

August 1993

SUPPLEMENT 1 TO NUREG-0910, REVISION 2

"NRC COMPREHENSIVE RECORDS DISPOSITION SCHEDULE"

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**NOTE:** Changes to your copy of NUREG-0910 **MUST** be made in chronological/numerical order to preserve the accuracy of the document.

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## NRC SCHEDULE 2

### RECORDS OF NRC OFFICES

#### PART 1. RECORDS OF THE OFFICE OF ADMINISTRATION

The Office of Administration (ADM) is responsible for providing centralized administrative services in the areas of procurement, property management, facilities support, transportation, rulemaking support, Freedom of Information Act requests, publications services, local public document rooms, and security.

The following record schedules were developed for records unique to ADM. Reference NRC Schedule 1, "Records Common To Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
1.	<u>Administrative Budget Control (ABC)</u>  This system is a budget and funds control and management information system for items of concern for the Office of Administration.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.1
2.	<u>Central Personnel Clearance Index (CPCI)</u>  This batch-mode system maintains data and information on the security clearance status of NRC and NRC contractor personnel. This system will be replaced by a redesigned and upgraded online system.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.J.2
3.	<u>Classified Document Control System (CDCS)</u>  The system maintains data and information for the review of document classification for the determination of declassification or continued classification of national security information and material according to established criteria.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.J.4

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
4.	<u>Contracts System</u>  The system maintains data and information on contract pre-award, post-award and status, such as: action requested, date RFP issued, estimated cost, dollar value, award date, expiration date, contract type number, contractor name, contract title and program office contact.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.1.2
5.	<u>Directive Case Files</u>  Internal directives issued at the Commission level, maintained in the Office of Administration.		
	a. Record copy documenting important aspects of the development of the issuance.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.31
	b. Working papers and background material.	Destroy 6 months after directive is issued.	
	c. Other copies of directives.	Destroy when superseded.	
6.	<u>Drug Testing Program Files</u> Superseded by GRS 1-36.		
7.	<u>Grants' Files</u> (Also reference GRS 3-14, "Grant Administrative Files.")		
	a. Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants.	Destroy 6 years and three months after case is closed.	NC1-431-81-5 Item 1.5.33



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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	b. Reports, books, studies, or any other final grant product and related records accumulated in the Division of Contracts and Property Management.	<u>Permanent</u> . Offer to NARA when 10 years old.	
8.	<u>Graphic Arts Files</u>  Original artwork line and half-tone negatives, and other camera-ready copy prepared for brochures, posters and other NRC publications by the Division of Freedom of Information and Publications Services, Office of Administration.	Destroy when no longer needed for publication or reprinting.	NC1-431-81-4 Item 2
9.	<u>Holding Action System (HAS)</u>  This system maintains locator information on all documents in the printing and distribution cycle.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.I.9
10.	<u>Organizational Records</u>  Official organization charts, telephone books and related records which document the organization and functions of the agency.		
	(1) Record copy maintained by the Office of Administration.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.35
	(2) All other copies.	Destroy when superseded or obsolete.	



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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
11.	<u>Property and Supply System (PASS)</u>  The Property and Supply System maintains records of all NRC actions concerning property and supplies examples such as: property and supply transactions, maintenance transactions, warehouse inventory, consumable usage, stockage reorder points, NRC item identification catalog, abnormal maintenance incident rates, fiscal data for contract renewal and suspense items overdue return from vendor.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 13.1.4
12.	<u>Security Policy Files</u>  Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed by Division of Security, Office of Administration in the administration and direction of security and protective services programs.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.37
13.	<u>Security Violations (Felonies) Files</u>  Case files relating to investigations of alleged security violations of exceptional historical and evidential value. Maintained by Division of Security, Office of Administration.	<u>Permanent</u> . Offer to NARA when 10 years old.	NC1-431-81-5 Item 1.5.38
14.	<u>Still Photography Files</u>  a. Portraits of NRC Chairman and Commissioners, maintained by the Printing, Audiovisual, and Mail Services Branch, Office of Administration, and photographs of reactor		

