Purchase Files - Bond receipt and transmittal files	4 months	No change		
2	15a	Combined Federal Campaign and Other Allotment Authorizations - Authorization for individual allotment	3 years or GAO audit	No change		
2	15b	Combined Federal Campaign and Other Allotment Authorizations - Other authorizations	3 years or GAO audit	No change		

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
2	16	Thrift Savings Plan Election Form	Separation of employee or superseded	No change		
2	17	Direct Deposit Sign-up Form	Separation of employee or superseded	No change		
2	18	Levy and Garnishment Files	3 years	No change		
2	19	Does not exist		N/A		
2	20	Does not exist		N/A		
2	21	Does not exist		N/A		
2	22a	Payroll System Reports - Error reports etc.	2 years	No change		
2	22b	Payroll System Reports - Reports and data used for workload and personnel mgmt.	2 years	No change		
2	22c	Payroll System Reports - Reports providing fiscal info	3 years or GAO audit	No change		
2	23a	Payroll Change Files - Copies subject to GAO audit		3 years or GAO audit	No change	
2	23b	Payroll Change Files - All other copies	1 month	No change		
2	24	Payroll Correspondence	2 years	No change		
2	25	Does not exist		N/A		
2	26	Does not exist		N/A		
2	27	Does not exist		N/A		
3	1a	Real Property Files - Records relating to property acquired after December 31 1920 other than abstract or certificate of title	10 years after sale	No change		
3	1b	Real Property Files - Abstract or certificate of title	Transfer to purchaser	No change		
3	2	General Correspondence Files	2 years	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
3	3a1a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 - Transactions exceeding simplified acquisition threshold and construction contracts exceeding \$2,000	6 years, 3 months	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
3	3a1b	Routine Procurement Files - Procurement or purchase organization copy and related papers -Transaction dated on or after July 3, 1995 - Transactions below simplified acquisition threshold and constructions contracts at or below \$2,000	3 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
3	3a2a	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000	6 years, 3 months	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
3	3a2b	Routine Procurement Files - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995 - Transactions that utilize small purchase procedures and all construction contracts under \$2,000	3 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
3	3b	Routine Procurement Files - Obligation copy	When funds are obligated	Rescinded		
3	3c	Routine Procurement Files - Other copies	Upon termination	1.1	011	Destroy when business use ceases.

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
3	3d	Routine Procurement Files - Data submitted to FPDS	5 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use
3	4a	Supply Management Files - Copies received from other units	2 years	No change		
3	4b	Supply Management Files - Copies in other reporting units and related working documents	1 year	No change		
4	1	Property Disposal Correspondence Files	2 years	No change		
4	2	Excess Personal Property Reports	3 years	No change		
4	3a	Surplus Property Case Files - more than \$25,000	6 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
4	3b	Surplus Property Case Files - \$25,000 or less	3 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
4	4	Real Property Files	Transfer to new owner	No change		
5	1	Budget Correspondence	2 years	No change		
5	2	Budget Background Records	1 year	No change		
5	3a	Budget Reports Files - Annual report	5 years	No change		
5	3b	Budget Reports Files - All other reports	3 years	No change		
5	4	Budget Apportionment Files	2 years	No change		
6	1a	Accountable Officers' Files - Originals	6 years, 3 months	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
6	1b	Accountable Officers' Files - Memorandum or extra copies	1 year	1.1	011	Destroy when business use ceases.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
6	2	GAO Exceptions Files	1 year	Rescinded		
6	3a	Certificates Settlement Files - covering closed account settlements, etc.	2 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
6	3b	Certificates Settlement Files - covering periodic settlements	Receipt of subsequent certificate	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
6	4	General Fund Files	3 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
6	5a	Accounting Administrative Files - For workload and personnel management	2 years	No change		
6	5b	Accounting Administrative Files - All other files	3 years	No change		
6	6a1	Federal Personnel Surety Bond Files - Official copies - before 1/1/1956	15 years	Rescinded		
6	6a2	Federal Personnel Surety Bond Files - Official copies - after 12/31/1955	15 years	Rescinded		
6	6b	Federal Personnel Surety Bond Files - Other	When bond becomes inactive	Rescinded		
6	7	Gasoline Sales Tickets	3 years or GAO audit	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
6	8	Telephone Toll Tickets	3 years or GAO audit		1.1	010
6	9	Telegrams	3 years or GAO audit	Rescinded		
6	10a	Administrative Claims Files - Claims against the US	6 years, 3 months	No change		
6	10b1	Administrative Claims Files - Claims by the US - Paid in full		6 years, 3 months	No change	

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
6	10b2a	Administrative Claims Files - Claims by the US - Collection action terminated - right to collect not extended	10 years, 3 months	No change		
6	10b2b	Administrative Claims Files - Claims by the US - Collection action terminated - entitled to additional time	3 months after litigation period	No change		
6	10b3	Administrative Claims Files - Claims by US - not owed to US	6 years, 3 months	No change		
6	10c	Administrative Claims Files - affected by court order, etc.	6 years, 3 months or end of litigation	No change		
6	11a	Waiver of Claims Files - Approved waivers	6 years, 3 months	No change		
6	11b	Waiver of Claims Files - Denied waivers	With claims in 10b/10c options	No change		
7	1	Expenditures Accounting General Correspondence and Subject Files	2 years	No change		
7	2	General Accounting Ledgers	6 years, 3 months	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
7	3	Appropriation Allotment Files	6 years, 3 months	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
7	4a	Expenditure Accounting Posting and Control Files - Originals	3 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
7	4b	Expenditure Accounting Posting and Control Files - Copies	2 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
8	1	Plant, Cost, and Stores General Correspondence Files	2 years	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
8	2	Stores Invoice Files	3 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	3	Stores Accounting Files	3 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	4	Stores Accounting Background Files	2 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	5	Plant Accounting Files	3 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	6a	Cost Accounting Reports - Copies in units receiving reports	3 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	6b	Cost Accounting Reports - Copies in reporting units and related work papers	3 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	7a	Cost Report Data Files - Ledgers and forms	3 years	1.1	040	Destroy when 3 years old, but longer retention is authorized if required for business use.
8	7b1	Cost Report Data Files - Automated records - detail cards	6 months	Rescinded		
8	7b2	Cost Report Data Files - Automated records - summary cards	6 months	Rescinded		
8	7b3	Cost Report Data Files - Tabulations	1 year	Rescinded		
9	1a	Commercial Freight and Passenger Transportation Files - Original vouchers	6 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
9	1b	Commercial Freight and Passenger Transportation Files - Exclusion to 1a	10 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
9	1c	Commercial Freight and Passenger Transportation Files - Issuing office copies	6 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
9	1d	Commercial Freight and Passenger Transportation Files - Obligation copy	When funds are obligated	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
9	1e	Commercial Freight and Passenger Transportation Files -Unused ticket redemption forms	3 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
9	2	Lost or Damaged Shipment Files	6 years	No change		
9	3a	Noncommercial, Reimbursable Travel Files - Travel administrative office files	6 years	1.1	010	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
9	3b	Noncommercial, Reimbursable Travel Files - Obligation copies	When funds are obligated	1.1	011	Destroy when business use ceases.
9	4a	General Travel and Transportation Files - Admin records	2 years	No change		
9	4b	General Travel and Transportation Files -Accountability Records	1 year	No change		
9	5a	Records Relating to Official Passports - Application files	3 years	No change		
9	5b	Records Relating to Official Passports - Annual reports	1 year	No change		
9	5c	Records Relating to Official Passports - Passport registers	Superseded or obsolete	No change		
9	6	Does not exist		N/A		
9	7	Federal Employee Transportation Subsidy Records	3 years	No change		
10	1	Motor Vehicle Correspondence Files	2 years	No change		
10	2a	Motor Vehicle Operating and Maintenance Files - Operating records	3 months	No change		
10	2b	Motor Vehicle Operating and Maintenance Files -Maintenance records	1 year	No change		
10	3	Motor Vehicle Cost Files	3 years	No change		
10	4	Motor Vehicle Report Files	3 years	No change		
10	5	Motor Vehicle Accident Files	6 years	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
10	6	Motor Vehicle Release Files	4 years	No change		
10	7	Motor Vehicle Operator Files	3 years	No change		
10	8	Does not exist		N/A		
10	9	Routine Aircraft Operations	2 years	No change		
10	10	Logistical Support for Flight Operations	6 years or superseded	No change		
10	11a	General Aircraft Maintenance and Modification Records -Recordkeeping copies of maintenance manuals for unique or customized aircraft	Permanent	No change		
10	11b	General Aircraft Maintenance and Modification Records - All other records		6 years or superseded or obsolete	No change	
10	12	Individual Aircraft Maintenance and Airframe Modification Records	6 years	No change		
10	13	Records Required for Accident/Incident	Reports	1 year	No change	
11	1	Space and Maintenance General Correspondence Files	2 years	No change		
11	2a	Agency Space Files - Building plan files, etc.	2 years	No change		
11	2b1	Agency Space Files - Correspondence and reports - Reports to GSA	2 years	No change		
11	2b2	Agency Space Files - Copies	1 year	No change		
11	3	Directory Service Files	2 months	No change		
11	4a	Credentials Files - Identification credentials	3 months	No change		
11	4b	Credentials Files - Receipts, indexes, listings, etc.	After everything is "accounted for"	No change		
11	5	Building and Equipment Service Files	3 months	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
12	1	Messenger Service Files	2 months	No change		
12	2a	Communication General Files – Corres. re: internal admin and operation	2 years	No change		
12	2b	Communication General Files - Telecommunications general files	3 years	No change		
12	2c	Communication General Files -Telecommunications statistical reports	1 year	No change		
12	2d1	Communication General Files -Telecommunication voucher files - reference copies	1 year	1.1	011	Destroy when business use ceases.
12	2d2	Communication General Files -Telecommunication voucher files - Records relating to installation, etc.	1 year after audit or 3 years	No change		
12	2e	Communication General Files - Copies of agreements	2 years	No change		
12	3a	Telecommunications Operational Files -Message registers, etc.	6 months	No change		
12	3b	Telecommunications Operational Files - Copies of incoming/outgoing messages	2 months	No change		
12	4	Telephone Use (Call Detail) Records	3 years	No change		
12	5a	Post Office and Private Mail Company Records- re:incoming/outgoing mail	1 year	No change		
12	5b	Post Office and Private Mail Company Records- Application for registration and certification of declared value mail	1 year	No change		
12	5c	Post Office and Private Mail Company Records- Report of loss, etc.	1 year	No change		
12	6a	Mail and Delivery Service Control Files -Records of receipt and routing	1 year	No change		
12	6b	Mail and Delivery Service Control Files -Statistical reports of postage used	6 months	No change		
12	6c	Mail and Delivery Service Control Files -Requisition for stamps	6 months	No change		

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
12	6d	Mail and Delivery Service Control Files -Statistical reports and data relating to handling of mail	1 year	No change		
12	6e	Mail and Delivery Service Control Files - Records relating to checks or other valuables remitted to agency by mail	1 year	No change		
12	6f	Mail and Delivery Service Control Files -Records of and receipts for mail and packages received through Official Mail and Messenger Service		6 months	No change	
12	6g	Mail and Delivery Service Control Files -General files	1 year	No change		
12	6h	Mail and Delivery Service Control Files -Locator cards, directories, indexes, etc.	5 months	No change		
12	7	Metered Mail Files	6 years	No change		
12	8	Postal Irregularities Files	3 years	No change		
13	1	Administrative Correspondence Files	2 years	No change		
13	2a	Project Files - Files pertaining to the accomplishment of the job	1 year	No change		
13	2b	Project Files - Files pertaining to planning and other tech matters	3 years	No change		
13	3	Control Files	1 year	No change		
13	4a	Mailing Lists - Correspondence, etc.	3 months	No change		
13	4b	Mailing Lists - Card lists	When canceled or revised	No change		
13	5a	Joint Committee on Printing (JCP) Reports Files- Agency report to JCP	3 years	No change		
13	5b	Joint Committee on Printing (JCP) Reports Files- Copies in subordinate units	1 year	No change		
13	6	Internal Management Files	2 years	No change		

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	1	Information Requests Files	3 months	4.2	010	Destroy when 90 days old, but longer retention is authorized if required for business use.
14	2	Acknowledgment Files	3 months	4.2	010	Destroy when 90 days old, but longer retention is authorized if required for business use.
14	3	Press Service Files	3 months	No change		
14	4	Information Project Files	1 year	No change		
14	5	Commendation/Complaint Correspondence Files	3 months	No change		
14	6	Indexes and Check Lists	Superseded or obsolete	No change		
14	7	Does not exist		N/A		
14	8	Does not exist		N/A		
14	9	Does not exist		N/A		
14	10	Does not exist		N/A		
14	11a1	FOIA Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	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.
14	11a2a	FOIA Requests Files - Unable to be filled - not appealed	2 years	4.2	020	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.
14	11a2b	FOIA Requests Files - Unable to be filled -appealed	6 years or 3 years	4.2	020	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.
14	11a3a	FOIA Requests Files - Denied - not appealed	6 years	4.2	020	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.

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	11a3b	FOIA Requests Files - Denied - appealed	6 years or 3 years	4.2	020	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.
14	11b	FOIA Requests Files - Official file copy of requested records	Use disposition for official file copy	Rescinded		
14	12a	FOIA Appeals Files - Correspondence and supporting documents	6 years or 3 years	4.2	020	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.
14	12b	FOIA Appeals Files - Official file copy of records under appeal	Use disposition for official file copy	Rescinded		
14	13a	FOIA Control Files - Registers or listings	5 years	4.2	040	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.
14	13b	FOIA Control Files - Other files	5 years	4.2	040	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.
14	14	FOIA Reports Files	2 years	4.2	070	Destroy 2 years after date of report, but longer retention is authorized if required for business use.
14	15	FOIA Administrative Files	2 years	No change		
14	16	Does not exist		N/A		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	17	Does not exist		N/A		
14	18	Does not exist		N/A		
14	19	Does not exist		N/A		
14	20	Does not exist		N/A		
14	21a1	Privacy Act Requests Files - Correspondence, etc. - Granting access	2 years	4.2	020	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.
14	21a2a	Privacy Act Requests Files - Unable to be filled - not appealed	2 years	4.2	020	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.
14	21a2b	Privacy Act Requests Files - Unable to be filled - appealed	Per item 22a, b, or c	4.2	020	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.
14	21a3a	Privacy Act Requests Files - Denied - not appealed	5 years	4.2	020	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.
14	21a3b	Privacy Act Requests Files - Denied - appealed	Per item 22a, b, or c	4.2	020	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.
14	21b	Privacy Act Requests Files - Official file copy of requested records	Use disposition for official file copy	Rescinded		
14	22a	Privacy Act Amendment Case Files - Agreed by agency	4 years or official copy disposition	4.2	090	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.

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	22b	Privacy Act Amendment Case Files - Refused by agency	3 years, 4 years or official copy disposition	4.2	090	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.
14	22c	Privacy Act Amendment Case Files - Refused and appealed	3 years or official copy disposition	4.2	090	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.
14	23	Privacy Act Accounting of Disclosure Files	5 years or official copy disposition	4.2	050	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.
14	24a	Privacy Act Control Files - registers or listings	5 years	4.2	040	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.
14	24b	Privacy Act Control Files - other files	5 years	4.2	040	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.
14	25	Privacy Act Reports Files	2 years	4.2	070	Destroy 2 years after date of report, but longer retention is authorized if required for business use.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	26	Privacy Act General Administrative Files	2 years	No change		
14	27	Does not exist		N/A		
14	28	Does not exist		N/A		
14	29	Does not exist		N/A		
14	30	Does not exist		N/A		
14	31a1	Mandatory Review For Declassification Requests Files -Correspondence, etc. - Granting access	2 years	4.2	020	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.
14	31a2a	Mandatory Review For Declassification Requests Files -Unable to be filled - not appealed	Requests Files -Unable to be filled - not appealed	2 years	4.2	020
14	31a2b	Mandatory Review For Declassification Requests Files -Unable to be filled - appealed	Use disposition for official file copy	4.2	020	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.
14	31a3a	Mandatory Review For Declassification Requests Files -Denied - not appealed	5 years	4.2	020	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.
14	31a3b	Mandatory Review For Declassification Requests Files - Denied - appealed	Use disposition for official file copy	4.2	020	
14	31b	Mandatory Review For Declassification Requests Files -Official file copy of requested records	Use disposition for official file copy	Rescinded		
14	31c	Mandatory Review For Declassification Requests Files - Sanitizing instructions	When requested docs are declassified or destroyed	4.2	020	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.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	32a	Mandatory Review for Declassification Appeals Files -Correspondence and supporting documents	4 years	4.2	020	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.
14	32b	Mandatory Review for Declassification Appeals Files - Official file copy of records under appeal	Use disposition for official file copy	Rescinded		
14	33a	Mandatory Review for Declassification Control Files - regular or listing	5 years	4.2	040	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.
14	33b	Mandatory Review for Declassification Control Files: other files	5 years	4.2	040	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.
14	34	Mandatory Review for Declassification Reports Files	2 years	4.2	030	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.
14	35	Mandatory Review for Declassification Administrative Files	2 years	4.2	030	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.