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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	sites and noteworthy NRC-related activities. Arranged by name or subject.		
	(1) The original negative and captioned print or contact sheet, and inter-negative, if one exists.	<u>Permanent</u> . Break file every five years. Offer to NARA five years after file break.	NC1-431-81-4 Item 1.a
	(2) Duplicate prints maintained in any NRC office.	Destroy when no longer needed	
b.	35mm color slides of reactor sites, maintained by Printing, Audiovisual, and Mail Services Branch, Office of Administration, arranged by reactor name.		
	(1) The original transparency and one duplicate, if one exists.	<u>Permanent</u> . Break file every five years. Offer to NARA five years after file break.	NC1-431-81-4 Item 1.b
	(2) Duplicate copies maintained by any NRC office.	Destroy when no longer needed.	
c.	Portraits of NRC officials below the Commissioner Level, and photographs of routine activities such as awards, retirements, and administrative functions, maintained by the Printing, Audiovisual, and Mail Services Branch, Office of Administration.	Destroy when no longer needed.	

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RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
15.	<u>Systems Security Records</u>		
a.	<u>Access Request Files</u>		
	Requests and authorization for individuals to have access to communication security (COMSEC) information.	Destroy 2 years after authorization expires.	NC1-431-81-5 Item 1.5.39
b.	<u>Document and Material Transfer Records</u>		
	COMSEC document and material transfer records, package receipts and COMSEC material reports, SF-153.	Destroy 2 years after completion of transaction.	NC1-431-81-5 Item 1.5.39
c.	<u>Inventory of COMSEC Documents and Material</u>		
(1)	Periodic inventories of COMSEC documents and material in cases where no discrepancies exist.	Destroy after the succeeding inventory is submitted and verified.	NC1-431-81-5 Item 1.5.39
(2)	Periodic inventories of COMSEC documents and material where discrepancies exist.	Destroy after the succeeding inventory is submitted and verified and all discrepancies resolved.	
(3)	Inventories conducted on change or absence of COMSEC custodian.	Destroy 1 year after conducted and verified and all discrepancies resolved.	
(4)	Inventories conducted periodically or on change or absence of COMSEC custodian where irregularities exist or have existed.	Destroy when all purposes have been served.	

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
d.	<u>Loss or Compromise of Accountable COMSEC Documents or Material</u>  Message reports, letter reports or other documents relating to loss or compromise of accountable COMSEC documents or material.	Destroy only after accountability established or evidence of compromise negated.	NC1-431-81-5 Item 1.5.39
e.	<u>Document and Material Destruction</u>  Key card disposition record, key list disposition record and other records of destruction of accountable COMSEC documents or material.	Destroy when 2 years old.	NC1-431-81-5 Item 1.5.39
f.	<u>Reportable Telecommunications Insecurities</u>  Reports of any deviation or incident which could adversely affect the security of a telecommunication system.	Destroy 5 years after all action has been completed.	NC1-431-81-5 Item 1.5.39
g.	<u>Security Proposals for the Establishment of Centers and Use of Equipment</u>  Security proposals for the establishment of secure communications centers, installation of equipment or systems.	Destroy 2 years after the center is deactivated, equipment has been replaced or system is changed.	NC1-431-81-5 Item 1.5.39
h.	<u>Equipment</u>  List of equipment comprising a secure telecommunications system (e.g., terminal equipment, cryptographic equipment and modems).	Destroy when no longer applicable.	NC1-431-81-5 Item 1.5.39

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
i.	<u>Floor Plans</u>  Floor plans of secure communications centers showing the location of equipment, the construction of walls, floors and ceilings of the room(s) or separate architectural details such as doors, windows or ducts.	Destroy when secure communications centers have been relocated.	NC1-431-81-5 Item 1.5.39
j.	<u>Installation Drawings</u>  Installation drawings, e.g., writing diagrams conduct plans for the secure telecommunications equipment.	Destroy when equipment has been replaced.	NC1-431-81-5 Item 1.5.39
k.	<u>Standard Operating Instructions</u>  Standard operating instructions for secure communications centers.	Destroy when secure communications center is no longer operable.	NC1-431-81-5 Item 1.5.39
l.	<u>Tempest and Acoustic Tests</u>  Documents relating to Tempest tests or tests conducted of secure communications centers.	Destroy after subsequent tests have been conducted and results approved.	NC1-431-81-5 Item 1.5.39
m.	<u>Audio Countermeasure Inspection Files</u>  Records of sweep requests (NRC Form 337) and sweep reports (NRC Form 336) relating to the examination and inspection using sophisticated electronic equipment.	Destroy after the succeeding inspection is conducted.	NC1-431-81-5 Item 1.5.39

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
16.	<u>Video Recording Files</u>		
a.	NRC-sponsored 3/4-inch video productions intended for public distribution. These include educational programs produced by Los Alamos Scientific Laboratory and distributed by the National Audiovisual Center.	<u>Permanent</u> . Offer master and one dubbing to NARA when no longer in current distribution.	NC1-431-81-4 Item 3
b.	Off-the-air recordings of media coverage of NRC-related activities and events, or appearances of NRC officials.	Erase and reuse when no longer needed.	
c.	Original 3/4-inch video recordings of public meetings, speeches, conferences, testimony of NRC officials before Congress and other hearings made and maintained by the Printing, Audiovisual, and Mail Services Branch, Office of Administration.	<u>Permanent</u> . Break file every five years. Offer master and one dubbing to NARA five years after file break.	
d.	Video productions purchased from outside sources for technical training of NRC staff and maintained in the Printing, Audiovisual, and Mail Services Branch, Office of Administration.	Destroy and reuse when no longer needed.	
e.	Duplicate dubbings of any recording described in a, b, c, or d above maintained by any NRC office.	Erase and reuse when no longer needed.	

## NRC SCHEDULE 2

### RECORDS OF NRC OFFICES

#### PART 3. RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

The Advisory Committee on Reactor Safeguards (ACRS) reviews safety studies and applications for construction permits and facility operating licenses, and makes reports thereon; advises the Commission with regard to hazards of proposed or existing reactor facilities and the adequacy of proposed reactor safety standards; upon request of the Department of Energy (DOE), reviews and advises with regard to the hazards of DOE nuclear activities and facilities; reviews any generic issues or other matters referred to it by the Commission for advice. On its own initiative may conduct reviews of specific generic matters or nuclear facility safety-related items. Conducts studies of reactor safety research, prepares, and submits annually to the U.S. Congress a report containing the results of such study.

The following record schedules were developed for records unique to the ACRS. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
1.	<u>ACRS Members Personnel Files</u>		
	Records pertaining to the background of individual members of the Committee and containing information on their activities during their membership with the Committee.	Retain for life of committee, then destroy immediately.	NC1-431-81-5 Item 3.2
2.	<u>Annual Reports of the ACRS to the U.S. Congress</u>		
	Reports pertaining to ACRS evaluation of the effectiveness of NRC effort in reactor safety research issued as NUREG documents and retained permanently in micro fiche form (See NRCS 2, Part 14, Item 8.a.2).		NC1-431-81-5 Item 8
	a. Paper copies of annual reports.	Destroy when microfiche copies have been determined to be an adequate substitute for original records.	



NRC SCHEDULE 2  
RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	b. Reference copies of microfiche.	Retain for life of Committee.	
3.	<u>Classified Defense Information File</u>  Reports, correspondence and other records pertaining to DOD reactors and to DOE production facilities, arranged by subject.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 11
4.	<u>Committee Files on Regulation Guidelines</u>  Correspondence, memoranda, and reports pertaining to committee and public comments on the formulation of all NRC regulations relating to nuclear operating standards, arranged numerically by NRC Regulatory Guide number.	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 5
5.	<u>Consultant Personnel Files</u>  Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with ACRS.	Destroy 10 years after termination of contract.	NC1-431-81-5 Item 6
6.	<u>General Program Correspondence Files</u>	Apply the applicable disposition standards contained in NRCS #1, Part 2, Item 2, subject to the record-keeping requirements imposed by the Federal Advisory Committee Act (PL-92-463).	NC1-431-81-5 Item 3.1
7.	<u>Keyword Index (KWIC/KWOC)</u>  The ACRS Keyword Index provides a means to identify and physically locate any document that	Retain until it has been determined by a competent NRC Official that data	NC1-431-81-2 Item 13.K



## NRC SCHEDULE 2

### RECORDS OF NRC OFFICES

#### PART 19. RECORDS OF THE OFFICE OF NUCLEAR MATERIAL SAFETY AND SAFEGUARDS (NMSS)

The records described in this schedule document NRC responsibility for ensuring public health and safety, protection of the national security, and protection of environmental values in the licensing and regulation of all facilities and materials licensed under the Atomic Energy Act of 1954, as amended, associated with the processing, transport and handling of nuclear materials, including the review and assessment of their safeguards against potential threats, thefts and sabotage.