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Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
14	36a	Erroneous Release Files that include the official file copy of the released records	Use disposition for official file copy or 6 years	4.2	060	Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.
14	36b	Erroneous Release Files that do not include the official file copy of the released records	6 years	4.2	061	Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.
15	1	Housing General Correspondence Files	2 years	No change		
15	2a	Housing Maintenance and Repair Files -Summary card or ledger record	3 years	No change		
15	2b	Housing Maintenance and Repair Files - Work orders, etc.	3 years	No change		
15	3	Housing Management Files	2 years	No change		
15	4	Housing Lease Files	3 years	No change		
15	5a	Housing Assignment and Vacancy Card Files -Individual tenant cards	When tenant vacates	No change		
15	5b	Housing Assignment and Vacancy Card Files -Individual housing unit cards	3 years	No change		
15	6	Housing Inventory Files	3 years	No change		
15	7a	Housing Application Files - Rejected application files	1 year	No change		
15	7b	Housing Application Files - All others	2 years	No change		
16	1a	Administrative Issuances - Notices, etc.	Superseded or obsolete	No change		
16	1b	Administrative Issuances - Case files	When issuance is destroyed	No change		
16	2a1	Records Disposition Files - Basic documentation - approved SF115s	2 years	4.1	020	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.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
16	2a2	Records Disposition Files - Basic documentation - Otherrecords	6 years	4.1	020	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.
16	2b	Records Disposition Files - Routine correspondence and memoranda	2 years	4.1	020	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.
16	3a	Forms Files - One record copy of each form	5 years	4.1	040	Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.
16	3b	Forms Files - Background materials, etc.	Superseded or obsolete	4.1	040	Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.
16	4a	Records Holdings Files - records in offices that prepare reports on agency-wide records holdings	3 years	Rescinded		
16	4b	Records Holdings Files - records held by other offices	1 year	Rescinded		
16	5	Project Control Files	1 year	No change		
16	6	Reports Control Files	2 years	No change		
16	7	Records Management Files	6 years	4.1	020, 030	020: 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. 030: Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.
16	8	Does not exist		N/A		
16	9	Feasibility Studies	5 years	3.1	011	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.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
16	10a	Microfilm Inspection Records - re: permanent records	1 year	4.1	020	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.
16	10b	Microfilm Inspection Records - re: temporary records	2 years	4.1	020	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.
16	11	IRM Triennial Review Files	7 years	No change		
16	12	Information Collection Budget Files	7 years	No change		
16	13a	Documents Published in the Federal Register - Processing notices announcing matters not codified in CFR	1 year	No change		
16	13b	Documents Published in the Federal Register -Processing of semiannual regulatory agenda	2 years	No change		
16	14a	Management Control Records - Policy, procedure, and guidance files	Superseded or obsolete	No change		
16	14b	Management Control Records - Management control plans	Superseded or obsolete	No change		
16	14c	Management Control Records - Risk analyses	After next review cycle	No change		
16	14d	Management Control Records - Annual reports and assurance statements	After next reporting cycle	No change		
16	14e	Management Control Records - Tracking files	1 year	No change		
16	14f1	Management Control Records - Review Files -Responsible office	5 years	No change		
16	14f2	Management Control Records - Review Files - Other offices	1 year	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
17	1	Cartographic Records Prepared During Intermediate Stages of Publication	No longer needed	No change		
17	2	Does not exist		N/A		
17	3	Architectural Drawings of Temporary Structure and Buildings or of Buildings Not Critical to the Mission of the Agency	Superseded or obsolete	No change		
17	4	Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems	Superseded or obsolete	No change		
17	5	Contract Negotiation Drawings	Superseded by as-built drawings	No change		
17	6	Space Assignment Plans	Superseded or obsolete	No change		
17	7	Does not exist		N/A		
17	8	Engineering Drawings of Routine Minor Parts	Superseded or obsolete	No change		
17	9	Drawings Reflecting Minor Modifications	Superseded or obsolete	No change		
17	10	Paint Plans and Samples	Superseded or obsolete	No change		
18	1	Classified Documents Administrative Correspondence Files	2 years	No change		
18	2	Document Receipt Files	2 years	4.2	030	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.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
18	3	Destruction Certificates Files	2 years	4.2	030	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.
18	4	Classified Document Inventory Files	2 years	4.2	030	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.
18	5a	Top Secret Accounting and Control Files - accountability over Top Secret documents	5 years	4.2	040	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.
18	5b	Top Secret Accounting and Control Files - handling and control documents	When related doc is downgraded or destroyed	4.2	040	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.
18	6	Access Request Files	2 years	4.2	030	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.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
18	7a	Classified Document Container Security Files - safe and padlock combinations, names of individuals knowing combinations	Superseded or obsolete	4.2	031	Destroy when superseded obsolete, but longer retention is authorized if required for business use.
18	7b	Classified Document Container Security Files - records of opening, closing, and routine checking of the security of containers	3 months	4.2	032	Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.
18	8	Security and Protective Services Administrative Correspondence Files	2 years	No change		
18	9	Survey and Inspection Files - government- owned facilities	3 years	No change		
18	10	Survey and Inspection Files - privately owned facilities	4 years	No change		
18	11	Investigative Files	2 years	No change		
18	12	Property Pass Files	3 months	No change		
18	13a	Guard Assignment Files - ledger records	3 years	No change		
18	13b	Guard Assignment Files - requests, analyses, reports, change notices, etc.	2 years	No change		
18	14a	Police Functions Files - ledger records	3 years	No change		
18	14b	Police Functions Files - reports, statements of witnesses, warning notices, etc.	2 years	No change		
18	14c	Police Functions Files - reports on contact of outside police with building occupants	1 year	No change		
18	15a	Personal Property Accountability Files - ledger files	3 years	No change		
18	15b	Personal Property Accountability Files - reports, loss statements, receipts, etc.	1 year	No change		
18	16a	Key Accountability Files - areas under maximum security	3 years	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
18	16b	Key Accountability Files - other areas	6 months	No change		
18	17a	Visitor Control Files - areas under maximum security	5 years	No change		
18	17b	Visitor Control Files - other areas	2 years	No change		
18	18a	Facilities Checks Files - Data sheets, door slip summaries, check sheets, and guard reports on security violations	1 year	No change		
18	18b	Facilities Checks Files - Reports of routine after hours security checks	1 month	No change		
18	19a	Guard Service Control Files - Control center key or code records, emergency call cards, and building record and employee identification cards	Superseded or obsolete	No change		
18	19b	Guard Service Control Files - Round reports, service reports on interruptions and tests, and punch clock dial sheets	1 year	No change		
18	19c	Guard Service Control Files - Automatic machine patrol charts and registers of patrol and alarm services	1 year	No change		
18	19d	Guard Service Control Files - Arms distribution sheets, charge records, and receipts	3 months	No change		
18	20a	Logs and Registers - central master logs	2 years	No change		
18	20b	Logs and Registers - individual posts	1 year	No change		
18	21	Security Clearance Administrative Subject Files	2 years	No change		
18	22a	Personnel Security Clearance Files -investigation done by government	5 years	No change		
18	22b	Personnel Security Clearance Files -investigation provided by other organizations	Per investigating agency instructions	No change		
18	22c	Personnel Security Clearance Files - index	With related case file	No change		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
18	23	Personnel Security Clearance Status Files	Superseded or obsolete	No change		
18	24a	Security Violations Files - referred to DOJ or DOD	5 years	No change		
18	24b	Security Violations Files - all other files	2 years	No change		
18	25a	Classified Information Nondisclosure Agreements -maintained separately from OPF	70 years	4.2	121	Destroy when 50years old.
18	25b	Classified Information NondisclosureAgreements - maintained in OPF	See OPF disposition	Rescinded		
18	26	Emergency Planning Administrative Correspondence Files	2 years	No change		
18	27	Emergency Planning Case Files	3 years	No change		
18	28	Emergency Operations Tests Files	3 years	No change		
18	29a	National Defense Executive Reserve (NDER)Case Files - reservists	5 years	No change		
18	29b	National Defense Executive Reserve (NDER)Case Files -applications rejected or withdrawn	5 years	No change		
20	1a	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files for testing system performance, etc.	No longer needed	3.1	010, 011 and 020	010: Destroy 5 years after project is terminated, but longer retention is authorized if required for business use. 011: 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. 020: 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.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
20	1b	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Electronic files/records to create/update master file	After transfer to master file	4.3	020	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
20	1c	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Records created to monitor system usage	No longer needed	3.2	030	Destroy when business use ceases.
20	2a1	Input/Source Records - Hard-copy - Previously scheduled; must be transferred in hard-copy	Permanent	Rescinded		
20	2a2	Input/Source Records - Hard-copy - Previously scheduled; e-recs don't meet transfer standards	Permanent	Rescinded		
20	2a3	Input/Source Records - Hard-copy - Contain info not captured in electronic version	Apply previously approved schedule	Rescinded		
20	2a4	Input/Source Records- Hard-copy- Records not covered by 2a1-3.	When e-version is verified, etc.	4.3	010, 011, 012	p10: Destroy immediately after verification of successful onversion, but longer retention is authorized if required for business use. p11: Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful f-Onversion, but longer retention is authorized if required for business use. p12: Destroy immediately after approval of a schedule for the electronic records and after verification of successful onversion, but longer retention is authorized if required for business use.
20	2b	Input/Source Records - Electronic records (except noted in 2c) entered during update process	When data verified in master file	4.3	020	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
20	2c	Input/Source Records - Electronic records received from another agency	When data verified in master file	4.3	020	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
20	2d	Input/Source Records - Uncalibrated or unvalidated observational data	When data is in master file	4.3	020	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
20	3a	Electronic Versions of Records Scheduled for Disposal -Scanned images	When hard copy retention expires	Rescinded		
20	3b1	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Administrative records	When hard copy retention expires	Rescinded		
20	3b2	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting	Submit SF-115	Rescinded		
20	3b3	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Digital still pictures, sound or video	When hard copy retention expires	Rescinded		
20	3b4	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Media neutral program records	Apply previously approved schedule	Rescinded		

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
20	3b5	Electronic Versions of Records Scheduled for Disposal - Other than scanned images - Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)1, 3(b)(3), or 3(b)(4).	Submit SF-115		Rescinded	
20	3.1	Electronic Records that Replace Permanent Hard Copy Records	Permanent	Rescinded		
20	4	Data Files Consisting of Summarized Information	No longer needed	4.3	031	Destroy when business use ceases.
20	5	Records Consisting of Extracted Information	No longer needed	4.3	031	Destroy when business use ceases.
20	6	Print File	No longer needed	4.3	031	Destroy when business use ceases.
20	7	Technical Reformat File	No longer needed	4.3	031	Destroy when business use ceases.
20	8a	Backups of Files - Identical to permanent records	When backed up or transferred to NARA	3.2	050	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.
20	8b	Backups of Files - Identical to temporary records	Superseded or obsolete	3.2	051	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.
20	9	Finding Aids (or Indexes)	No longer needed	4.1	010	Destroy when no longer needed.
20	10	Special Purpose Programs	When related master file is deleted	3.1	012	Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.

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OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
20	11a1	Documentation - Related to temporary systems	When related master file is deleted	3.1	051	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
20	11a2	Documentation - Related to permanent systems	Permanent	3.1	050	Transfer to the National Archives with the permanent electronic records to which the documentation relates.
20	11b	Documentation - Copies of records relating to system security	See GRS 24, item 5	3.2	010	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.
20	12a	Downloaded and Copied Data - Derived data for ad-hoc reports	No longer needed	4.3	030	Destroy when business use ceases.
20	12b	Downloaded and Copied Data - Derived data in lieu of hard copy reports	No longer needed	4.3	030	Destroy when business use ceases.
20	12c	Downloaded and Copied Data - Metadata or reference data	No longer needed	4.3	020	Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.
20	13	Word Processing Files	No longer needed	4.3	040	Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.
20	14	Electronic Mail Records	After copying to recordkeeping system	4.3	040	Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.
20	15a	Electronic Spreadsheets - Used to produce hard copy that is maintained in organized files	No longer needed	4.3	040	Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
20	15b	Electronic Spreadsheets - Maintained in electronic form	When hard copy retention expires	4.3	040	Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.
20	16	Hard Copy Printouts Created to Meet Ad Hoc Business Needs	No longer needed	4.3	030	Destroy when business use ceases.
21	1	Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency (Still Photography)	1 year	No change		
21	2	Personnel Identification or Passport Photographs (Still Photography)	Superseded or obsolete or 5 years	No change		
21	3	Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not reflect the Mission of the Agency (Still Photography)	1 year	No change		
21	4	Does not exist		N/A		
21	5	Viewgraphs	1 year	No change		
21	6	Routine Artwork for Handbills, Flyers, Posters, Letterhead, and Other Graphics	No longer needed	No change		
21	7	Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction	No longer needed	No change		
21	8	Line Copies of Graphs and Charts	No longer needed	No change		
21	9	Films Acquired from Outside Sources for Personnel and Management Training (Motion Pictures)	1 year	No change		
21	10	Does not exist		N/A		

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
21	11	Routine Surveillance Footage (Motion Pictures)	6 months	No change		
21	12	Routine Scientific, Medical, or Engineering Footage (Motion Pictures)	2 years	No change		
21	13	Does not exist		N/A		
21	14	Programs Acquired from Outside Sources for Personnel and Management Training (Video Recordings)	1 year	No change		
21	15	Does not exist		N/A		
21	16	Rehearsal or Practice Tapes (Video Recordings)	Immediate	No change		
21	17	Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency (Video Recordings)	1 year	No change		
21	18	Routine Surveillance Recordings (Video Recordings)	6 months	No change		
21	19	Routine Scientific, Medical, or Engineering Recordings (Video Recordings)	2 years	No change		
21	20	Recordings that Document Routine Meetings and Award Presentations (Video Recordings)	2 years	No change		
21	21	Does not exist		N/A		
21	22	Recordings of Meetings Made Exclusively for Note Taking or Transcription (Audio/Sound Recordings)	Immediate	No change		
21	23	Dictation Belts or Tapes (Audio/Sound Recordings)	Immediate	No change		
21	24	Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production (Audio/Sound Recordings)	Immediate	No change		

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
21	25	Does not exist		N/A		
21	26	Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis (Audio/Sound Recordings)	6 months	No change		
21	27	Does not exist		N/A		
21	28	Production Files or Similar Files that Document Origin, Development, Acquisition, Use and Ownership of Temporary Audiovisual Records	With related records	No change		
21	29	Finding Aids for Temporary Audiovisual Records	With related records	4.1	010	Destroy when no longer needed.
23	1	Office Administration Files	2 years	No change		
23	2	Does not exist		N/A		
23	3	Does not exist		N/A		
23	4	Does not exist		N/A		
23	5a	Schedules of Daily Activities - substantive information	2 years	No change		
23	5b	Schedules of Daily Activities - routine activities	No longer needed	No change		
23	6a	Suspense Files - A note or reminder	Immediate	No change		
23	6b	Suspense Files - Copy of outgoing	Immediate	No change		
23	7	Transitory Files (first bullet only) - Routine requests for information	No longer needed	4.2	010	Destroy when 90 days old, but longer retention is authorized if required for business use.
23	7	Transitory Files (all other bullets)	No longer needed	No change		
23	8	Tracking and Control Records	2 years	4.1	010	Destroy when no longer needed.
23	9	Finding Aids (or Indexes)	With related records	4.1	010	Destroy when no longer needed.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
24	1a	Oversight and Compliance Files - Performance measurements and benchmarks	5 years or 1 year	3.1	040	Destroy 5 years after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use.
24	1b	Oversight and Compliance Files - All other oversight and compliance records	3 years or 1 year	3.1	040	Destroy 5 years after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use.
24	2	IT Facility, Site Management, and Equipment Support Services Records	3 years or superseded	3.1	020	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.
24	3a	IT Asset and Configuration Management Files - Inventories	1 year	3.1	020	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.
24	3b1	IT Asset and Configuration Management Files -Management Records - system implementations, applications, modifications	1 year	3.1	030	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.
24	3b2	IT Asset and Configuration Management Files -Management Records - routine IT maintenance	3 years or 1 year	3.1	020	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.
24	4a1	System Backups and Tape Library Records -Backup tapes - Incremental backup tapes	Superseded or obsolete	3.2	040	Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.
24	4a2	System Backups and Tape Library Records -Backup tapes - Full backup tapes	After second subsequent backup	3.2	041	Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
24	4b	System Backups and Tape Library Records -Tape library records	Superseded or obsolete	4.1	010	Destroy when no longer needed.
24	5a	Files Related to Maintaining the Security of Systems and Data - System Security Plans and Disaster Recovery Plans	1 year	3.2	010	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.
24	5b	Files Related to Maintaining the Security of Systems and Data IT risks, etc.	1 year	3.2	010	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.
24	6a	User Identification, Profiles, Authorizations, and Password Files - Systems requiring special accountability	6 years	3.2	031	Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.
24	6b	User Identification, Profiles, Authorizations, and Password Files - Routine systems	See GRS 20, item 1c	3.2	030	Destroy when business use ceases.
24	7	Computer Security Incident Handling, Reporting, and Follow- up Records	3 years	3.2	020	Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.
24	8a	IT Operations Records - Workload schedules, etc.	1 year	3.1	020	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.
24	8b	IT Operations Records - Problem reports, etc.	1 year	3.1	020	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.

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
24	8c	IT Operations Records - Operations reports, etc.	3 years	3.1	020	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.
24	9a	Financing of IT Resources and Services -Agreements	3 years	3.1	020	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.
24	9b	Financing of IT Resources and Services - Files related to managing third-party services	3 years	3.1	020	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.
24	9c	Financing of IT Resources and Services -allocate charges, track payments	3 years	3.1	020	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.
24	10a	IT Customer Service Files - Help desk information	1 year	No change		
24	10b	IT Customer Service Files - Logs, reports & other files	1 year	No change		
24	11a	IT Infrastructure Design and Implementation Files - Not implemented	1 year	3.1	010 Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.	