The following record schedules were developed for records unique to NMSS. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
1.	<u>Certificate of Compliance Files</u>  Original of NRC Certificates of Compliance documenting approval of licensee transportation of radioactive materials package design under 10 CFR Part 71. These certificates are published by NRC and a copy of all certificates are filed in applicable docket file.	Retain current certificates in notebook. Destroy when certificates are revised.	NC1-431-81-5 Item 4.6.20
2.	<u>Docket Files for the Disposal of High-Level Radioactive Wastes in Geologic Repositories</u>  Case files documenting the licensing of the U.S. Department of Energy to receive and possess source, special nuclear and by-product material at a Geologic Repository Operations Area pursuant to 10 CFR Part 60. Included are license application, site characterization, environmental report, license, amendments and all other related documentation.		NC1-431-83-2 Item 1

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>APPROVED CITATION</u> NARA
	a. Official case files located in the Office of Nuclear Material Safety & Safeguards.	<u>Permanent.</u> Retire to WNRC 10 years after expiration or termination of license. Offer to NARA in 5-year blocks after license expiration or termination.	
	b. All other copies.	Destroy 1 year after termination or expiration of license or sooner if no longer needed for reference.	
3.	<u>Docket Files for the Land Disposal of Radioactive Wastes</u>  Case files documenting the licensing of persons, companies, institutions and facilities to receive, possess and dispose of low-level radioactive wastes containing byproduct, source and special nuclear material at a land disposal facility. Records include application, environmental report, license and license amendments, and all other related documentation.		NC1-431-83-3 Item 1
	a. Official case files located in the Office of Information Resources Management for the Office of Nuclear Material Safety & Safeguards.	<u>Permanent.</u> Retire to WNRC 10 years after expiration or termination of license. Offer to NARA in 5-year blocks after license expiration or termination.	
	b. All other copies.	Destroy 1 year after termination or expiration of license or sooner if no longer needed for reference.	

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	NARA APPROVED CITATION
4.	<u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u>	Note: Destruction of Official Records suspended until resolution of GAO request to make certain decommissioning records in this series permanent.	NC1-431-81-5 Item 1.3.22
	Case files documenting the licensing of persons, institutions, facilities or companies to use byproduct, source and special nuclear material, and to transport nuclear material as defined in 10 CFR Parts 30, 40, 50, 70, and 71. Included are the application, license and amendments, and all related documentation. Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by schedule 2, Part 28, Item 1.		
	a. Official case files, except for those files covered by "b" below. Regional case files which include the Official Records for Inspections; also reference NRC 2-24.7, "Inspection & Enforcement Case Files", items a and b.2, and use the longest period applicable.	Retire to WNRC after license is expired or terminated and receipt of certification that premises are free of contamination. Destroy 10 years after date of certification, or Decommissioning Procedure.	
	b. Case files covering licensee for which licensing jurisdiction is transferred to the State under agreement covering transfer of function.	Transfer to Agreement States.	
	c. All copies in NMSS and Regional Offices.	Destroy when 1 year old or earlier if purpose has been served.	

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
5.	<u>Independent Spent Fuel Storage Installation Docket Files</u>  Case files documenting the licensing to possess power reactor spent fuel and other radioactive materials associated with spent fuel storage, in an Independent Spent Fuel Storage Installation (ISFSI) as defined in 10 CFR Part 72. Each license issued is for a period of 20 years. Records consist of all required licensing documents including license application, license and amendments; all required periodic reports; and all other related documentation.		N1-431-89-4 Item 1
	a. Official ISFSI Docket files corresponding to Nuclear Power Plant Docket files selected for permanent retention schedule 2-20.9.a.	<u>Permanent.</u> Cut off files upon termination of license. Retire files to IRMB 1 year after cut off. Transfer to the National Archives 20 years after termination of license.	
	b. Official ISFSI Docket files not selected for permanent retention.	Cut off files upon termination of license. Retire files to IRMB 1 year after cut off. Destroy 20 years after termination of license.	
	c. All other copies in NMSS, NRR and regional offices.	Destroy 1 year after license terminates or earlier if no longer needed for reference purposes.	
6.	<u>International Safeguards Program Office</u>  ISPO files copies of reports developed by U.S. contractors under the Program for Technical	<u>Permanent.</u> Offer to NARA when 20 years old.	NC1-431-81-5 Item 4.6.24

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	Assistance to IAEA Safeguards (POTAS). The ISPO is a part of the Brookhaven National Laboratory and is responsible for coordinating the comments and development process of the POTAS reports. Also included in the files are correspondence between ISPO and NRC, DOE and DOJ and NRC response to ISPO requests for comments on draft reports and copies of final reports.		
7.	<u>Licensee Mismanagement Files</u>		
	Licensee reports and other records relating to incidents of the mismanagement of radiation administered to individuals by licensees (primarily doctors or other medical facilities) containing name of individuals and other data pertaining to the mismanagement.	Files to be maintained by licensee or State office of radiological safety for 75 years from date of report. If records are deposited with NRC, destroy 75 years from date of report.	NC1-431-81-5 Item 1.4.26
8.	<u>NMSS Case Work System (CASE)</u>		
	System provides management with a means to identify and track the status of all case work items relative to licensing nuclear fuel facilities and materials.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 12.B.4
9.	<u>Nuclear Material Management and Safeguards System (NMMSS)</u>		
	The NMMSS is a national nuclear material accounting system. It provides information needed to track and regulate production, transfer, possession, use, import, and export of nuclear materials. The system maintains information on the location and quantities of special nuclear materials, SNM, in possession of	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 11.B.2

# NRC SCHEDULE 2

## RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	DOE and NRC licensees. The system is operated by Union Carbide Corp. at the Gaseous Diffusion Plant in Oak Ridge, Tenn.		
10.	<u>Process Operator License Files</u>		
	Case files documenting the licensing of process operators in reprocessing plants including new and/or renewal applications, medical certificates, licenses and amendments, examinations and results, and related correspondence, including denial information.		NC1-431-81-5 Item 4.6.19
	a. Latest applications and related correspondence, license, examinations and results; all medical certificates and data; and all examiners reports.	Destroy 4 years after expiration or termination of license or issuance of denial letter.	
	b. Superseded applications and related correspondence, licenses, examinations and results; denial letters.	Destroy when 2 years old or when superseded, whichever is later.	
11.	<u>Quality Assurance Files</u>		
	Originals of NRC 311 or its equivalent documenting NRC determination that licensee meets requirements of Sec. 71.51 of 10 CFR Part 71 (Quality Assurance Program on Radioactive Material Packages). Record copy is in Docket File.	Destroy 5 years after termination of license.	NC1-431-81-5 Item 4.6.21
12.	<u>Regulatory Information Tracking System - NMSS (NMSS-RITS)</u>		
	NMSS-RITS is an integration of five computer systems (NMSS case work, TACS, MPS, BUDS and POPS) which are updated weekly. Data	Retain until it has been determined by a competent NRC Official that data are no longer needed;	NC1-431-81-2 Item 12.B.3

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
	within the system are retained by staff member, licensee, and technical assignments. The system retains current and historical data on project schedules and staff resources.	erase and reuse tape, etc.	
13.	<u>Safety Evaluation Reports</u>		
	NRC narrative reports and revisions describing actions taken by applicants and NRC, and individual aspects of radioactive material package design under the requirements of 10 CFR Part 71.	Destroy in accordance with the authorized disposition for schedule 2-19.4.a. and b.	NC1-431-81-5 Item 4.6.22
14.	<u>Sealed Source and Device Review Files</u>		
	Case files which document NRC review and approval of the design of sealed sources and/or devices containing licensed radioactive materials. A certificate or registration for sealed sources and/or devices is issued when the design is considered acceptable for licensing. Included are copies of applications, Certificates of Registration, safety analysis summaries and related correspondence.	Destroy in accordance with authorized disposition for schedule 2-19.4.a and b.	NC1-431-81-5 Item 4.6.23
15.	<u>Source and Special (SS) Material Accountability System Files</u>		
a.	<u>SS Material Shipping Form Files</u> consisting of DOE/NRC Forms DP-741 or equivalent, used in the transfer of source and special nuclear materials, or other special nuclear materials, or other material controlled by the SS Materials Accountability	Destroy when 3 fiscal years old.	NC1-431-81-5 Item 4.6.25.c