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
24	11b	IT Infrastructure Design and Implementation Files - Implemented	5 years	3.1	010	Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.
24	11c	IT Infrastructure Design and Implementation Files -Installation and testing	3 years	3.1	010	Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.
24	12	Does not exist		N/A		
24	13a1	PKI Records - PKI Administrative Records - FBCA Cas	7 years, 6 months; 10 years, 6 months; or 20 years, 6 months	3.2	060	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.
24	13a2	PKI Records - PKI Administrative Records - Other Cas	7 years, 6 months to 20 years, 6 months	3.2	061	Destroy /deletewhen 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.
24	13b	PKI Records- Transaction specific records	7 years,6months to 20 years,6 months	3.2	p62	Destroy/delete hen 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the ppropriate CA and fter the information record he PKI is designed to protect and/or ccess is destroyed cording to an uthorized fSchedule,or in the l-case of permanent records, when the record is ransferred to NARA legal custody. Longer retention is uthorized if the gency determines hat transaction- pecific PKI records re needed for a longer period
25	1a	Ethics Program Implementation, Interpretation, Counseling, and Development Files - [see records list in schedule]	3 years	2.8	010	Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
25	1b	Ethics Program Implementation, Interpretation, Counseling, and Development Files - all other records	6 years	2.8	010	Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.
25	2a1	Financial Disclosure Reporting Files - public reports -individuals not subsequently confirmed or elected	1 year	2.8	060	Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
25	2a2	Financial Disclosure Reporting Files - public reports - all other reports	6 years	2.8	061	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.
25	2b1	Financial Disclosure Reporting Files - confidential reports - individuals not subsequently confirmed or elected	1 year	2.8	070	Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
25	2b2	Financial Disclosure Reporting Files-f-Confidential reports- all other reports	6 years	2.8	071 or 072	71: Destroy 6 ears after receipt pf the OGE Form 50 by the agency, except when the OGE Form 450 supports one or more subsequent pptional OGE Form 50-As then estray 6 years lter receipt of the last related OGE Form 450-A by the gency, or when no longer needed for ctive investigation, hichever is later. frhis disposition instruction is mandatory; eviations are not llowed. p72: Destroy 6 wears after receipt pf the OGE Form 50-A report by the gency, along with he associated OGE Form 450, or when no longer needed or active investigation, hichever is later. h-his disposition instruction is mandatory; eviations are not llowed.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
25	2c1	Financial Disclosure Reporting Files - alternative or additional - individuals not subsequently confirmed or elected	1 year	2.8	080	Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
25	2c2	Financial Disclosure Reporting Files -alternative or additional - all other reports	6 years	2.8	081	Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
25	3	Ethics Agreement Records	6 years	2.8	100 or101	100: Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.101: Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.
25	4	Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files	6 years	2.8	020	Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.
25	5a	Non-Federally Funded Travel Files -Semiannual Expense Reports	3 years	2.8	030	Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.
25	5b	Non-Federally Funded Travel Files - records used to compile Semiannual Expense Reports	1 year	2.8	031	Destroy 1 yea following submission of the report to OGE, but longer retention is authorized if required for business use.
25	6a	Ethics Program Review Files - OGE program review reports, etc.	6 years	2.8	050	Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.

General Records Schedule

Old-to-New Crosswalk

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
25	6b	Ethics Program Review Files - all other records	1 year	2.8	050	Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.
25	7a	Annual Agency Ethics Program Questionnaire Files -questionnaire completed by ethics officials in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978	3 years	2.8	040	Destroy 3 years after submission, but longer retention is authorized if required for business use.
25	7b	Annual Agency Ethics Program Questionnaire Files - all other records	1 year	2.8	040	Destroy 3 years after submission, but longer retention is authorized if required for business use.
25	8a	Ethics Program Employee Training and Education Files - administration	6 years	No change		
25	8b	Ethics Program Employee Training and Education Files - training materials	6 years	No change		
25	9	Ethics Program Procedures Files	6 years	2.8	010	Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.
26	1a	Internal Agency Committees - unrelated to mission	No longer needed	No change		
26	1b	Internal Agency Committees - related to mission	Must be scheduled	No change		
26	2a	FACA Committees - establishment, policy, etc.	Permanent	6.2	010020	010: Transfer when records are 15 years old or upon termination of committee, whichever is sooner. 020: Transfer when records are 3 years old or upon termination of committee, whichever is sooner.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
26	2b	FACA Committees - day-to-day activities	3 years	6.2	050	Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.
26	2c1	FACA Committees - websites - electronic version	At termination or no longer needed	6.2	010 050	010: Transfer when records are 15 years old or upon termination of committee, whichever is sooner. 050: Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.
26	2c2	FACA Committees - websites - design and management	At termination or no longer needed	Rescinded		
26	2c3	FACA Committees - websites - electronic version of records duplicated elsewhere	At termination or no longer needed	6.2	050	Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.
26	3	Records not maintained by sponsor or secretariat	3 years	Rescinded		
26	4	Committee management records	6 years	6.2	040 050 060	040: Destroy when 6 years old. Longer retention is authorized if required for business use. 050: Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner. 060: Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.
27	1	Information Technology Program Planning Records	7 years	No change		
27	2	Enterprise Architecture Records	7 years	No change		
27	3	Information Technology Capital Investment Records	7 years	No change		
27	4	Legal and Regulatory Compliance Records	5 years	4.2	080	Destroy 5 years after submission of report, but longer retention is authorized if required for business use.

OLD GRS	OLD ITEM	SERIES TITLE	OLD RETENTION	NEW GRS	NEW ITEM	NEW RETENTION
27	5	CIO Committee Records	5 years	No change		
27	6	CIO Subject and Office Records	5 years	No change		
27	7	Schedules of Daily Activities	2 years	No change		



FORMS INDEX

A forms index is included to facilitate reference to the General Records Schedules. Forms listed are cross-referenced to the appropriate schedule and item number. They are arranged in numeric sequence by the type of form, such as: Standard Form, Optional Form, IRS Form, Other, and Obsolete forms.

The obsolete forms will continue to be included in the Forms Index until the expiration of their retention period as specified in the appropriate General Records Schedule.

STANDARD FORMS

1	Printing and Binding Requisition	1.1	010
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1A	Binding Instructions	1.1	010
		13	2
1B	List of Books to be Bound	1.1	010
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1C	Printing and Binding Requisition for Specialty Items	1.1	010
		13	2
2	U.S. Government Lease for Real Property	1.1	010,011
2B	U.S. Government Lease for Real Property Short Form	1.1	010,011
7	Service Record (obsolete as of Dec. 31, 1994)	1	2
7A	Service Record - Continuation (obsolete as of Dec. 31, 1994)	1	2
7B	Employee Record (obsolete as of Dec. 31, 1994)	1	6
7D	Position Identification Strip (obsolete as of Dec. 31, 1994)	1	11
14	Telegraphic Message	12	3
15	Application for 10-Point Veteran Preference	1	1
18	Request for Quotation	1.1	010,011
24	Bid Bond	1.1	010,011
25	Performance Bond	1.1	010,011
25A	Payment Bond	1.1	010,011
25B	Continuation Sheet (For Standard Forms 24, 25, and 25A)	1.1	010,011
26	Award/Contract	1.1	010,011
28	Affidavit of Individual Surety	1.1	010,011
30	Amendment of Solicitation/Modification of Contract	1.1	010,011
33	Solicitation, Offer and Award	1.1	010,011
34	Annual Bid Bond	1.1	010,011
35	Annual Performance Bond	1.1	010,011
39	Request for Referral of Eligibles	1	5,33
39A	Request and Justification for Selective Factors and Quality Ranking Factors	1	5,33
44	Purchase Order - Invoice - Voucher	1.1	010
		1.1	011
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	Notification of Personnel Action	1	1,14
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STANDARD FORMS

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52	Request for Personnel Action	1	1,33
59	Request for Approval of Non-Competitive Action	1	1
61	Appointment Affidavits	1	1
61B	Declaration of Appointee	1	1
62	Agency Request to Pass Over a Preference Eligible or Object to an Eligible	1	5
66	Official Personnel Folder	1	1
71	Application for Leave	2	6
81	Request for Space	11	2
83	Request for OMB Review (Replaced by OMB 83, Paperwork Reduction Act Submission)	16	6
82	Agency Report of Motor Vehicle Data	10	4
85	Questionnaire for Non-Sensitive Positions	18	22
86	Questionnaire for National Security Positions	18	22
91	Motor Vehicle Accident Report	10	5
94	Statement of Witness	10	5
97	The United States Government Certificate to Obtain Title to a Vehicle	1.1 10	010 6
98	Notice of Intention to Make a Service Contract and Response to Notice	1.1	050
98A	Notice of Intention to Make a Service Contract and Response to Notice (Attachment A)	1.1	050
99	Notice of Award of Contract	1.1	010,011
113A	Monthly Report of Federal Civilian Employment	1	16
114	Sale of Government Property - Bid and Award	1.1	010
114A	Sale of Government Property - Item Bid Page - Sealed Bid	1.1	010
114B	Sale of Government Property - Item Bid Page- Sealed Bid	1.1	010
114C	Sale of Government Property - General Sale Terms and Conditions	1.1	010
114C-1	Sale of Government Property - Special Sealed Bid Conditions	1.1	010
114C-2	Sale of Government Property - Special Sealed Bid- Term Conditions	1.1	010
114C-3	Sale of Government Property - Special Spot Bid Conditions	1.1	010
114C-4	Sale of Government Property - Special Auction Conditions	1.1	010
114D	Sale of Government Property - Amendment of Invitation for Bids/ Modification of Contract	1.1	010
114E	Sale of Government Property - Negotiated Sales Contract	1.1	010
114F	Sale of Government Property - Item Bid Page Spot Bid or Auction	1.1	010
115	Request for Records Disposition Authority	4.1	020

STANDARD FORMS

SF NUMBER	TITLE	SCHEDULE	ITEM
115A	Request for Records Disposition Authority - Continuation	4.1	020
119	Statement of Contingent or Other Fees	3/1.1	16/010,011
120	Report of Excess Personal Property	4	2
120A	Continuation Sheet (Report of Excess Personal Property)	4	2
121	Annual Report of Utilization and Disposal of Excess and Surplus Personal Property	4	2
122	Transfer Order - Excess Personal Property	4	2
123	Transfer Order - Surplus Personal Property	4	2
123A	Transfer Order - Surplus Personal Property (Continuation Sheet)	4	2
126	Report of Personal Property for Sale	4	2
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127	Request for Official Personnel Folder (Separated Employee)	1/2.5	17/011
132	Apportionment and Reapportionment Schedule	5	4
133	Report on Budget Execution	5	3
135	Records Transmittal and Receipt	4.1	020
135A	Records Transmittal and Receipt (Continuation)	4.1	020
144	Statement of Prior Federal Service	1	1
145	Telephone Service Request	1.1	010,011
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150	Deposit Bond - Individual Invitation, Sale of Government Personal Property	1.1	010
151	Deposit Bond - Annual Sale of Government Personal Property	1.1	010
152	Request for Clearance or Cancellation of a Standard or Optional Forms or Exception	4.1	040
180	Request Pertaining to Military Records	4.2	020
182	Request, Authorization, Agreement and Certification of Training	1	1
203	Annual Audiovisual Report	16	4
215	Deposit Ticket	1.1	010,011
224	Statement of Transactions (Classified According to Appropriation, Fund and Receipt Account, and Related Control Totals)	1.1	010,011
225	Report on Obligations	5	3
252	Architect-Engineer Fixed-Price Contract	1.1	010,011
254	Architect-Engineer and Related Services Questionnaire	1.1	010,011
255	Architect-Engineer and Related Services Questionnaire for Specific Project	1.1	010,011
258	Agreement to Transfer Records to National Archives of the United States	4.1	020
269	Financial Status Report (Long Form)	1.1	010,011
270	Request for Advance or Reimbursement	1.1	010,011

STANDARD FORMS

SF NUMBER	TITLE	SCHEDULE	ITEM
271	Outlay Report and Request for Reimbursement for Construction Programs	1.1	010,011
272	Federal Cash Transactions Report	1.1	010,011
272A	Federal Cash Transactions Report - Continuation	1.1	010,011
273	Reinsurance Agreement for a Miller Act Performance Bond	1.1	010,011
274	Reinsurance Agreement for a Miller Act Payment Bond	1.1	010,011
275	Reinsurance Agreement in Favor of the United States	1.1	010,011
278	Executive Branch Personnel - Public Financial Disclosure Report	1	24
278A	Assets and Income Public Financial Disclosure Report	1	24
279	Federal Procurement Data System FPDS Individual Contract Action Report	1.1	010,01
308	Request for Wage Determination and Response to Request	1.1	010,011
311	Agency Information Security Program Data	18	1
312	Classified Information Nondisclosure Agreement	4.2	121
344	Multiuse Standard Requisitioning/Issue System Document	3	8
360	Request to Approve an Interagency Reporting Requirement	4.1	040
361	Transportation Discrepancy Report	9	2
362	U.S. Government Freight Loss/Damage Claim	9	2
364	Report of Discrepancy	9	2
701	Activity Security Checklist	4.2	032
702	Security Container Check Sheet	4.2	032
1012	Travel Voucher	1.1	010,011
1012A	Travel Voucher (Memorandum)	1.1	010
1013A	Payroll for Personal Services	2	2
1034	Public Voucher for Purchases and Services Other Than Personal	1.1	010,011
1034A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	1.1	010,011
1035	Public Voucher for Purchases and Services Other Than Personal (Continuation Sheet)	1.1	010,011
1035	Public Voucher for Purchases and Services Other Than Personal (Memorandum) (Continuation Sheet)	1.1	010,011
1038	Advance of Funds Application and Account	1.1	010,011
1047	Public Voucher for Refunds	1.1	010,011
1048	Memorandum - Public Voucher for Refunds	1.1	010,011
1049	Public Voucher for Refunds	1.1	010,011
1050	Public Voucher for Refunds (Memorandum)	1.1	010,011
1069	Voucher for Allowances at Foreign Posts of Duty	1.1	010,011
1080	Voucher for Transfers Between Appropriations and/or Funds	1.1	010,011
1081	Voucher and Schedule of Withdrawals and Credits	1.1	010,011

STANDARD FORMS

SF NUMBER	TITLE	SCHEDULE	ITEM
1093	Schedule of Withholdings Under the Davis-Bacon Act (40 U.S.C. 276a) and/or The Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333)	1.1	010,011,050
1094	U.S. Tax Exemption Certificates	1.1	010,011
1094A	U.S. Tax Exemption Certificate Accountability Record	1.1	010,011
1096	Schedule of Voucher Deductions	1.1	010,011
1098	Schedule of Canceled or Undelivered Checks	1.1	010,011
1103A	U.S. Government Bill of Lading - Memorandum Copy	1.1	010,011
1104	U.S. Government Bill of Lading - Shipping Order	1.1	010,011
1109A	U.S. Government Bill of Lading - Continuation Sheet – Memorandum	1.1	010
1113	Public Voucher for Transportation Charges	1.1	010,011
1113A	Public Voucher for Transportation Charges (Memorandum)	1.1	010,011
		1.1	010
1128	Payroll for Personal Services - Payroll Certification and Summary	1.1	010,011
1128A	Payroll for Personal Services - Payroll Certification and Summary - Memorandum	2	2
1145	Voucher for Payment Under Federal Tort Claims Act	1.1	010,011
1145A	Voucher for Payment Under Federal Tort Claims Act - Memorandum	1.1	010,011
1150	Record of Leave Data	1.1	040
1151	Nonexpenditure Transfer Authorization	1.1	010,011
1152	Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee	1	010,011
1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	1.1	010,011
1156	Public Voucher for Fees and Mileage of Witnesses	1.1	010,011
1156A	Public Voucher for Fees and Mileage of Witnesses - Memorandum	1.1	010,011
1157	Claims for Witness Attendance Fees, Travel, and Miscellaneous Expenses	1.1	010,011
1164	Claim for Reimbursement for Expenditures on Official Business	1.1	010,011
1165	Receipt for Cash - Subvoucher	1.1	010,011
1166	Voucher and Schedule of Payments	1.1	010,011
1166A	Voucher and Schedule of Payments - Memorandum	1.1	010,011
1167	Voucher and Schedule of Payments (Continuation Sheet)	1.1	010,011
1167A	Voucher and Schedule of Payments (Continuation Sheet) - Memorandum	1.1	010,011
1169A	U.S. Government Transportation Request -Memorandum Copy	1.1	010
1170	Redemption of Unused Tickets	1.1	010

STANDARD FORMS

SF NUMBER	TITLE	SCHEDULE	ITEM
1176	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces	1.1	010,011
1176A	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces-Memorandum	1.1	010,011
1177	U.S. Savings Bond Issue File Action Request	2	14c
1182	Subscriber List for Issuance of United States Savings Bonds	2	14b
1183	Subscriber List for Issuance of United States Savings Bonds	2	14b
1186	Transmittal for Transportation Schedules and Related Basic Documents	1.1	010
1187	Request for Payroll Deductions for Labor Organization Dues	2	15b
1188	Cancellation of Payroll Deductions for Labor Organization Dues	2	15b
1198	Request by Employee for Allotment of Pay for Credit to Savings Accounts with a Financial Organization	2	15b
1199a	Direct Deposit Sign-up Form	2	17
1203A	U.S. Government Bill of Lading, Privately Owned Personal Property - Memorandum Copy	1.1	010
1204	U.S. Government Bill of Lading, Privately Owned Personal Property - Shipping Order	1.1	010
1205	U.S. Government Freight Waybill - Privately Owned Personal Property - Original	1.1	010
1218	Statement of Accountability (Foreign Service Account)	1.1	010,011
1219	Statement of Accountability	1.1	010,011
1220	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts	1.1	010,011
		6	5
1221	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (Foreign Service Account)	1.1	010,011
		6	5
1303	Request for Federal Cataloging/Supply Support Action	3	2
		3	4
2800	Application for Death Benefits - Civil Service Retirement System	1	1
2801	Application for Immediate Retirement under the Civil Service Retirement System	1	1
2801-1	Certified Summary of Federal Service - Civil Service Retirement System	1	1
2802	Application for Refund of Retirement Deductions - Civil Service Retirement System	1	1
2803	Application to Make Deposit or Redeposit - Civil Service Retirement System	1	1
2804	Application to Make Voluntary Contributions -Civil Service Retirement System	1	1

STANDARD FORMS

SF NUMBER	TITLE	SCHEDULE	ITEM
2805	Request for Recovery of Debt Due the United States	2	18
2808	Designation of Beneficiary - Civil Service Retirement System	1	1
2809	Health Benefits Registration Form - Federal Employees Health Benefits Program	1	1
2810	Notice of Change in Health Benefits Enrollment	1	1
2811	Transmittal and Summary Report to Carrier -Federal Employees Health Benefits Program	2	22b
2812	Report of Withholdings and Contributions for Health Benefits, Life Insurance, and Retirement	2	22b
2812A	Report of Withholdings and Contributions for Health Benefits by Enrollment Code	2	22b
2823	Designation of Beneficiary - Federal Employees' Group Life Insurance Program	1.1	010,011
5515	Debit Voucher	1	1