NRC SCHEDULE 2

RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	System at Oak Ridge National Laboratory.		
16.	<u>Transport Approval Package Information System (TAPIS)</u>		
	The system maintains data and information regarding all packages approved by NRC for use in the transportation of radioactive material. Included are description of package, approval particulars and all licensed users.	Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.	NC1-431-81-2 Item 11.B.1
17.	<u>UMTRAP Project Licensing Case Files</u>		
	Project files documenting the concurrence and licensing activities for the Uranium Mill Tailings Remedial Action Program (UMTRAP), pursuant to the Uranium Mill Tailings Radiation Control Act of 1978.		
	a. Official project files located in the NRC File Center (Central Files) and Region IV, Uranium Recovery Field Office.	<u>Permanent.</u> Cut off files in 1995 and retire in 5 year blocks thereafter. Retire to WNRC 1 year after cutoff. Case files are to remain in NRC custody until licenses are terminated, expired, or 75 years old, whichever is earlier. Review and offer terminated or expired licenses and material more than 75 years old to NARA at 20 year intervals beginning year 2020.  (Note: Transfer textual finding aid to NARA at the time of transfer of official files corresponding to finding aid).	NC1-431-89-1 Item 1



NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
b.	All other copies.	Destroy one year after termination or expiration of license or sooner if no longer needed for reference.	Nonrecord

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
a.	Case files deemed by the NRC, contractor, or the National Archives and Records Administration to have exceptional value because of the highly significant nature of the research involved or uniqueness of the case file. Included are files that:	<u>Permanent</u> . Offer to NARA in annual blocks when 20 years old.	
	(1) Show development of new and significant techniques.		
	(2) Relate to new and significant methodology and materials.		
	(3) Were the subject of Congressional investigation or came under intensive public scrutiny.		
	(4) Result in judicial decisions or legislative activities affecting the functions and activities of the NRC.		
	(5) Result in significant changes in regulatory activities and functions of the NRC.		
b.	All other case files.	Destroy when 15 years old.	
17.	<u>Scientific and Technical Reports</u>		
	These are published and unpublished scientific and technical reports, as defined in NRC Management Directive 3.8.		NC1-431-81-5 Item 4.8.28

NRC SCHEDULE 2  
RECORDS OF NRC OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
	a. Record copy officially designated by the originating NRC office or contractor.		
	(1) Published reports.	See NCRS 2, Part 14, Item 8.a. for authorized disposition.	
	(2) Unpublished reports.	<u>Permanent</u> . Offer to NARA in annual blocks when 20 years old.	
	b. All other copies.	Destroy when no longer needed for reference.	
18.	<u>Still Photographs Associated With LOFT</u>		
	Still photographs of instruments, facilities, procedures special visits associated with the LOFT reactor. Prints are maintained in the Office of Nuclear Regulatory Research, Division of Accident Evaluation, Experimental Programs Branch and negatives are maintained by the research contractor arranged by subject.	<u>Permanent</u> . Break file every five years. Offer negative and print to NARA five years after file break.	NC1-431-81-4 Item 1.e
19.	<u>Video Recordings For Research Projects</u>		
	Experiment and Test records for research projects, as follows:		
	a. Edited, educational motion picture film or video-recordings on the LOFT program. Originals may be maintained by contractors and prints or dubbings maintained in the Office of Nuclear Regulatory Research,	<u>Permanent</u> . Offer original, intermediate copy and print or dubbing to the National Archives when five years old.	NC1-431-81-4 Item 3.F

# NRC SCHEDULE 2

## RECORDS OF NRC OFFICES

### PART 28. RECORDS OF THE URANIUM RECOVERY FIELD OFFICE

The Uranium Recovery Field Office (URFO) implements NRC policy regarding uranium recovery facilities and remedial actions for inactive processing sites.

The following records schedules were developed for records unique to URFO. Reference NRC Schedule 1, "Records Common to Most Offices," and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA APPROVED CITATION
1.	<u>High-Level, Low-Level, and Uranium Recovery Docket Files</u>		
	Case Files documenting the licensing of high-level, or low-level and uranium recovery operations including mills, solution mining, and heat leaching of ion exchange facilities in non-Agreement States as defined in 10 CFR 40 with license transfer prefix of "SUA." Includes applications, licenses and amendments and other related material. The files are arranged by docket number.	<u>Permanent</u> . Offer to NARA when 10 years old.	NCI-431-81-5 Item 1.3.23
2.	<u>UMTRAP Project Licensing Case Files</u>		
	Project files documenting the concurrence and licensing activities for the Uranium Mill Tailings Remedial Action Program (UMTRAP), pursuant to the Uranium Mill Tailings Radiation Control Act of 1978.		
a.	Official project files located in the NRC File Center (Central Files) and Region IV, Uranium Recovery Field Office.	<u>Permanent</u> . Cut off files in 1995 and retire in 5 year blocks thereafter. Retire to WNRC 1 year after cutoff. Case files are to remain in NRC custody until licenses are	NCI-431-89-1 Item 1