OPTIONAL FORMS

7	Property Pass	11	4
8	Position Description	1	7
16	Sales Slip - Sale of Government Personal Property	1.1	010
30	Motor Vehicle Service and Inspection Work Orders	10	2
55	U.S. Government Identification (Card)	11	4
68	Record of Travel Expenses	1.1	010,011
101	Summary Worksheet for Estimating Reporting Costs	16	6
108	Daily Vehicle Usage Report	10	2
112	Classified Material Receipt	4.2	040
116	Record of Top Secret Material	4.2	040
117	Notice of a Security Violation	18	24
118	Record of Violation	18	18,24
119	Record of Material Removed for Overnight Custody	4.2	030,040
123	Top Secret Document Inventory Record	4.2	040
131	Stock Control Card	3	9
136	Application for Retirement - Foreign Service Retirement and Disability System	1	1
137	Designation of Beneficiary	1	1
138	Application for Refund of Compulsory Contributions - Foreign Service Retirement System	1	1
140	Election to Receive Extra Service Credit Towards Retirement and Report of Residence of Spouse	1	1
141	Application for Service Credit	1	1
144	Temporary Duty (TDY) Official Travel Authorization 1.1	010	

OPTIONAL FORMS

OF NUMBER	TITLE	SCHEDULE	ITEM
153	Telegram	12	3
153A	Telegram (Continuation Sheet)	12	3
158	General Receipt	1.1	010,011
164	Meritorious Service Increase Certificate	1	12
187	Telegram Repeat Request	12	3
189	Travel Reimbursement Voucher	1.1	010,011
189A	Travel Reimbursement Voucher - Memorandum	1.1	010,011
189B	Travel Reimbursement Voucher (Continuation Sheet) Schedule of Expenses and Amounts Claimed	1.1	010,011
189C	Travel Reimbursement Voucher (Continuation Sheet) - Memorandum Schedule of Expenses and Amounts Claimed	1.1	010,011
190	Foreign Service Emergency Locator Information	1	6
191	Outgoing Telegram	12	3
191A	Outgoing Telegram - Continuation Sheet	12	3
199	Notice of Shipment of Effects - Residence-to-Residence Method	1.1	010
200	Monthly Record of Vehicle Operation Costs	10	2
202	Leave Record	2	7
202A	Leave Summary	2	7
205	Statement of Operating Cash Advance and Replenishment Voucher	1.1	010,011
206	Purchase Order, Receiving Report and Voucher	1.1	010,011
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	1.1	010,011
208	Statement of Collections - Foreign Service of the United States of America	1.1	010,011
612	Optional Application for Federal Employment	1	1,15,32
1017G	Journal Voucher	1.1	010
1121	Bill of Lading Accountability Record	1.1	010
1130	Time and Attendance Report	2	7
1135	Time and Attendance Report	2	7
1136	Time and Attendance Report	2	7
1137	Leave Record	2.5	020,040

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
W-2	Wage and Tax Statement	2	13,18
W-3	Transmittal of Income and Tax Statement	2	13,18
W-4	Employees Withholding Allowance Certificate	2	13,18

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
668-A(c)(DO)	Notice of Levy	2	18
668-C	Final Demand for Payment	2	18
668-Z	Certificate of Release of Federal Tax Lien	2	18
668(Y)(c)	Notice of Federal Tax Lien	2	18
1321	Authorization for Official Travel	1.1	010,011
1334	Requisition for Equipment, Supplies or Services	3	3,4,8,9
	See Also:	11	5
1334(C)	Requisition for Equipment, Supplies or Services	3	3,4,8,9
	See Also:	11	5
1767	Publication Service Requisition	13	2
	See Also:	1.1	010
1767-C	Conference Materials Checklist	13	2
1775, A-W	Safety Inspection Checklist	18	9,10
1790	Request for Personnel Security Investigation	18	22a
1930	Property Pass/Custody Receipt for Government and Individually Owned Property	1.1	010
		1.1	040
1933	Report of Survey	1.1	010
1957	Schedule of Designated Certifying Officers or Employees	6	6
1958	Schedule of Revoked Authorizations of Officers or Employees	6	6
2019	Authorization for Disposition of Salary Checks and/or Savings Bonds	2	2,6,14a
2028	Report of Investigation	18	22b
2028-P	Summary Report of Investigation	18	22b
2040	Distribution List	13	3
2040-F/T	Distribution List (ADP Training)	13	3
2159	Payroll Deduction Agreement	2	23
2221	Schedule of Collections	1.1	010,011
2228-PG 1	General Ledger Trial Balance (Undistributed Accounts)	6	6
2235	Request for Albert Gallatin Award	1	1,12
2263	Abstract of Bids or Informal Quotations	1.1	010
2275	Records Request, Charge and Recharge	4.1	020,030
2333-TE	SPEC Outreach Order Form	13	1
2333-V	Volunteer Program Order Form	13	1
2333-X	SPEC Supplemental Order Form	13	1
2507	Receipt for Money—Cashier Advance Fund	1.1	010
2665	Suggestion Evaluation	1	1,12
2785	Obligation Estimate and Adjustment Notice	1.1	010
2787	Authorization and Report of Overtime Worked	7a	

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
2787-A	W&I Authorization and Report of Overtime Worked	2	7a
2844	Reconciliation of Imprest Fund	1.1	010
3028(C)	Expenditures and Obligations—7070	1.1	010
3081	Employee Time Report	1	7
3213	Engineer’s Memorandum Report	11	1
3282	Standard Employment Interview Rating Form	1	8
3525	Application for Emergency Salary – Recertified Payment	2	23
389	Service Computation Record	2.5	010,011
3950	Notice of Completion of Employment Inquiries	18	22a
4253	Authorization for Moving Expenses (TIGTA Employees Only)	1.1	010
4253-A	Authorization for Basic Moving Expenses	1.1	010
4253-B	Authorization for Basic Plus Moving Expenses	1.1	010
4282	Twelve Month Service Agreement	1	1
4366	Wage Claim Waiver Against Federal Agencies	1	1
4367	Position Evaluation Summary, Supervisory Grade Evaluation Guide, Part II	1	7(2)a
4508	Revocation of Voluntary Allotment	2	1
4527	Employee Application for Reimbursement of Expense Incurred Upon Sale and/or Purchase of Residence Upon Change of Official Station	1.1	010
4536	Application for Promotion/Reassignment	1	15
4582	Training Certificate	1	29b
4582-B	Training Certificate	1	29b
4589	Lost or Forgotten I.D. Badge Record	11	4a
4607	Examination Action and Time Record	2	7a
4672	Analysis of Teaching Exercises	1	29a1
4702	Temporary Quarters Subsistence Expenses	1.1	010
4714	Report of Recruitment Activity	1	3
5045	Employment	18	22a
5045-A	Education	18	22a
5045-B	Neighborhood	18	22a
5045-C	Reference	18	22a
508	Automated Information Systems (AIS) User Registration/Change Request	18	6(a)
5161	Systems Software Error Notification	3.1	010,011,020
5202	Request for Engineering Services	11	5
5368-P	Space Management Information Retrieval System –Personnel Data	11	17
5415	OJT Workload Review Internal Revenue Service	1	29a1

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
5436	Administratively Uncontrollable Overtime (AUO) Pay	2	1
5451-A	Recap Copy Machine Usage and Cost Summary	1.1	010,011
5482	Record of Disclosure (Privacy Act of 1974)	4.2	050
5542	TPDS Course Order Form	1	29
5542-A	TPDS Casual Order Form	1	29
5632	Sign-in Sheet	1	29a1
5640	Freedom of Information and Privacy Correspondence Report	4.2	070
5640-A	FOI Correspondence Control Log	4.2	040
5640-B	Privacy Correspondence Control Log	4.2	040
5661	OJT Case Review Guide for Tax Auditors	1	1
5692	Schedule for Workload Reviews, OJT, and Case Reviews	1	29a1
5693	Checksheet for Group Reviews	1	29b3
5794	OJT Preparation Check List on the Job Training Schedule	1	29a1
5795	Basis for Adverse Determination	1	3b1
5798	Time and Attendance Record	2	7b
5807	Screening Form District RPC	1	8
5877	Agency Grievance and Authorization for Representative's Access to Official Records	1	30a
5903	Numerical Card/Badge Record	11	4b
5943	Special Messenger Service	12	1
5991	Affidavit	1	25a
5991-A	Affidavit	1	25a
5991-B	Affidavit (Short Form)	1	25a
6018	Consent to Proposed Adverse Action	1	30b
6018-A	Consent to Proposed Adverse Action –Non Declaratory Judgment	1	30b
6054	ID Badge Packet	11	4
6055	ID Badge Packet	11	4
6056	ID Badge Packet	11	4
6067	Employee Performance Folder Record	1	23
6088	Distributable Benefits from Employee Pension Benefit Plans	2.5	010,011
6147-A	Grievance Case Jacket	1	30a
6219	Transmittal of Retirement Documents	2.5	010,011
6257	Time and Attendance Roster	2	7
6264	IRS/PPP Employee Registration	1	14a
6282	Envelope Trouble Report	13	2
6293	Audio Visual Requisition	13	2,6
6380	Course Design and Development – Sub Task of Major Tasks	1	29a1

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
6381	Course Design and Development – Sub Tasks of Sub Task	1	29a1
6382	Course Design and Development – Duty Areas and Major Tasks	1	29a1
6383	Course Design and Development – Standards and Conditions for Major and Sub Tasks	1	29a1
6398	NCR Random Number Generator Program STAT 1	3.1	030
6412	Internal Competitive Selections	1	32
6413	Adverse or Disciplinary Actions	1	30b1
6414	Quarterly Summary of New Hire Actions	1	14a
6415	New Hire Actions	1	33b
6416	Quarterly Summary of Internal Competitive Selections	1	32
6417	Quarterly Summary of Adverse or Disciplinary Actions	1	30b1
6426	Lesson Headings (Instructor Guide)	1	15
6427	Lesson Headings Continuation Sheet (Instructor Guide)	1	15
6433	Departure Notice	1	14
6524	Office of Chief Counsel – Application	1	1
6554	Name Card	1	29(2)
6565	Tax Auditor Basic Training – OJT Visitation Guide	1	29b
6566	OJT Workload Review – Tax Auditor Basic Training	1	29a1
6583-A	Union Representative’s Use of Bank Time	1	28
6583-B	Union Representative’s Use of Official Time	1	28
6588	NCR Problem Report	11	5
6662	Daily ID Card Inventory Report	11	1b
6664	Transfer of Criminal Investigation Enforcement Badges	11	1b
6665	ID Media Review	13	2
6665-A	Identification Media Record	13	2
6716	System Inventory	3.2	020
6727	CRIS Employee Time Report	2	8
6751	Nomination of Personnel Instructor	1	29a1
6772	Schedules of Expenses and Amount Claimed –Continuation Sheet for Standard Form 1012	1.1	010,011
6774	Receipt of Critical Job Elements and Retention Standard	1	7b
6782	Certification of Financial Interest in a Work Assignment	2.8	081
6810	ID Media Recap Sheet	13	2
6850-BU	Bargaining Unit Performance Appraisal and Recognition Request	1	23
6850-CC	Performance Appraisal	1	23
6850-NBU	Non-Bargaining Unit Performance Appraisal	1	23
6858	Travel Request and Approval	1.1	010,011
6858-B	Travel Request and Approval	1.1	010,011

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
6863	Invoice and Authorization for Payment of Administrative Summons Expenses	1.1	010,011
6888	U.S. Government Purchase – Invoices – Voucher	1.1	010,011
7130	Fax Order – Requisition for Products Stocked at NDC	13	4a
7995	Outside Employment or Business Activity Request	1	1,18
7995-A	Chief Counsel Outside Employment or Business Activity Request	1	1,18
8014	Employee Plans Training	1	29a1
8042	Appeals Auditor’s Daily Time Report	2	7b
8042-A	Appeals Auditor’s Daily Time Report (Continuation Sheet)	2	7b
8052	NBIC Memorandum of Interview or Activity	18	22a
8067	Centralized Services Employees Training Profile	1	1
8107	Trainee’s Evaluation of Self-Instructional Material	1	29
8111	Employee Notification Regarding Union Representation	1	28
8112	Statement of Rights and Obligations	1	30b
8145	Telephone Equipment Inventory and Cost Report	12	2b
8146	Certificate of Recognition	1	12a1
8146-A	Joint IRS NTEU Certificate of Recognition	1	12a1
8156	Employee Business Expenses – Proforma Worksheet	1.1	010
8159	Review of Personnel File	1	17c
8212	Audiovisual Proposal Document	13	2,6
8251	Internal Revenue Agent OJT Workload Review	1	1
8280	Request for Credit/Comp Hours	1	8
8360	Laser Setup Request	13	2
8394	Daily Record of Employee Use of Government Vehicles	10	4
8409	Monthly Report on Fringe Benefits	2	22c
8455	Tax Return Photocopy System Earnings	1.1	010,011
8457	Printed Item Request Logsheet	13	2
8518	Certification for Use of Relocation Services Contract	1.1	010,011
8522	Employee Performance Plan Update	1	23
8557	Routing and Transmittal Slip of DEO Request	2.8	010
8558	Request for Opinion from the Deputy Ethics Official	2.8	100,101
8562	Request/Receipt for Advances from Investigative Imprest Fund/ or Non-Recoverable Funds	1.1	010,011
8563	Undercover Expenditures Balance Sheet for the Month Ending	1.1	010,011
8567	Blanket Purchase Agreement (BPA) Monthly User Log	1.1	010,011
8567-A	Continuation Sheet – BPA User Log	1.1	010,011
8569	Geographic Availability Statement	1	1

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
8573	Stock Movement Order	13	1
8577	CSRTS: SM Employee Time Report	2	7
8727	Security Item Receipt	18	19d
8741	Relocation Voucher	1.1	010
9008	Mail Classification/Clerical Review Checksheet	12	6a,6b
9040	Palmprint Card	1	1
	See Also:	18	22
9058	IRS Leave Bank Program Membership/Contribution Form	1	37
9087	Performance Award – Bargaining Unit Employee	1	12a1
9088	Performance Award – Non-Bargaining Unit Employee	1	12a1
9089	Quality Step Increase for Outstanding Performance Certificate	1	12a1
9093	Special Act Award	1	12a1
9094	Manager’s Award	1	12a1
9095	Employee Suggestion Award	1	12a1
9097	Manager’s Award Card	1	12a1
9111	Management Resume/Certification of Readiness	1	15
9127	Recommendation for Recognition	1	12a1
9138	Communication Section Quality Review Record	13	1
9139	Order Fulfillment Unit Quality Review Record	13	2a
9142	Employee Notification Regarding Third Party Interviews	1	30b
9154	Report of Accident, Incident or Injury	1	34
9158-A	Blank Citations for the Awards Program	1	12a1
9158-C	Commissioner’s Certificate of Recognition	1	12a1
9163	Office of Chief Counsel Summer Intern Evaluation	1	10
9179	Budget Formulation	5	2
9183	Telephone Problem Report	1.1	011
9191	Mail Classification/Clerical Review Checksheet	12	6a,6b
9202	Request for Restoration of Annual Leave	2	6
9202-A	Field Request for Restoration of Annual Leave	2	6
9206	Semi-annual Report of Administrative Resolution of Losses in the Accounts of Accountable Officers	1.1	010,011
9207	Semi-annual Report of Administrative Resolution of Losses in the Accounts of Accountable Officers	1.1	010,011
9298	Wastepaper Disposal Authorization	1.1	010,011
9361	Criminal Investigation Health Improvement Program Certificate of Participation	1	22
9362	Certificate of Appreciation	1	12c
9374	Notice of Results of Security Inspection	18	9b,10

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
9398	Contract Administration	1.1	010,011
9472	Universal Wiring Services – Site Requirements –General	12	2b
9473	Universal Wiring Services – Site Requirements –Single Floor Environment	12	2b
9474	Universal Wiring Services – Site Requirements – Telecommunications Equipment Room	12	2b
9475	Universal Wiring Services – Site Requirements –High-Rise/ Campus Environment	12	2b
9476	Universal Wiring Services – Site Requirements –Site Inspection	12	2b
9498	Employee Separation Form	1	14a
9511-A	Entry Level Self-Assessment of Readiness	1	15
9610	Record of Approved Leave – Family and Medical Leave Act	2	6
9611	Application for Leave Under the Family and Medical Leave Act	2	6
9620	Race and National Origin Identification	1	25f
9644	Universal Wiring Services – Site Acceptance Test (SAT)	12	2b
9664	Performance Appraisal Form	1	23(4)
9686	Merit Promotion Questionnaire (MPQ)	1	15
9698	Martinsburg Computing Center Internal Revenue Protective Officer Log	18	20a
9715	Multimedia Action Request	13	2
9715-A	IMDDS List and Label Request	13	2
9731	Foreign Language Cash Award Program Application	1	12a1
9732	Foreign Language Cash Award Program Application	1	12a1
9803	Transportation Agreement (POD Hawaii or Alaska)	1.1	010,011
9804	Records Processing Log and Timesheet	2	7b
9814	Express Service Routing Form	12	5a
9820	Distribution Checklist for Bulk Shipment	12	6a
9828	Exemption Certificate Tax on Occupancy of Hotel Rooms	1.1	010,011
9864	Interregional Information Systems Training Vendor Evaluation	1	29a1
9866	Multi-Equipment Order Record	12	2d(2)
9866-A	Service Center Request for Installation, Relocation, Removal, Upgrade, Replacement of ISD Equipment	12	2d(2)
9868	Student Evaluation of Training Course	1	29a1
9869	Instructor’s Evaluation of Education Branch Support Services	1	29a1
9877	Trainee’s Evaluation of Instructor	1	29a1
9880	FY 2010 Envelope Order	13	2a
9890	Requisition Status Notice	1.1	010
9897	Follow-Up on Outside Employment	1	27
9900	Regional Training Center Instructor Biographical Sketch	1	29a1

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
9934	Statement of Physical Ability for Light Duty Work	1	31
9953	Authorization for Use of Personally-Owned Computer System in Performance of Official Duties	3.1040	
9968	ACS 0110 File	1	23b
9995	AFS Payment Code Sheet	6	5b
9996	Alternate Work Schedule Election Form	2	7b
10005	Job Status/History Sheet	13	2c
10033	Annual Performance Appraisal Constant Annual Rating Date (Card)	1	23(4)
10060	Request for Reasonable Accommodations	1	25g
10067	Request for Administrative Leave Due to Inclement Weather Conditions	2	6
10090	Recommendation for Authorization of Leave or Absence	2	6
10092	Request for Reasonable Accommodation (RA) Parking Space	11	10a
10093	Analysis of Teaching Performance	1	29a1
10094	Career Learning Plan - Employee	1	29
10094 (CG)	Individual Development Plan (IDP)	1	29
10094-B	Career Learning Plan/ Management	1	29
10095	Pagination Instructions	13	2
10095-A	Pagination Instructions (Cont.)	13	2
10095-B	Pagination Instructions (Cont.)	13	2
10095-C	Pagination Instructions (Cont.)	13	2
10097-A	Time Off Option Survey Indiana District	1	12a1
10116	Electronic Data Processing Worksheet	4.3	010,011,012
10120	Report of Incident	18	11
10144	Energy Usage Report	11	2b
10149	AFS Payment Form	1.1	010,011
10152	Appeals Docketed Case Checksheet	1	23b4
10157	Travel Approval Request and Expense Estimate	1.1	010,011
10191	Non-IRS Computer Bulletin Board (BBS) & Internet Access Request	3.2	030
10192	Monthly Motor Vehicle Record	10	4
10237	Instructor Performance Evaluation	1	29a1
10242	Non-disclosure Certification	1.1	010,011
10243	Transmittal of Workers Compensation Forms to OWCP	1	34
10262	Appeals Case Performance Review Memorandum	1	23b4
10263	Appeals Case Performance Review Memorandum (GS 13/14)	1	23b4
10268	Training Registration Record	1	29a1

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
10275	OJI Questionnaire	1	29a1
10276	Support Provided Classroom Instructors	1	29a1
10277	Student's Evaluation of Instructor Performance	1	29a1
10278	Manager's OJT Questionnaire	1	29a1
10279	Trainee OJT Questionnaire	1	29a1
10280	Internal Revenue Agent GS-512 Direct Hire Authority – Transaction Log	1	33b
10287	Accident and Injuries Reports Log	1	34
10288	TIR Contract Receiving Report	8	1
10290	Learning Center Nomination/Acknowledgement	1	15
10299	Field Location and Itinerary Check – Out Sheet	2	7b3
10333	Certified Mail Log	12	5a
10334	Express Delivery Log	12	5a
10337	Shipping and Receiving Record	1.1	010
10343	Revenue Agent Examination Performance Record	1	23b4
10344	General Program Revenue Agent Examination Performance Record	1	23b4
10345	Tax Auditor Examination Performance Record	1	1
10350	ESP Time Report	2	7b
10368	FOIA Request Search Documentation Midstates Region	4.2	020
10371	Appeals Customer Service Record	1	23b4
10372	Appeals Customer Service Record Continuation Sheet	1	23b4
10380	Seasonal Certification for Health Benefits and Health Benefits and Health Insurance	1	10a
10386	Record Processing Log and Time Sheet	2	7b
10388	Record Processing Log and Time Sheet Continuation Sheet	2	7b
10390	Tally Sheet for Forms Distribution Test	13	6
10391	Appeals Performance Review Memorandum GS-303-4 Clerk (Office Automation)	1	23b4
10392	Appeals Performance Review Memorandum GS-303-5 Case Processor	1	23b4
10393	Appeals Performance Review Memorandum GS-592-6 Case Records Examiner	1	23b4
10394	Appeals Performance Review Memorandum GS-592-7Case Records Examiner	1	23b4
10395	Appeals Performance Review Memorandum GS-592-6 Tax Examiner	1	23b4
10396	Appeals Performance Review Memorandum GS-592-7 Tax Examiner	1	23b4

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
10400	IRS Manager’s Certification for Security and Internal Controls Reviews – Midstates Region	16	14
10405	Temporary Promotion	1	14
10411	Reimbursement Claim for Confidential Expenditures on Official Business	1.1	010
10416	Approval Request for Use of Meeting Facilities	11	1
10417	Accident Report Memo	1	31
10420	Security Incident Report	18	11
10425	Customer Supply Center Consolidated Order/ Receipt Form	13	1
10426	Log Sheet for Form 6697	13	4
10427	Emergency Medical and Notification Information	1	18
10465	OJT Case Review Guide for Tax Auditors	1	15
10467	Appeals Division Feedback Report and Transmittal Memorandum	1	23b4
10471	Employment Tax Checklist	1	15
10472	OJT Weekly Interview (Field Examination)	1	15
10473	OJT Weekly Interview Report (Office Examination)	1	15
10474	Security Review Checklist	18	19b
10480	Security Incident Report	18	11
10488	FOIA Request Analysis Record	4.2	020
10488-A	Privacy Act Request Analysis Record	4.2	020
10490	Appeals Auditor’s Daily Time Report	2	7b
10501	Employee Tour of Duty Change Notice	1	14
10510	Appeals Auditor’s Daily Time Report (Continuation Sheet)	2	7b
10535	Monthly Mail Usage Report	12	6b
10544	Employee Performance Folder	1	23b5
10547	IRS Daily Meter Readings	12	6b
10548	IRS Mail Tally Sheet	12	6b
10553	Duplicate Key/Key Card Envelope	18	16
10557	Records Disposition Request	4.1	020
10565	Managers Annual Security Review Checksheet	18	9,10
10576	Appeals Performance Review Memorandum –GS-512-11, 12, or 13 Technical Analyst	1	23a4
10580-A	Postage Purchase/Expenditure Report	12	6a,6b,6c
10584	Postage Cost Summary/AFS Input Form	12	6a,6b,6c
10586	Monthly Business Reply Mail (BRM) Expenditures	12	6a,6b
10590	Request for Leave, Credit Hours and Shift Change	2	6
10836	Daily Receiving Report	1.1	040
10837	Request for Administrative Leave	2	6

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
10842	Node Monitoring Log	3.1	020
10853	Access List to IRS Facilities	18	17b
10853-A	Personal Information for Access List	18	22a,23
10855	Requisition Activity Log	1.1	010
10859	Employee Performance Folder Record for TPS	1	23b5
10861	Recommendation for a Mandatory Cash Incentive Award for Bargaining Unit Employees Based on Annual Rating of Record	1	12a1
10882	Flexiplace Application/Certification – Ohio District	1	42
10883	Ohio District Internal Revenue Service Flexiplace Workplace Agreement	1	42
10883-A	Flexiplace Workplace Agreement for ROA/OCR/Rev Reps, AAAs and Determination Specialists – Ohio District	1	42
10896	Request for Overtime/Holiday	1	6
	See Also:	2	6
10911	Alternative Work Schedule (AWS) Request	2	7b3
10911-A	Alternative Work Schedule (AWS Request)	2	7b3
10947	Term Appointment	1	10
10954	Recommendation for Corrective Action	1	30(1)
10972	Desk Audit Check	1	7(2)c2
10979	Manager’s Annual Security Standards Certification	18	9,10
10979-A	Functional Security Review Checklist	18	9,10
10985	Time Off Option in Lieu of Cash Award Election Form	1	12a1
10995	Training Course Attendance Record	1	29a1
10995-A	Training Attendance Sheet	1	29a1
11001	TransitChek Employee Application Form	9	7
11014	Monthly Certification of Eligibility	10	7
11028	Restricted Area Access List Change Request & Authorization	18	17a,17b
11044	Employee Transit Subsidy Tracking Sheet	9	7
11075	PDC Intake Form	1	29a2
11077	Equal Employment Opportunity Counselor Application	1	1
11093	Blanket Purchase Agreement (BPA) User Log	1.1	010
11094	Nomination Request for Diversity and Equal Employment Opportunity (DEEO) Award	1	12a1
11138-A	Application for Ride Sharing Parking Permit	9	7
11138-B	Carpool Permit	9	7
11176	Daily Tax Technician Time Record	2	7
11192	Employee Clearance Check List	1	14
11211	Metro Farecard Control Log	1.1	010,011
11216	Employee Annual Vacation Request	2	6

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
11222	Employee Performance Folder Transmittal	1	23b5
11226	Record of Overtime/Holidays	2	6
11227	Government Travel Account Authorization	1.1	010,011
11230	Application for Car Pool Parking Permit Michigan District	11	10a
11386	IRS Flexiplace Work Agreement	1	42(1)
11389	Statement of Understanding (Authorized/Unauthorized Training) for Multimedia Production Division	1	29a1
11396	Recommendation for Disciplinary/Adverse Action	1	30(1)
11402	Monthly Copy Machine Report	1.1	010
11407	Daily Register of Employees Treatment	1	20a
11610	Sexual Harassment Policy Discussion	1	27
11640	Reimbursable Work Authorization Record	1.1	010,011
11663	Public Transportation Subsidy Program Application	9	7
11664-C	Public Transportation Subsidy Program Change in Information	9	7
11664-D	Public Transportation Subsidy Program Cash Reimbursement Certification	9	7
11664-E	Public Transportation Subsidy Program Authorization For Third Party Pick-up of Transit Subsidy	9	7
11664-F	Public Transportation Subsidy Program Signature Sheet for Upfront Monthly/Quarterly Distribution	9	7
11664-G	Public Transportation Subsidy Program Participant Return of Fare Media	9	7
11664-H	Public Transportation Subsidy Program Request For Supplemental Mailing of Fare Media	9	7
11664-W	Public Transportation Subsidy Program Expense Worksheet	9	7
11671	Certificate of Records Disposal	4.1	020
12003	IRS Business Card Production Authorization	1.1	010
12062	Employment Processing Checklist	1	15
12092	Internal Revenue Service Flexiplace Agreement –Manhattan District	1	42(1)
12110	Suitability Review Sheet	1	1
12112	Atlanta Field Publishing Customer Feedback Survey Form	13	1
12114	Continuation Sheet for Item #15 (Additional Information) OF-306, Declaration for Federal Employment	1	15
12123	ACS Customer Service Performance	1	23b5
12123-A	ACS Customer Service Performance Worksheet	1	23b5
12149	Functional Security Review for Managers	18	9,10
12182	Fiscal Year Technical Training Plan	1	29a1
12201	ELMS Learning/Teaching History	1	29a1
12219	NTEU Request for Information	1	28a

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
12220	Response to NTEU Request for Information	1	28a
12238	Records Series Inventory	4.1	020
12239	Audiovisual Records Series Inventory	4.1	020
12240	Information Systems Description	4.1	020
12247	Access Documentation Register	18	17b
12253	Notice of Visit Log	18	17a
12254	Proposed Change to Records Disposition	4.1	020
12280	Steward Time Log	2	7b
12294	Employee Interest for Placement in the Restructured IRS	1	14
12294-A	Employee Request for Review of Realignment Determination	1	14
12303	Leave Share Program Application	1	37
12312	Classification Request Notice	1	7
12327	Monthly Mail Report	12	6a,6b
12332	Statement of Physical Ability for Light Duty Work	1	21(1), 21(2)
12333	Consent for Fingerprint Check	18	22
12378	Vendor Information Questionnaire	18	17a,17b
12404	Work Performance Record	1	23b5
12408	Consent for Fingerprint Check	18	22
12450	IRS Performance Management System – Executive Performance Agreement	1	23b5
12450-A	IRS Performance Management System – Manager Performance Agreement	1	23b5
12450-B	IRS Performance Management System – Management Official Performance Agreement	1	23b5
12450-C	Amended Rating Form, Summary Evaluation for Minimally Satisfactory Rating, Executives, Managers and Management Officials	1	23b5
12450-D	Management/Program Analyst Performance Agreement	1	23b5
12451	Request for Relocation Expenses Allowance	1.1	010
12461	Level 1 Evaluation Batching and Transmittal Sheet	1	29a1
12462	Level 1 Instructor's Lesson/Module Evaluation	1	29a1
12463	Level 1 Evaluation of Interactive Video Teletraining (IVT)	1	29a1
12464	Level 1 Evaluation of Classroom Computer-Based Training (CBT)	1	29a1
12465	Level 1 Evaluation of Self-Instruction Training	1	29a1
12466	Level 1 Evaluation of Classroom Training	1	29a1
12467	Level 1 Instructor's Lesson/Module Evaluation Comments	1	29a1
12469	Level 1 Trainee's Course Evaluation Comments	1	29a1
12473	Daily Report of Overtime	2	7b

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
12501	Requirements for Local Distribution Items	13	
12654	Authorization for Log-Term Travel	1.1	010,011
12658	Chief's Award	1	12e
12697	Pre-Appointment Certification Statement for Selective Service Registration	1	1a,1b
12711	Employee Address Information for Personnel/ Payroll System	1	1,18
12743	Building Maintenance Report Work Order Request – IRS Gateway Center	11	5
12847-A	E-19 (Rev. 10/2006) Envelope Specification Sheet	13	2
12847-B	E-20 (Rev. 10/2006) Envelope Specification Sheet	13	2
12847-C	E-25 BR (Rev. 8/1996) Envelope Specification Sheet	13	2
12847-D	E-25 CR (Rev. 5/2001) Envelope Specification Sheet	13	2
12847-E	E-44 (Rev. 8/1996) Envelope Specification Sheet	13	2
12847-F	E-44 B (Rev. 10/2004) Envelope Specification Sheet	13	2
12847-G	E-47 (Rev. 8/1996) Envelope Specification Sheet	13	2
12847-H	E-61 T (Rev. 11/1995) Envelope Specification Sheet	13	2
12847-I	E-73 (Rev. 5/2001) Envelope Specification Sheet	13	2
12847-J	E-119 (Rev. 10/1994) Envelope Specification Sheet	13	2
12847-K	E-125 L (Rev. 10/1994) Envelope Specification Sheet	13	2
12847-L	E-125 R (Rev. 10/1994) Envelope Specification Sheet	13	2
12847-M	E-130 (Rev. 10/1994) Envelope Specification Sheet	13	2
12847-N	E-142 Envelope Specification Sheet	13	2
12847-O	E-142 B (Rev. 4/2001) Envelope Specification Sheet	13	2
12847-P	E-163 (Rev. 12/1989) Envelope Specification Sheet	13	2
12847-R	E-178 (Rev. 9/2003) Envelope Specification Sheet	13	2
12847-S	E-190 (Rev. 5/2001) Envelope Specification Sheet	13	2
12847-T	E-199 (Rev. 3/1991) Envelope Specification Sheet	13	2
12847-U	E-200 A (Rev. 1/2007) Envelope Specification Sheet	13	2
12847-V	E-205 (Rev. 5/2001) Envelope Specification Sheet	13	2
12847-W	E-182 W (Rev. 3/2000) Envelope Specification Sheet	13	2
12847-X	E-44 C (Rev. 8/2002) Envelope Specification Sheet	13	2
12854	Prior Government Service Information	1	16
12868	Purchase/Delivery Order BPA Record	1.1	010
12884	Andover Campus Employment Survey Questionnaire Form	1	1a,1b
12885	Supplement to OF-612, Optional Application for Federal Employment	1	15
12892	New Hire Suitability Determination	1	33b
12895	Student Educational Employment Program – High School	1	29a1

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
12896	Student Educational Employment Program – College	1	29a1
12907	Tuition Assistance Program (TAP) FY 2008 Application	1	29b
12907-A	Tuition Assistance Program (TAP) FY 2008 Course Information	1	29b
12929	Application for Voluntary Separation Incentive Payment (VSIP)	1 2	1 23a
12929-A	Application for Voluntary Separation Incentive Payment (VSIP) Transition Employee – Direct	1 2	1 23a
12933	Employee Current Home Address	1	1,18
12972	Internal Revenue Bulletin Submission Record	13	2a
12973	Tour Temperature and Humidity Check – Detroit Computing Center	11	5
12975	Non-Registered Vehicle Parking Log – Detroit Computing Center	11 18	10b 17
12976	Key Log – Detroit Computing Center	18	16
12977	Visitor Property Log	18	12
12978	Visitor Registration – DCC	18	17
12979	Guard Report – Detroit Computing Center	18	20a
12990	Interview Data	1	8
13058	Request for Handicapped Parking Space – Detroit Computing Center	18	10a
13088	Printed Tax Reference Material (PTRM) Survey Checklist	13	3
13092	Identification of Previous IRS Employment	1	15
13094	Recommendation for Juvenile Employment with the IRS	1	15
13096	Automated Mail Returns	12	7
13097	FedEx Express Returns	12	6a
13098	UPS Returns	12	6a
13099	USPS Returns	12	7
13100	FedEx Ground Returns	12	6a
13102	IRS Daily Entry Register for Visiting IRS Employees	18	17
13145	Security Officer Observation Checklist	18	19b
13146	CPR Volunteer Training Registration	1	1
13147	Personnel Notification of Separation from the Internal Revenue Service	1	14
13167	Request for Centralized Delivery Services (CDS) Support	1	29a1
13184	Field Assistance – NTEU Functional National Partnering Council Issue Summary Form	1	28a1
13200	Authorization to Designate Business Approvers for Publishing Services Requests	13	2
13204	Director’s Certificate of Recognition	1	12c

IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
13236	Evaluation of Managerial Potential	1	23b3
13241	Daily Mail Activity Reporting Worksheet	12	7
13248	Parking Violation Notice (Detroit Computing Center)	18	14
13272	Management Selection Program Ranking Form	1	5
13290	Management Selection Program Vacancy Application	1	15
13294	Applicant's Statement for Selective Service Registration Status	1	15
13301	Receipt of Regulations	1	1
13304	Request for Package Assembly	13	2
13314	SB/SE Revenue Agent Basic Training Recommendation	1	29a1
13335	Performance Appraisal Self Assessment	1	23b4
13378	IRS Relocation Travel – Cost Comparison Worksheet	1.1	010
13380	I Suggest...	1	12a1
13438	Checklist for Initiating a NACI for Low Risk, SF-85	18	22
13439	Checklist for Initiating a LBI for Moderate Risk, SF-85P	18	22
13440	Checklist for Initiating a BI for High Risk, SF-85P	18	
13442	Application for Hardship Reassignment/Relocation Request	1	1
13450	IRS Workers' Compensation Center Customer Satisfaction Survey	1	34
13456	IRS Publishing Postage Report	12	7
13456-A	IRS Publishing Postage Statement – FAX Cover Sheet	12	7
13466	E-208 (3-2004) Envelope Specification Sheet	13	2
13468	BRAVO Recognition Program – Directors Award Certificate	1	12c
13475	BRAVO Program – Award Order Forms	1	12c
13480	BRAVO Recognition Program – BRAVO Certificates	1	12c
13480-A	BRAVO Recognition Program – BRAVO Certificate	1	12c
13480-B	BRAVO Recognition Program – BRAVO Certificate	1	12c
13480-C	BRAVO Recognition Program – BRAVO Certificate	1	12c
13548-A	Washington Territory ITAMS Equipment Hardware Certification	4	4
13626	Alternative Work Site Participation Agreement	1	42(3)
13627	Request for Change in Work Schedule from Full-Time Employment	1	14
13628	Request to Work at Alternate Work Site	1	42(1)
13629	Separation Interview Report	1	14a
13631	Travel Savings Form – Office of Chief Counsel	1.1	010,011
13631-A	IRS Travel Savings	1.1	010,011
13632	Volunteer Property Loan Agreement	18	15
13635	Manual Travel Authorization	1.1	010,011
13661	IRS Reasonable Accommodation (RA) Request	1	27