## NRC SCHEDULE 2

RECORDS OF NRC OFFICES

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>NARA APPROVED CITATION</u>
		terminated, expired, or 75 years old, whichever is earlier. Review and offer terminated or expired licenses and material more than 75 years old to NARA at 20 year intervals beginning year 2020.  (NOTE: Transfer textual finding aid to NARA at the time of transfer of official files corresponding to finding aid.)	
b.	All other copies	Destroy one year after termination or expiration of license or sooner if no longer needed for reference.	Nonrecord

## NRC SCHEDULE 2

### RECORDS OF NRC OFFICES

#### PART 29. RECORDS OF THE OFFICE OF POLICY PLANNING

The Office of Policy Planning serves as the principal advisor to the Executive Director for Operations (EDO) and the Commission for policy planning in support of the NRC's mission. The office develops and examines long-range policy issues relative to NRC programs; provides the lead in the strategic planning process; and assesses policy issues, operational environments and alternatives, and provides recommendations to the EDO and the Commission.

No schedules have been developed for material unique to this office. Reference NRC Schedule 1, "Records Common To Most Offices," and the General Records Schedules 1 through 23 for applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

Series	Schedule Number
Personnel: Monitoring Reports: Files	2-21.10
Plans and Systems Design Descriptions	2-21.11
Policy	
Budget (OC)	2-10.2
Management Directive Files	2-1.5
Policy and Precedent Files, Reference	1-1.4
Policy Files of NRC Offices	1-2.2
Policy Planning, Office of	2-29
Proposed and Final Rules	1-2.3
Security	2-1.12
Standards Development	2-21.8
Power Reactor Docket Files of the ASLBP	2-5.5
Preliminary Notification of Event or Unusual Occurrence PNO, PNS Files	2-20.10
Press Releases, OPA	2-23.1
Press Releases, Regions	2-24.6
Process Operator License Files	2-19.10
Program correspondence	
Congressional Correspondence Files	2-8.1
General Files of OSDBU/CR	2-26.1
Program Correspondence Files, Most Offices	1-2.2
Program Correspondence Files, ACRS	2-2.4
Program Management Files	1-2.2
Program Management Files, Research	2-21.15
Reading Files, Nonrecord	1-1.5
Technical Subject Files	1-2.2
Programmatic Files Common to Most Offices	1-2
Project Control System, NMSS	
Project Management System (PMS)	2-14.7
Property and Supply System (PASS)	2-1.11
Publications	2-14.8
Publications, Record Copy	2-14.8
Publications, Reference	1-1.6
Scientific and Technical Reports, RES	2-21.17
Vendor Topical Reports	2-20.18
Quality Assurance Files	2-19.11

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Series	Schedule Number
Radiation Exposure Information System (REIRS)	2-21.12
Reactor Operator and Senior Operator Docket Files	2-24.13
Reading Files	1-1.5
Chronological Files, Nonrecord	1-1.5
Chronological Files, Official Records	1-2.2
Commissioners' Chronological Files	2-6.1
Records Of NRC Offices	2-1 thru 2-29
Administration	2-1
Advisory Committee on Nuclear Waste	2-2
Advisory Committee on Reactor Safeguards	2-3
Analysis and Evaluation of Operational Data	2-4
Atomic Safety and Licensing Board Panel Commission	2-5
Commission Appellate Adjudication	2-6
Congressional Affairs	2-7
Consolidation	2-8
Controller	2-9
Enforcement	2-10
Executive Director for Operations	2-11
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*National Archives and  
Records Administration*

Washington, DC 20408

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GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 4

April 24, 1992

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TO: Heads of Federal Agencies

1. Purpose. This transmittal conveys changes to the General Records Schedules.

2. Background. The General Records Schedules (GRS) provide mandatory disposition instructions for records common to several Federal agencies. A complete set of the schedules was issued in 1988. The pages provided with this transmittal contain additions, revisions, and corrections to several schedules and to the Subject and Forms Indexes.