OTHER FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
13664	LMSB Financial Interests and Disclosure	2.8	070,071

OTHER FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
1-4000			
TSP-1	Thrift Savings Plan Election Form	2	16
JCP-1	Printing Plant Report	13	6
JCP-2	Commercial Printing Report	13	6
JCP-5	Annual Plant Inventory	13	6
I-9	Employment Eligibility Verification	1	10
OMB-83-D	Paperwork Reduction Act – Collection Discontinuation	16	6
OSHA-300	Log of Work-Related Injuries and Illnesses	1	34
OSHA-300A	Summary of Work-Related Injuries and Illnesses	1	34
OSHA-301	Injuries and Illnesses Incident Report	1	34
OGE-450	Executive Branch Confidential Financial Disclosure Report	2.8	060-081
OGE-450A	Optional Form - Confidential Certificate of No New Interests (Executive Branch)	2.8	060-081
OPM-630A	Request to Donate Annual Leave to Leave Recipient Under the Voluntary Leave Transfer Program (Within Agency)	1	37
OPM-648	Request for Approval of Non-Competitive Action	1	33o
DS-2076	Purchase Order, Receiving Report, and Voucher	1.1	010
TREAS-BPD-SB-2152	Authorization for Purchase and Request for Change -United States Savings Bonds	2	14
GAO-2511-A	Memorandum Order and Supplementary Specifications	13	3
GSA-2957	Reimbursable Work Authorization	3	4
	See Also:	11	2,16
GSA-2972	Agency Request for Adjustment/OPAC Chargebacks to FBF Rent Billings	11	2,16
GAO-3019	Printing and Reproduction Service Requisition	13	3
4001-6000			
OPM-4896	Transfer of Eligibility	1	33h
OPM-5000A	Application Record Card	1	33e
OPM-5001C	Register of Eligibles	1	33g
DS-5002	Designation of Beneficiary	1	1

OBOSOLETE FORMS - STANDARDS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
GAO-5055	Depository and Appropriation Adjustment	6	5
6001-14000			
NA-13001	Notice of Intent to Destroy Records	4.1	020

OBSOLETE FORMS – STANDARD FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
2-B	U.S. Government Lease for Real Property Short Form (Obsolete 3/6/1997)	1.1	010
7	Service Record (Obsolete 8/1/1993)	1	2
7-B	Employee Record (Obsolete 8/1/1993)	1	6
7-D	Position Identification Strip (Obsolete 12/31/1994)	1	11
14	U.S. Government Telegraphic Message (Obsolete 10/13/2000)	12	3
19	Invitation, Bid and Award (Construction, Alteration or Repair (Obsolete 4/1/1984)	3/1.1	1,4/010
19-A	Labor Standards Provisions Applicable to Contracts In Excess of \$2,000 (Obsolete 4/1/1984)	3	1,4
19-B	Representations and Certifications (Construction and Architect— Engineer Contract) (Obsolete 4/1/1984)	3	1,4
20	Invitation for Bids (Construction Contract) (Obsolete 4/1/1984)	3	1,4
21	Bid Form (Construction Contract) (Obsolete 4/1/1984)	3/1.1	1,4/010
23	Construction Contract (Obsolete 4/1/1984)	3	1,4
36	Continuation Sheet (Obsolete 4/1/1986)	3/1.1	1,4/010
37	Report of Procurement by Civilian Executive Agencies (Obsolete 4/6/1981)	1.1	010
39-A	Request and Justification for Selective Factors and Quality Ranking Factors (Obsolete 2/1/1996)	1	5,33p
46	U.S. Government Motor Vehicle Operator’s Identification Card (Obsolete 11/1/1985)	11	4
47	Physical Fitness Inquiry for Motor Vehicle Operators (Obsolete 11/1/1985)	10	7
49	Federal Employees Group Life Insurance Program (Obsolete 3/1/1981)	1	1
50-A	Notice of Short-Term Employment (Obsolete 7/1/1991)	1	1,14
51	Request for Insurance (FEGLI) (Obsolete 4/1/1981)	1	1
54	Designation of Beneficiary (FEGLI) (Obsolete 1/1/1981)	1	1

OBOSOLETE FORMS - STANDARDS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
55	Notice of Conversion Privilege (FEGLI) (Obsolete 1/1/1981)	1	1
56	Agency Certification of Insurance Status (FEGLI) (Obsolete 1/1/1981)	1	1
61-B	Declaration of Appointee (Obsolete 1/1/1995)	1	1
66-A	Official Personnel Folder Tab Insert (Obsolete 2/1/1981)	1	1
69	Incentive Awards Program Annual Report (Obsolete 5/1/1981)	1	3
71	Request for Leave or Approved Absence (Obsolete 8/6/2001)	2	6
72	Report of Action After Agency Full Field Investigation (Obsolete 9/9/1983)	18	23
73	Report of Action After CSC or FBI Section 8(d) Full Field Investigation (Obsolete 9/9/1983)	18	23
74	Notice of Transmittal of Investigative Reports for Security Determination (Obsolete 9/9/1983)	18	23
79	Notice of Security Investigation (Obsolete 9/9/1983)	18	23
83	Request for OMB Review (Obsolete 2/12/1996)	16	6
85-A	National Agency Check Data for Non-sensitive or Noncritical– Sensitive Position (Obsolete 12/14/1990)	18	23
91-A	Investigation Report of Motor Vehicle Accident (Obsolete 5/28/1993)	10	5
99	Notice of Award of Contract (Obsolete 8/23/2000)	1.1	010
113	Monthly Report of Federal Civilian Employment (Obsolete 7/12/1978)	1	16
119	Contractors Statement of Contingent or Other Fees (Obsolete 4/21/1997)	1.1	010
132	Apportionment and Reapportionment Schedule (Obsolete 4/18/1997)	5	4
135-A	Records Transmittal and Receipt (Continuation) (Obsolete 3/15/1996)	4.1	020
136	Annual Summary of Records Holdings (Obsolete 1/23/1985)	16	6
137	Agency Records Center—Annual Report (Obsolete 1/23/1985)	16	6
138	Identification Card (Obsolete 3/30/1981)	11	4
145-B	Agency Request for Telephone Service (Obsolete 2/19/1991)	1.1 12	010,011 2
147	Order for Supplies or Services (Obsolete 4/1/1984)	3 1.1	4 010,011
148	Order for Supplies or Services Schedule—Continuation (Obsolete 4/1/1984)	3 1.1	4 010,011
171	Application for Federal Employment (Obsolete 3/18/1996)	1 1	1,15,33 40
171-A	Continuation Sheet for Standard Form 171		

OBOSOLETE FORMS - STANDARDS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
	(Obsolete 3/18/1996)	1	1,15,33
172	Supplemental Experience and Qualifications Statement (Obsolete 1/1/1995)	1	1,15,33
173	Job Qualifications Statement (Obsolete 6/10/1985)	1	1,15,33
177	Statement of Physical Ability for Light Duty Work (Obsolete 10/13/1993)	1	1
189	Classified Information Non-disclosure Agreement (Obsolete 8/26/1988)	4.2	121
211	Request for Change or Establishment of Imprest Fund and Designation (Obsolete 10/23/1986)	6	6
248	Annual Report on Federal Advisory Committee (Obsolete 10/20/1983)	16	12
254	Architect-Engineer and Related Services Questionnaire (Obsolete 4/19/1996)	1.1	010
255	Architect-Engineer and Related Services Questionnaire for Specific Project (Obsolete 11/12/1992)	1.1	010
300	Budget Schedule—General (Obsolete 10/15/1985)	5	2
307	Supplementary Source Document (Obsolete 6/25/1982)	5	2
363	(DISCON) Discrepancy in Shipment (Obsolete 8/19/1982)	9	2
1012-A	Travel Voucher (Memorandum) (Obsolete 2/16/2000)	1.1	010
1013-A	Payroll for Personal Services (Obsolete 2/4/1998)	2	2
1034-A	Public Voucher for Purchases and Services Other Than Personal (Memorandum) (Obsolete 4/22/2005)	1.1	010,011
1036	Statement and Certificate of Award (Obsolete 1/31/1986)	1.1 3	010,01 4
1075	Pay Receipt for Cash Payment (Obsolete 1/2/1986)	2	13
1097	Voucher and Schedule to Effect Correction of Errors (Obsolete 12/17/1981)	1.1	010,011
1126	Payroll Change Slip (Obsolete 3/10/1992)	1	1
	See Also:	2	23
1129	Cashier Reimbursement Voucher and/or Accountability Report (Obsolete 10/21/1986)	1.1	010,011
1129-A	Cashier Reimbursement Voucher and/or Accountability Report (Memorandum) (Obsolete 10/21/1986)	1.1	010,011
1143	Advertising Order (Obsolete 8/10/1990)	1.1	010,011
1172	Certification in Lieu of Lost U.S. Government Transportation Request (Obsolete 10/24/1984)	1.1	010,011
1185	Schedule of Undeliverable Checks for Credit to Government Accounts (Obsolete 7/24/1980)	1.1	010,011
1189	Request by Employee for Payment of Salaries or Wages by Credit to Account at a Financial Organization (Obsolete 4/29/1993)	2	18

OBOSOLETE FORMS - STANDARDS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
1192	Authorization for Purchase and Request for Change: U.S. Series EE Savings Bond (Obsolete 8/17/1990)	2	14
1203-A	U.S. Government Bill of Lading, Privately Owned Personal Property - Memorandum Copy (Obsolete 4/23/1991)	1.1	010
1411	Contract Pricing Proposal Cover Sheet (Obsolete 2/5/1998)	3	1,4
2807-1	Register of Adjustments—Civil Service Retirement System (Obsolete 6/28/1984)	2.5	010,011
2807-2	Annual Summary Retirement Fund Transactions (Obsolete 6/28/1984)	2.5	010,011
2811	Transmittal and Summary Report to Carrier - Federal Employees Health Benefits Program (Obsolete 10/6/2000)	2	22b
2815	Employee Service Statement (Obsolete 8/9/1982)	1	1

OBOSOLETE FORMS – OPTIONAL FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
12	Request for Door Title Cards and Holders (Obsolete 1/13/1993)	11	5
13	Form Design Guide Sheet (8" x 10 1/2") (Obsolete 4/26/1990)	16	4
13-A	Form Design Guide Sheet (16" x 10 1/2") (Obsolete 4/26/1990)	16	4
13-B	Form Design Guide Sheet for 331/3% Reduction of 8" x 10 1/2" (Obsolete 4/26/1990)	16	4
13-C	ADP Form Design Spacing Guide (Obsolete 4/21/1991)	16	4
16	Sales Slip - Sale of Government Personal Property (Obsolete 6/2/2004)	1.1	010
26	Data Bearing Upon Scope of Employment of Motor Vehicle Operator (Obsolete 5/28/1993)	10	5
37	Nomination for Interagency Training (Obsolete 6/21/1977)	1	30
59	Contract Pricing Proposal (Obsolete 4/1/1984)	3	1,4
60	Contract Pricing Proposal (Research and Development) (Obsolete 4/1/1984)	3	1,4
62	Safe or Cabinet Security Record (Obsolete 9/10/1985)	18	8
63	Security Container Information (Obsolete 9/12/1985)	18	8
68	Record of Travel Expenses (Obsolete 2/18/2000)	1.1	010,011
101	Summary Worksheet for Estimating Reporting Costs (Obsolete 2/22/2000)	16	6
137	Designation of Beneficiary (11/28/2003)	1	1
140	Election to Receive Extra Service Credit Towards Retirement and Report of Residence of Spouse (Obsolete 12/31/2003)	1	1
141	Application for Service Credit (Obsolete 2/6/2004)	1	1
144	Temporary Duty (TDY) Official Travel Authorization (Obsolete 4/14/2003)	1.1	010

OBOSOLETE FORMS - OPTIONAL FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
160	Request for Records (Freedom of Information Act) (Obsolete 5/16/1985)	14	16
189	Travel Reimbursement Voucher (Obsolete 8/17/2000)	1.1	010,011
191	Outgoing Telegram (Overseas) (Obsolete 8/29/1996)	12	3
191-A	Outgoing Telegram - Continuation Sheet (Obsolete 8/29/1996)	12	3
202	Leave Record (Obsolete 8/30/1996)	2	7
202-A	Leave Summary (Obsolete 8/30/1996)	2	7
206	Purchase Order, Receiving Report and Voucher (Obsolete 9/29/2000)	1.1	010
206-A	Purchase Order, Receiving Report and Voucher (Continuation Sheet) (Obsolete 10/20/2000)	1.1	010
630-A	Request to Donate Annual Leave to Leave Recipient (Within Agency) Under the Leave Transfer Program (Obsolete 8/15/2001)	1	37
1014	General Ledger (Ruled) (Obsolete 2/20/1990)	1.1	010
1014-A	General Ledger (Unruled) (Obsolete 2/20/1990)	1.1	010
1015	Allotment Ledger (Obsolete 2/20/1990)	1.1	010
1016	Distribution Ledger (Ruled) (Obsolete 2/20/1990)	1.1	010
1016-B	Distribution Ledger (Unruled) (Obsolete 4/2/1982)	1.1	010
1017-C	Register of Allotment Ledger Transactions (Obsolete 2/20/1990)	1.1	010
1101	Miscellaneous Obligation Record (Obsolete 2/20/1990)	1.1	010
1114	Bill for Collection (Obsolete 2/20/1990)	8	1
1114-A	Official Receipt (Obsolete 2/20/1990)	1.1	010,011
1114-B	Collection Voucher (Obsolete 2/20/1990)	1.1	010,011
	See Also:	4	6
1120	Transportation Request Accountability Record (Obsolete 2/20/1990)	9	5
1127	Individual Pay Card	2	1
1130-A	Time and Attendance Report (For Use Abroad) (Obsolete 11/13/1984)	2	7

OBSOLETE FORMS – IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
15 (B&F)	Notice of Travel Obligation (Obsolete 4/1/1988)	1.1	010
16	Stock Requisition for Printed Material (Obsolete 3/15/1999)	3	9
141	Statement of Special Moneys Transaction (Obsolete 5/17/2000)	1.1	010

OBOSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
496	Record of Issuance and Disposition of Transportation Requests (Obsolete 1/22/1990)	9	5
668	Notice of Federal Tax Lien Under Internal Revenue Laws (Obsolete 4/1/1988)	2	18
668-A	Notice of Levy (Obsolete 6/10/1994)	2	18
812	Stock Record (Obsolete 4/1/1988)	1.1	010
992	Supplemental Information for Appointment, Reinstatement or Transfer (Obsolete 4/1/1988)	1	1,10
1587	Record of Seized Vehicles, Vessels and Aircraft (Obsolete 4/1/1988)	1.1	010
1588	Record of Other Seized Property (Obsolete 4/1/1988)	1.1	010
1748	Registered Matter Received for Delivery (Obsolete 4/1/1988)	12	5
1766	Form Design Guide (Obsolete 3/23/1999)	13	3
1766-A	Form Design Guide (Obsolete 3/23/1999)	13	3
1766-B	Form Design Guide Sheet (Obsolete 4/1/1988)	13	3
1766-C	Form Letter Design Guide (Obsolete 3/23/1999)	13	3
1767(C)	Publishing Services Requisition (Obsolete 10/27/2003)	13	2
1767-M(CG)	IR Manual Publishing Services Requisition (Obsolete 10/7/2002)	13	2
1767-T	Publishing Services Requisition for Training Publications (Obsolete 11/8/2004)	13	2
1771	Report of Final Payment of Printing and Reproduction Requisitions (Obsolete 4/1/1988)	13	3
1782	Publication Job Jacket (Obsolete 4/1/1988)	13	3
1783	Notice of Scheduled Delivery of Printed Material (Obsolete 4/1/1988)	13	3
1785	Reproduction Service Delivery Receipt (Obsolete 4/1/1988)	13	3
1787	Teletype Register (Obsolete 4/1/1988)	12	3
1794	Financial Plan FY—Budget Estimate FY (Obsolete 4/1/1988)	5	2,4
1796	Request for Publication (Obsolete 4/1/1988)	3	9
1797	Publication Control Record (Obsolete 4/1/1988)	13	4
1926	Personal Property Inventory Equipment (Furniture) (Obsolete 4/1/1988)	1.1 1.1	010 040
1926-A	Personal Property Inventory Equipment (Obsolete 4/1/1988)	1.1 1.1	010 040
1931	Transfer Receipt of Personal Property (Obsolete 5/19/1994)	1.1 4	010 4
1932	Declaration of Excess Personal Property (Obsolete 12/19/1990)	4	5
1934	Employee Clearance Certificate (Obsolete 4/1/1988)	18	22,23

OBSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
1938	New or Revised Form/Envelope Request (Obsolete 8/19/1998)	16/3.1	4/011
1953	Tax Forms Inventory and Estimated Requirements (Obsolete 4/1/1988)	13	3
1953-A	Tax Form Inventory and Estimated Requirements (Obsolete 4/1/1988)	13	3
1953-B	Publications Inventory and Estimated Requirements (Obsolete 4/1/1988)	13	3
1970-A	Minimum Stock Level Notice (for Regional and District Offices) (Obsolete 4/1/1988)	13	3
1977	General Ledger (Obsolete 11/30/1989)	1.1	010
1989	Form Status Notice (Obsolete 7/29/1997)	16/3.1	4/011
2023	Service Center Survey, Specialty Items (Obsolete 4/1/1988)	13	3
2028-EA	Report of Enrollee Applicant Investigation (Obsolete 4/1/1988)	18	22b
2028-M	Inspection Report Sheet (Obsolete 4/1/1988)	18	22b
2040-N	IRS Office Distribution List Tax Forms (Obsolete 8/25/1994)	13	3
2065	Qualifications Record (Obsolete 1/8/2009)	1	1,10
2076	National Background Investigations Center Referral Memorandum (Obsolete 8/29/2005)	18	22a
2087	Procurement Control Register (Obsolete 3/13/2006)	13	4
2088	Internal Production Register (Obsolete 7/19/1989)	13	4
2089	Report on Budget Execution (Obsolete 4/1/1988)	5	2,4
2128	Notice of Shipment—Confirmation of Delivery (Obsolete 4/1/1988)	1.1 13	010,011 2
2157	Publication Status Notice (Obsolete 4/1/1988)	4.1	020
2161	Annual Records Holdings and Disposition Report (Obsolete 5/12/1999)	16	6
2165	Federal Group Life Insurance Information for Employee Leaving the Internal Revenue Service (Obsolete 4/10/2006)	2.5	020
2166-A	Stock Issue Record (Obsolete 4/1/1988) See Also:	1.1 13	010 2
2166-B	Visible Index Insert (Obsolete 4/1/1988) See Also:	1.1 13	010 2
2166-C	Back Order Record (Obsolete 4/1/1988) See Also:	1.1 13	010 2
2174	Advice of Allotment (Obsolete 4/1/1988)	5	6
2176	Notice of Inter-Regional Adjustment (Obsolete 4/1/1988)	1.1	010
2187	Information and Instructions for New Employees (Obsolete 4/10/2006)	1	10,18

OBOSELETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
2189	Advance of Travel Funds Bond (Individual) (Obsolete 4/1/1988)	1.1 9	010 4
2196	Civil Service Examination Status Report (Obsolete 4/1/1988)	1	16
2216	Supervisor's Job Induction Checklist of Orientation of New Employees (Obsolete 4/1/1988)	1	10,18
2217	Position Schedule Bond (Obsolete 4/1/1988)	1.1	010
2227	Pre-Exit Interview (Obsolete 4/1/1988)	1	8
2228-A	Supporting Schedule to General Ledger Trial Balance (Obsolete 8/10/1992)	6	6
2228-B	Supporting Schedule to General Ledger Trial Balance (Obsolete 4/1/1988)	6	6
2228-C	Annual Supporting Schedule to General Ledger (Obsolete 4/1/1988)	6	6
2228-PG 2-4	General Ledger Trial Balance (Obsolete 4/1/1988)	6	6
2257	Worksheet for Position Report (Obsolete 4/1/1988)	1	16
2282	Adjustment Voucher (Obsolete 4/1/1988)	1.1	010
2286	Certificate of Training (Obsolete 4/1/1988)	1	1
2288	Notice of Travel Obligation (Obsolete 4/1/1988)	1.1	010
2294	Request for Information on Lost Bill of Lading (Obsolete 4/1/1988)	9	2
2310	Confirmation of Delivery of Tabulating Cards (Obsolete 4/1/1988)	1.1 13	010,011 3
2318	Form Letter for Return of Invoice (Obsolete 4/1/1988) See Also:	3 6	4 6
2325	Employee Relations Summary Record (Obsolete 4/1/1988)	1	1,8
2326	Personnel Referral Record (Obsolete 4/1/1988)	1/2.5	17/010,011
2327	Notification of U.S. Savings Bond Action (Obsolete 4/1/1988)	2	14
2333	Tax Practitioner Program Mailing List Update and Order Cost Workup Sheet (Obsolete 4/1/1988)	3 13	9 1
2333-A	Embassy Tax Forms Order Blank (Obsolete 4/22/2004)	13	1
2333-B	Request for Blank Income Tax Forms (Obsolete 4/1/1988)	13	1
2333-B(C)	Request for Blank Income Tax Forms (Obsolete 4/1/1988)	13	1
2333-EA	Practitioner's Order Blank for Advance Supply of 1985 Information Returns (Obsolete 4/1/1988)	13	1
2333-L	Request for Blank Income Tax Forms for Libraries (Obsolete 4/1/1988)	13	1
2333-L(C)	Request for Blank Income Tax Forms for Public Libraries (Obsolete 4/1/1988)	13	1
2333-P	Request for Annual Information Returns/Reports for Pension and Welfare Plans (Obsolete 4/1/1988)	13	1

OBOSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
2333-R	Request for Major Tax Forms/Pubs. And Related Tax Forms (Obsolete 4/1/1988)	13	1
2333-S	Request for Tax-Related Forms (Obsolete 4/1/1988)	13	1
2333-SB	Small Business Order Form (Obsolete 11/13/2003)	13	1
2333-T	Request for Additional Blank Tax Forms (Obsolete 4/1/1988)	13	1
2340	General Ledger (Obsolete 4/1/1988)	1.1	010
2358	Property Program (Obsolete 4/1/1988)	1.1	010
	See Also:	1.1	040
2358-B	Office Furniture Requirements as listed in IRS Standards (Obsolete 4/1/1988)	1.1	010
		1.1	040
2375	Personnel Reassignment Information (Obsolete 4/1/1988)	1/2.5	1,10,17/010, 011
2378	Request for Change(s) in Distribution of Internal Management Documents and Releases (Obsolete 4/1/1988)	13	2
		4.1	020
2384	Time and Attendance Record (Obsolete 4/1/1988)	2	7
2386	Major Tax Forms Inventory Report (Obsolete 4/1/1988)	13	2
2387	Position Report (Obsolete 4/1/1988)	1	16
2388	Project Assignment Record (Obsolete 4/1/1988)	4.1	020
2420	Report on Promotions Accomplished (Obsolete 4/1/1988)	1	16
		5	5
2421	Survey Card for Quarterly Releases Showing Collections of Excise Taxes (Obsolete 4/1/1988)	13	5
2444	Accounting Batch Control Document (Obsolete 4/14/2009)	1.1	010
2450	Individual Weekly Operational Analysis for Non-Enforcement Personnel (Obsolete 4/1/1988)	2	7a
2450-A	Weekly Operation Analysis for Non-Enforcement Personnel (Obsolete 4/1/1988)	2	7a
2450-B	Record of Employee Detailed (Obsolete 1/22/1990)	2	7a
2454	Expense Ledger (Obsolete 4/1/1988)	7	3
2455	Personnel Analysis (Obsolete 4/1/1988)	2	22
2466	Consolidated Payroll Control Register (Obsolete 4/1/1988)	2	22
2469	Monthly Statement of General Ledger Entries (Obsolete 4/1/1988)	6	6
2470	Correspondence Course Completion Report (Obsolete 4/1/1988)	1	1,10
2474	Report on Annual Review of Positions (Obsolete 4/1/1988)	1	16
		2	22
2478	Stock Record (Forms, Publications and Documents) (Obsolete 6/23/1998)	1.1	010
2487	Stores Stock Issue Book (Obsolete 4/1/1988)	3	9

OBOSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
2488	Dummy - Memorandum of U.S. Government Request for Transportation (Obsolete 8/10/1992)	1.1	010,011
2489	Publications/Forms Transfer Request (Obsolete 5/6/1994)	3 13	9 2
2489-R	Regional Publication/Forms Transfer Request (Obsolete 4/1/1988)	3 13	9 2
2492	Vehicle Record Book (Obsolete 4/1/1988)	10	3
2492-A	Motor Vehicle Identification and Assignment (Obsolete 4/1/1988)	10	3
2492-B	Monthly Motor Vehicle Expense Report (Obsolete 4/1/1988)	10	3
2492-C	Motor Vehicle Record (Obsolete 4/1/1988)	10	4
2492-F	Monthly Motor Vehicle Report (Obsolete 4/1/1988)	10	3
2492-G	Requirements For Interagency Motor Pool Vehicles for Fiscal Year (Obsolete 4/1/1988)	10	4
2492-PT I	Maintenance and Inspection Record (Obsolete 4/1/1988)	10	3
2492-PT II	Maintenance and Inspection Record (Obsolete 4/1/1988)	10	3
2509	Report of Conduct, Character Background, and NACI Cases on Hand and Pending Administrative Determinations (Obsolete 4/10/2006)	1	27
2537	Activity Ledger (Obsolete 4/1/1988)	1.1	010
2538	Allotment Ledger (Obsolete 4/1/1988)	1.1	010
2548	Supplemental Bond File (Obsolete 4/1/1988)	2	14
2562	Annual Envelope Requirements Survey (Obsolete 4/1/1988)	1.1	010
2564	Space and Funding Requirements for New and Expanding Program (Obsolete 4/1/1988)	11	2
2580	Executive Selection Program—Evaluation of Candidates for Placement (Obsolete 4/1/1988)	1	1
2582	Disciplinary and Suitability Cases Closed (Obsolete 4/10/2006)	1	30a
2585	Register of Terminal Leave Obligations (Obsolete 4/1/1988)	2	23
2595	Telegraphic Message (Obsolete 4/1/1988)	12	3
2671	Regional Analyst Time Report (Obsolete 4/1/1988)	2	7a
2697	Internal Use Forms Requirements	13	3
2699	Wage and Tax Statement (Obsolete 4/1/1988)	2	18
2699-A	Wage and Tax Statement (Obsolete 4/1/1988)	2	18
2703	Notice of Receipt of Tax Form (Obsolete 4/1/1988)	13	3
2713	Application for Section 6(c) Retirement (Obsolete 4/1/1988)	1/2.5	1,10,17/010,011
2763	Suggestion Acknowledgment (Obsolete 4/1/1988)	1	12
2773	Regional Training Program Estimates (Obsolete 4/1/1988)	5	2,4

OBOSELETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
2776	Evaluation of Candidates for Executive Training (Obsolete 4/1/1988)	1	1
2788	Report of Overtime Worked Not Recorded on T/A Record (Obsolete 4/10/2006)	2	7a
2790	Time and Attendance Record Correction Notice (Obsolete 4/1/1988)	2	7
2798	(Postal Card) Re TIR Releases (Obsolete 4/1/1988)	13	5
2813	Record of Request for Teaching Taxes Material (Obsolete 4/1/1988)	13	3
2832	Grade Structure and Man-Years Realized Report (Obsolete 4/1/1988)	2	22
2839	Federal Employees' Health Benefits Program—Medical Certificate of Incapacity (Obsolete 4/1/1988)	1	1
2854	Report of Interview (Obsolete 4/1/1988)	1	8
2934	Employee Evaluation of the Pre-Retirement Counseling Program (Obsolete 4/10/2006)	2.5	010,011
2972	Payroll Change Card (Obsolete 4/1/1988)	2	23
2978	Accounting Report—Employer's Share for Personnel Benefits (Obsolete 4/1/1988)	2	2
2979	Comprehensive Payroll Listing (Obsolete 4/1/1988)	2	1
2980	Accounting Report—Employees Wages and Allowances (Obsolete 4/1/1988)	2	2
3012	Payroll Rate and Hourly Adjustment Register (Obsolete 4/1/1988)	2	2
3013	Payroll Deduction "A" Adjustment Register (Obsolete 4/1/1988)	2	2
3018	WAE Employees Change of Duty Status Notice (Obsolete 4/1/1988)	2	23
3024	Report of U.S. Savings Bonds (Obsolete 8/30/1989)	2	14
3025	Object Class Ledger (Obsolete 4/1/1988)	1.1	010
3027	E and O Work Card (Obsolete 4/1/1988)	1.1	010
3078	Project Schedule and Progress (Obsolete 4/1/1988)	1	3
3113	Leave Without Pay Report (Obsolete 4/1/1988)	2.5	020,040
3135	Supervisor's Appraisal for Selection of Tax Auditor's (Obsolete 4/1/1988)	1	10,18
3190	Qualifications Inventory Card (Obsolete 4/1/1988)	1/2.5	17/010,011
3263	Special Investigative Programs Cost Report (Obsolete 4/1/1988)	1.1	010
3271	Printer's Distribution List (Obsolete 4/1/1988)	13	3
3320	Status of Minority Groups GS-5 and Above (Obsolete 4/1/1988)	1	3
3321	Report of Minority Groups (Obsolete 4/1/1988)	1	3
3322	Accessions by Grade and Category (Obsolete 4/1/1988)	1	16

OBOSELETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
3341	Check List for Filling Vacancies Occurring Before and During ADP Conversion (Obsolete 4/1/1988)	1	10,18
3368	Tax Technician Interview Rating Form (Obsolete 4/1/1988)	1	10
3369	Tax Technician Screening Summary Form (Obsolete 4/1/1988)	1	10
3372	Recruitment Progress Report (Obsolete 4/1/1988)	1	16
3384	Space Assignment Record (Obsolete 4/1/1988)	11	1
3431	Security File Check Sheet (Obsolete 4/1/1988)	1.1	010
3458	Position Description—Redeployment (Obsolete 4/1/1988)	1	3
3522	Rating Form for ES and D Interview Sessions (Obsolete 4/1/1988)	1/2.5	17/010,011
3522-A	Rating Form for E S and D Interview Sessions (Obsolete 4/1/1988)	1/2.5	17/010,011
3597	Report on Obligations (Obsolete 4/1/1988)	5	5
	See Also:	1.1	010
3606	Voucher Register (Obsolete 4/1/1988)	1.1	010
3627	Monthly Report of Reimbursements Made to GSA for Alterations, Construction or Improvements to Buildings (Obsolete 4/1/1988)	1.1	010
3637	Commercial Printing Contractor’s Equipment Questionnaire (Obsolete 4/1/1988)	1.1	010
3676	Space Evaluation Check List (Obsolete 4/1/1988)	11	1
3679	Mid-Year Review Summary by Purpose (Obsolete 4/1/1988)	5 6	5 6
3680	Mid-Year Review Operating Programs (Obsolete 4/1/1988)	5 6	5 6
3681	Mid-Year Review Support Programs and Capital Outlay (Obsolete 4/1/1988)	5 6	5 6
3682	Mid-Year Review Form – Subsidiary Schedule A (Obsolete 4/1/1988)	5 6	5 6
3683	Mid-Year Review—Advance Notice of Approved Revised Annual Plan Request for Proposed Reapportionment (Obsolete 4/1/1988)	5 6	5 6
3695	Employee Service Record Report (Obsolete 4/1/1988)	1 2	26 22
3698	Employee Data Change Notification (Obsolete 4/1/1988)	1 2	14 22
3702	Updating Batch Control Register (Obsolete 4/1/1988)	2	1
3711	Request for Grade Structure Change Funds (Obsolete 4/1/1988)	2	22
3717	Career Group III Placement Questionnaire (Obsolete 4/1/1988)	1	1

OBOSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
3717-A	Evaluation of Career Group III Candidates (Obsolete 4/1/1988)	1	1
3718	Evaluation of Supervisory Ability (Obsolete 4/1/1988)	1	1
3730	Payroll Updating Batch Control—Card No. 99 (Supplement) (Obsolete 4/1/1988)	2	22
3768	Annual Position Review Summary and Certification (Obsolete 4/1/1988)	1/2.5	17/010,011
3771	Suggestion Program Progress Report (Obsolete 4/1/1988)	1	13
3781	Payroll Adjustments Batch Control—Card No. 94 (Supplement) (Obsolete 4/1/1988)	2	22
3782	Payroll Adjustments Batch Control—Card No. 93 (Supplement) (Obsolete 4/1/1988)	2	22
3783	Payroll Adjustments Batch Control—Card No. 92 (Supplement) (Obsolete 4/1/1988)	2	22
3784	Payroll Adjustments Batch Control—Card No. 91 (Supplement) (Obsolete 4/1/1988)	2	22
3785	Payroll Multiple Indicative Adjustments—Card No. 08 (Supplement) (Obsolete 4/1/1988)	2	22
3786	Payroll Accounting Correction—Card No. 07 (Supplement) (Obsolete 4/1/1988)	2	22
3787	Payroll Retirement Adjustment—Card No. 06 (Supplement) (Obsolete 4/1/1988)	2	22
3788	Payroll Voluntary Deduction Adjustment—Card No. 05 (Supplement) (Obsolete 4/1/1988)	2	22
3789	Payroll Deduction “B” Adjustment—Card No. 04 (Supplement) (Obsolete 4/1/1988)	2	22
3790	Payroll Deduction “A” Adjustment—Card No. 03 (Supplement) (Obsolete 4/1/1988)	2	22
3791	Payroll Rate and Hourly Adjustment—Card No. 02 (Supplement) (Obsolete 4/1/1988)	2	22
3792	Payroll Off Tape Adjustments—Card No. 01 (Supplement) (Obsolete 4/1/1988)	2	22
3793	Payroll Adjustments Batch Control Register (Obsolete 4/1/1988)	2	22
3794	Payroll Off Tape Adjustment Register (Obsolete 4/1/1988)	2	22
3795	Payroll Voluntary Deduction Adjustment Register (Obsolete 4/1/1988)	2	22
3796	Payroll Retirement Adjustment Register (Obsolete 4/1/1988)	2	22
3797	Payroll Multiple Indicative Adjustments Register (Obsolete 4/1/1988)	2	22
3798	Payroll Accounting Correction Register (Obsolete 4/1/1988)	2	22
3838	Health and Group Life Insurances and Retirement Tabulation (Obsolete 4/1/1988)	2	22

OBOSELETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
3850	Expense Symbol Ledger (Obsolete 4/1/1988)	1.1	010
3851	Undistributed Ledger (Obsolete 4/1/1988)	1.1	010
3853	Payroll Rate and Hourly Adjustment Register for Terminal Leave (Obsolete 4/1/1988)	2	22
3854	Payroll Adjustments Batch Control Register for Terminal Leave (Obsolete 4/1/1988)	2	22
3860(C)	Summary of Performance Rating and Related Certifications (Obsolete 1/18/1999)	1	23
3861	Performance Evaluation (Obsolete 4/1/1988)	1	1
3862	Performance Evaluation (Revenue Officer GS-1169-9) (Obsolete 4/1/1988)	1	1
3863	Performance Evaluation (Revenue Officer GS-1169-11) (Obsolete 4/1/1988)	1	1
3876	Taxpayer Assistor Supervisory Evaluation (Obsolete 4/1/1988)	1	10
3877	Taxpayer Assistor Panel Interview Rating (Obsolete 4/1/1988)	1	10
3878	Taxpayer Assistor Screening Summary (Obsolete 4/1/1988)	1	10
3888	General Utility Register (Obsolete 9/8/1993)	2	22
3890	Request for Security Clearance (Obsolete 4/1/1988)	1	10
3901	Placement Officers Workshop Participant Evaluation (Obsolete 4/1/1988)	1	10
3918	Evaluation of Candidate for Appellate Career Program (Obsolete 4/1/1988)	1	3
3919-B	Evaluation for Appellate Career Program – Managerial (Obsolete 4/1/1988)	1	3
3923	Transaction List (Obsolete 4/1/1988)	2	22
3934	Recruitment Study (Obsolete 4/1/1988)	1	16
3956	Appellate Personal Inventory Record (Obsolete 4/1/1988)	1	3
3970	Payroll Listing (Obsolete 4/1/1988)	2	22
3971	Property Accounting & Reporting System (Obsolete 4/1/1988)	1.1	010
4011	Placement Follow-up Interview Record (Obsolete 4/1/1988)	1	10
4012	Placement Follow-Up Employee Questionnaire (Obsolete 4/1/1988)	1	10
4013	Placement Follow-Up Supervisory Questionnaire (Obsolete 4/1/1988)	1	10
4076	Semi-Annual Report of Abolished Vacant Positions (Obsolete 4/1/1988)	2	22
4104	Appointment Checklist (Obsolete 4/10/2006)	1	1
4206	Evaluation Guide and Worksheet (Obsolete 4/10/2006)	1	7a2a
4238	Report of Potential for Advancement (Obsolete 4/10/2006)	1	15

OBOSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
4241	Intern Candidate Performance Appraisal and Report of Potential (Obsolete 4/10/2006)	1	15
4323	Notice of Status Change of Cleared Employee (Obsolete 3/13/2006)	18	23
4324	Security Clearance Review and Refresher Briefing (Obsolete 3/20/2009)	18	22a
4532	Retirement Computation Record (Obsolete 4/10/2006)	2.5	010,011
4537	Roster of Eligibles for Promotion and Promotion Certificate (Obsolete 4/10/2006)	1	15
4557	New First – Level Manager Training (Obsolete 10/31/2008)	1	29b
4582-A(C)	Certificate of Completion (Obsolete 6/21/2006)	1	29b
4607-A	Examination Action and Time Record (Obsolete 4/1/1988)	2	7a
4702-A	Temporary Quarters Subsistence Expenses (Second 30 days) (Obsolete 4/1/1988)	1.1	010
4959	Time and Attendance Record (Printed on Natural Stock) (Obsolete 4/1/1988)	2	7
4959-A	Time and Attendance Record (Obsolete 4/1/1988)	2	7
4959-B	Time and Attendance Record (Obsolete 4/1/1988)	2	7
4959-C	Time and Attendance Record (Yellow Top Stripe) (Obsolete 4/1/1988)	2	7
5016	Tally Sheet – Numerical or Stroke (Obsolete 3/8/2006)	12	7
5018	Sampling Report (Obsolete 3/8/2006)	1	7(2)c(1)
5153	Request Relocation of IDRS Equipment (Obsolete 3/8/2006)	3.1	020
5368	Space Management Information Retrieval System – Space Assignment Data (Obsolete 4/1/1988)	11	17
5368-R	Space Management Information Retrieval System – Reimbursable Costs Sec. Sys. (Obsolete 4/1/1988)	11	17
5425	Justification for Charge-back on SIBAC Transactions (Obsolete 4/1/1988)	11	16
5451	Copy Machine Usage and Cost Summary (Obsolete 3/8/2006)	1.1	010,011
5496	Eligibility and Rate Determination for Administratively Uncontrollable Overtime (AUO) Work (Obsolete 11/24/1995)	2	7
5497	Report of Administratively Uncontrollable Overtime (AUO) Work (Obsolete 11/24/1995)	2	7
5543	Problem Resolution Record (Obsolete 5/22/2000)	16	14
5610	Form Status Verification (Obsolete 3/13/2006)	13	5
5641	Fair Labor Standards Act Time Sheet (Obsolete 4/1/1988)	2	7
5796	Time and Attendance Record-Substitute (salmon) (Obsolete 10/7/1992)	2	7
5797	Time and Attendance Record-Amended (yellow) (Obsolete 10/7/1992)	2	7

OBOSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
5887	Screening Panel Final Rating Form for ES&D and Single Function Executive Selection (Obsolete 1/8/2009)	1	8
5888	Screening Panel Worksheet for ES&D and Single Function Executive Selection (Obsolete 1/8/2009)	1	8
5889	Screening Panel Interview Form for ES&D and Single Function Executive Selection (Obsolete 4/10/2006)	1	8
5986	Fair Labor Standards Act Time Record (Obsolete 4/20/2001)	2	7
6016	PRP Statistical Record (Obsolete 7/14/1998)	16	14
6147	Grievance Case Jacket (Obsolete 4/1/1988)	1	30a
6233	Job Analysis Record – Summary of Job Elements (Obsolete 4/10/2006)	1	7a2a
6236	Job Analysis Record – Summary Job Elements (Obsolete 4/10/2006)	1	7a2a
6257(C)	Time and Attendance Roster (Obsolete 6/16/2004)	2	7
6398-A	NCR Random Number Generator Program STAT 1 (Obsolete 4/1/1988)	3.1	030
6402	Enforcement Badge Disposition (Obsolete 6/30/2005)	18	19a
6406	Short Form Application for Determination for Amendment of Employee Benefit Plan (Obsolete 7/10/2009)	2	24
6583	Monthly Report of Union Representatives Use of Time (Obsolete 4/10/2006)	1	28
6774(TAS)	Receipt of Critical Job Elements and Retention Standard (for Taxpayer Advocate Service – TAS – Employees Only (Obsolete 4/27/2007)	1	7b
6850	Performance Appraisal and Retention Standard Rating (Obsolete 7/31/2003)	1	23
6850-A	Job Element Appraisal (Obsolete 7/31/1995)	1	23
6850-BU (TAS)	Bargaining Unit Performance Appraisal and Recognition Election (for Taxpayer Advocate Service – TAS – Employees Only) (Obsolete 4/27/2007)	1	23
6850-NBU (TAS)	Non-Bargaining Unit Performance Appraisal (for Taxpayer Advocate Service – TAS – Employees Only) (Obsolete 4/27/2007)	1	23
6858-A	Request for Approval of Travel (Obsolete 4/1/1988)	1.1	010,011
6869	Household Goods Information Sheet (Obsolete 3/8/2006)	1.1	010,011
6870	Government Bills of Lading Review Sheet (Obsolete 3/8/2006)	1.1	010
6925	Received from the Commissioner of Internal Revenue the Following Described Pieces of Mai(Obsolete 8/2/1988)	12	6
6993	Requisition for Engraving and Plate Printing (Obsolete 4/1/1988)	13	3
6993-A	Requisition for Engraving and Plate Printing(Obsolete 4/1/1988)	13	3
6994-A	Purchase Order (Obsolete 4/1/1988)	3	1,4

**OBOSELETE FORMS - IRS FORMS**

FORM NO.	TITLE	SCHEDULE	ITEM
6994-B	Purchase Order Continuation Sheet (Obsolete 4/1/1988)	3	1,4
7000	Correspondence Control (Obsolete 4/1/1988)	12	6
7130	Fax Order for Supplies of RO and DO Letters (Obsolete 1/20/2005)	13	4a
7834	Record of Students in Training Courses (Obsolete 8/18/1992)	1	16
8028	Printing Program Requirements (Obsolete 3/8/2006)	13	2
8094	ACS Performance Record (Obsolete 4/1/1988)	1	23
8094-A	ACS Performance Worksheet (Obsolete 4/16/2009)	1	23
8094-B	ACS Performance Worksheet Teach/Paper Processing (Obsolete 4/16/2009)	1	29
8432	Positions at the GS-8 and Above (in the Centers) (Obsolete 4/10/2006)	1	7b
8433	Positions at the Full Performance Level or Below (Obsolete 4/10/2006)	1	7b
8434	Positions Above the Full Performance Level (Obsolete 3/13/2006)	1	7b
8605	Receipt – Putaway Order (Obsolete 3/15/2006)	13	2
8639	IMDDS Data Input Form (Obsolete 1/17/2008)	13	2
9111-A	Management Achievement Program Statement of Accomplishments (Obsolete 3/12/2003)	1	15
9158	Blank Citations for the Awards Program (Obsolete 6/15/2005)	1	12a1
9172	Certificate of Continuing Ethical Responsibility for Departing Procurement Officials (Obsolete 4/10/2006)	1	27
9241	IRS Voluntary Leave Bank Program Leave Recipient Authorization (Obsolete 2/17/2009)	1	37
9375	Line Profile Grid (Obsolete 3/15/2006)	13	2
9388	Inventory Adjustment Log (Obsolete 3/9/2006)	13	3
9390	Fiscal Year Inventory Accuracy Report (Obsolete 3/9/2006)	3.1	020
9489	Contractors ID Media Request (Obsolete 2/1/2008)	1.1	010
9511	MAP (Management Achievement Program) Entry Level Self-Assessment of Readiness (Obsolete 11/8/1994)	1	15
9619	Notification of Probationary Period Document (NOPPD) (Obsolete 6/9/2009)	1	1
9798	CPB/FSP/PRP Distribution List (Obsolete 4/17/2009)	13	1
9878	Product Number Log Sheet (Obsolete 7/15/2008)	13	2
9883	Checklist of Appointment Forms (Obsolete 3/6/2006)	1	3
10006	Fingerprint Sheet (Obsolete 10/31/2008)	1	1
	See Also:	18	22a
10094-A	Individual Development Planning Sheet (Obsolete 10/31/2008)	1	29
10097 (CG)	Time Off Option In Lieu of Cash Award (Obsolete 11/1/2004)	1	12a1

OBSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
10153	Your Annual Leave Chart (Obsolete 3/6/2006)	2	6
10176	Certification for Health Benefits and Life Insurance Coverage for Seasonal Employee (Obsolete 4/17/2007)	1	10
10221	Freedom of Information Act (FOIA) Search Request (Obsolete 4/7/2009)	4.2	020
10221-A	Response to Freedom of Information Act (FOIA) Search Request (Obsolete 4/7/2009)	4.2	020
10232	Inventory Register – Unassigned Portable Property (Obsolete 5/8/2007)	3	9
10235	Imprest Fund Receipts (Obsolete 9/25/2006)	1.1	010,011
10236	Excess Property Control Log (Obsolete 5/9/2007)	3	9
10238	Follow-up on Outside Employment (Obsolete 5/18/2007)	1	1,18
10257	Listing of Vehicles Exempted from Semi-Annual Utilization Analysis (Obsolete 3/6/2006)	10	1
10261	Enrollment Request for Courses from Career Development Center or Resources Management Curriculum (Obsolete 3/6/2006)	1	29a1
10266	Grade Structure Change Program (Obsolete 3/6/2006)	1	7b
10276	Support Provided Classroom Instructors (Obsolete 3/6/2006)	1	29a1
10277	Student’s Evaluation of Instructor Performance (Obsolete 3/6/2006)	1	29a1
10278	Manager’s OJT Questionnaire (Obsolete 3/6/2006)	1	29a1
10279	Trainee OJT Questionnaire (Obsolete 3/6/2006)	1	29a1
10282	SF-149 Credit Card Purchases (Obsolete 3/6/2006)	1.1	010,011
10290	Learning Center Nomination/Acknowledgement (Obsolete 3/6/2006)	1	15
10319	Resignation Taken by Phone (Obsolete 3/6/2006)	1	1
10335	Delivery Log (Obsolete 4/3/2009)	12	6
10338	Purchase Card Log (Obsolete 9/25/2006)	3	1
10340	Management Systems Branch – Credit Time/Comp. Time/Overtime/Leave Request (Obsolete 5/8/2007)	2	6
10370	PC-TARE Time and Attendance Time Sheet (Obsolete 3/6/2006)	2	7a
10381	Insurance History Record (Obsolete 3/6/2006)	1	10
10416-A	Approval Request for Use of Off-Site Training Facilities (Obsolete 12/16/2002)	11	1
10438	Field Location and Itinerary Check – Out Sheet (Obsolete 5/11/2007)	2	7b3
10465	OJT Case Review Guide for Tax Auditors (Obsolete 5/9/2007)	1	15
10477	Monthly Vehicle Usage Log (Obsolete 1/8/2007)	10	4
10580	Postal Meter Resetting Approval (Obsolete 5/13/2003)	12	6a,6b,6c
10875	Records Destruction Notice (Obsolete 1/8/2009)	4.1	020

OBSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
10939	Authorization for Release of Airline Tickets (Obsolete 6/9/2009)	1.1	010
10941	Management Training Program Resume (Obsolete 4/16/2009)	1	29a1
10941-B	Management Training Program – Self Assessment (Obsolete 4/16/2009)	1	29a1
10996	Continuing Professional Education (CPE) Credit Form (Obsolete 6/22/2009)	1	29a1
11074	ID Media Review (Obsolete 1/10/2006)	13	2
11105	Transit Time Card (Obsolete 4/17/2006)	9	7
11138	Application for Car Pool (Obsolete 4/9/2003)	9	7
11247	Property Pass (Obsolete 6/26/2008)	18	12
11247-A	Property Pass (Obsolete 7/25/2007)	18	12
11247-B	Property Pass (Obsolete 7/25/2007)	18	12
11267	Work Order – Building Management Section (Obsolete 2/28/2006)	11	5
11351	Request to Order Supplies on a Government Credit Card (Obsolete 9/25/2006)	1.1	010,011
11395	Travel Authorization Request (Obsolete 5/15/2007)	1.1	010,011
11664	Monthly Certification of Eligibility (Obsolete 9/17/2004)	9	7
11664-A	Public Transportation Subsidy Program Application (Obsolete 10/27/2008)	9	7
11664-B	Public Transportation Subsidy Program Vanpool Application (Obsolete 10/27/2008)	9	7
11665	Mail Submission Certification (Obsolete 1/8/2009)	12	6a,6b
11674	Metro Atlanta Distribution List (Obsolete 4/3/2005)	13	4a
12003-A	IRS Business Card Purchased by Employees (Obsolete 12/7/2000)	1.1	010,011
12234	Converted Order Point Number (OPN) (Obsolete 3/1/2006)	13	1,2
12234-A	Advance Notification of OPN Change (Obsolete 9/12/2003)	13	1,2
12289	Contractor Daily Shipping Report (Obsolete 3/17/2008)	1.1	010,011
12555	Employee Orientation Checklist – New Employee – Permanent (Obsolete 5/26/2009)	1	29a1
12555-A	Employee Orientation Checklist – New Employee – Temporary (Obsolete 5/26/2009)	1	29a1
12555-B	Employee Orientation Checklist – New Employee – Term (Obsolete 5/26/2009)	1	29a1
12555-C	Employee Orientation Checklist – New Employee – Returning Seasonals (Obsolete 5/26/2009)	1	29a1

OBSOLETE FORMS - IRS FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
12555-D	Employee Orientation Checklist – New Employee – Reinstatements (Obsolete 5/26/2009)	1	29a1
12555-E	Employee Orientation Checklist – New Employee – Seasonal Work Schedule (Obsolete 5/26/2009)	1	29a1
12555-F	Employee Orientation Checklist – New Employee – Transfer – Internal (Obsolete 5/26/2009)	1	29a1
12555-G	Employee Orientation Checklist – New Employee – Transfer – External (Obsolete 5/26/2009)	1	29a1
12555-H	Employee Orientation Checklist – New Employee – Intermittent Work Schedule (Obsolete 5/26/2009)	1	29a1
12595	Facilitator Request (Obsolete 6/27/2009)	1	29a1
12626	Training Course Attendance Record (Obsolete 7/6/2008)	1	29a1
12653	Qualifications and Availability (Form A) (Obsolete 9/22/2006)	1	15
12694	Notification of Move/Organizational Change (Obsolete 4/16/2009)	1	14
12808	Self-Study Student Enrollment Form (Obsolete 6/24/2005)	1	23a1
12827	Report of Incident at the Detroit Computing Center (Obsolete 6/27/2009)	18	11
12847-Q	E-177 (Rev. 1-1998) Envelope Specification Sheet (Obsolete 11/15/2002)	13	2
12883	SF-87 Input Worksheet (Obsolete 6/22/2009)	18	22a
12987	Verification Form (Obsolete 3/14/2006)	1	32
13103	Control Log for IMDDS List and Labels (Obsolete 8/26/2005)	13	1
13245	“I Suggest” Transmittal Form (Obsolete 4/3/2009)	1	12a1
13495	Voluntary Early Retirement Authority/Voluntary Separation Incentive Pay (VERA/VSIP) (Obsolete 1/8/2009)	2	23a
13625	FlexiPlace Comment Sheet (Obsolete 2/8/2007)	1	3
13646	LMSB Self-Study Student Completion Form (Obsolete 3/14/2008)	1	29a1

OBSOLETE FORMS – OTHER FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
TD-1 (TAC)	Employee Suggestion (Obsolete 4/1/1988)	1	1,12
TD-1A (TAC)	Employee Suggestion (Obsolete 4/1/1988)	1	1,12
TD-3 (TAC)	Report on Incentive Awards (Obsolete 4/1/1988)	1	13
TD-4A (TAC)	Recommendation for Special Act or Service or Superior Work Performance Award (Obsolete 4/1/1988)	1	1,12

OBOSOLETE FORMS - OTHER FORMS

FORM NO.	TITLE	SCHEDULE	ITEM
GSA-33	Report on Procurement by Civilian Executive Agencies (Obsolete 3/15/1999)	1.1	010
GSA-144	Net Space Requirements for Future Federal Building Construction (Obsolete 1/24/2000)	11	2
GSA-304-A	Received Message Number Sheet(Obsolete 4/15/1999)	12	3
GSA-1354	Job Order (Obsolete 8/4/1999)11	5	
GSA-1357	General Purpose and Other Space Managed by GSA (Obsolete 4/3/2000)	11	2
GSA-1436	Memorandum Receipt – Personal Property at GSA Sales Site (Obsolete 8/16/1999)	1.1 14	010 6
TD-2770	Application for Motor Vehicle Operator’s ID Card and Operator’s Record (Obsolete 4/1/1988)	1	25
GSA-2970	FBF SLUC Billing System Identification – Notice of Change (Obsolete 11/26/1999)	11	2,16
GSA-2972-A	Nonpayment Adjustment of FBF SLUC Billing (Obsolete 11/26/1999)	11	2,16