3. Explanation of changes.

a. General Records Schedule 1. Item 17b was edited to include records relating to retention registers; item 25 was modified to include Equal Employment Opportunity complaints that do not result in formal complaint cases; the disposition for item 30 was modified; and a new item 37 was added to cover records relating to donation of leave.

b. General Records Schedule 2. The retention period for time and attendance records covered under item 3 was increased from 3 years to 6 years at the request of the General Accounting Office.

c. General Records Schedules 6 and 9. Item 1 of GRS 6 and items 1 and 3 of GRS 9 were modified to clarify the description and disposition of records relating to travel and transportation.

d. General Records Schedule 10. This schedule was modified to correct a formatting error.

e. General Records Schedule 16. Item 10 was modified to reflect a recent revision of NARA regulations on micrographics (36 CFR Part 1230) that eliminated a requirement that agencies inspect temporary microform records; and a new item 14 was added to cover records relating to internal controls.

f. General Records Schedule 18. Item 25 was modified to reflect the fact that classified information nondisclosure agreements may be filed in the Official Personnel File.

g. General Records Schedule 21. The citation to the Code of Federal Regulations relating to the recovery of precious metals in the introduction was corrected.

h. General Records Schedule 23. The disposition for item 8 was edited to clarify that it covers electronic records.


i. Subject and Forms Indexes. The Subject Index was reformatted and additions were made to both indexes.

4. Availability. Additional copies of this change are available from the Records Administration Information Center (NI), Washington DC 20408. Phone: 202-501-6025 or FTS 241-6025.

5. Implementation. Agencies are required under 36 CFR 1228.50(d) to disseminate GRS changes within 6 months of receipt. If an agency wishes to apply a retention period that differs from that specified in the GRS, it must submit an SF 115 for NARA approval. In addition, deviations from the GRS 2, 6, and 9 items listed above must be approved by the General Accounting Office.

6. Instructions.

	Remove pages		and insert corresponding new pages
a.	5-8 and 11-18	of GRS 1	6-8, 11-18, of GRS 1 and 21
b.	1-6	of GRS 6	1-6 of GRS 6
c.	1-4	of GRS 9	1-4 of GRS 9
d.	1	of GRS 10	1 of GRS 10
e.	5	of GRS 16	5 and 7-10 of GRS 16
f.	7-9	of GRS 18	7-10 of GRS 18
g.	1	of GRS 21	1 of GRS 21
h.	5	of GRS 23	5 of GRS 23
i.	1-21	of Subject Index	1-22 of Subject Index
j.	9	of Forms Index	9 of Forms Index

  
DON W. WILSON  
Archivist of the United States

Attachments

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
11.	<u>Position Identification Strips.</u>  Strips such as SF 7D, used to provide summary data on each position occupied.	Destroy when superseded or obsolete.
12.	<u>Employee Awards Files.</u>  a. General awards records, EXCLUDING those relating to departmental level awards.  (1) Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.  (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.  b. Length of service and sick leave awards files.  Records including correspondence, reports, computations of service and sick leave, and list of awardees.  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.  d. Lists or indexes to agency award nominations.  Lists of nominees and winners and indexes of nominations.	Destroy 2 years after approval or disapproval.  Destroy when 2 years old.  Destroy when 1 year old.  Destroy when 2 years old.  Destroy when superseded or obsolete.

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

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General Records Schedule 1

ITEM

NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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13. Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old.

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.

b. All other copies maintained in personnel offices.

Destroy when 1 year old.

15. Employment Applications.

Applications (SF 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.

Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

16. Personnel Operations Statistical Reports.

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

Destroy when 2 years old.

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.

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AUTHORIZED DISPOSITION

- b. Retention registers and related records.
- (1) Registers and related records used to effect reduction-in-force actions. Destroy when 2 years old.
- (2) Registers from which no reduction-in-force actions have been taken and related records. Destroy when superseded or obsolete.
- c. All other correspondence and forms. Destroy when 6 months old.
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.
- b. Duplicate Documentation.
- Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule. Destroy when 6 months old.
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 non-work related purposes, EXCLUDING records covered by item 21 of this schedule. Destroy 6 years after date of last entry.
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.

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b. IF information is not summarized.

Destroy 2 years after last entry.

21. Employee Medical Folder (EMF).

a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293.

(1) Transferred employees.

See FPM for instructions.

(2) Separated employees.

Transfer to National Personnel Records Center (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.

b. Temporary or short-term records as defined in the FPM.

Destroy 1 year after separation or transfer of employee.

c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.

Destroy 60 years after retirement to FRC.

[NOTE: Master files and data bases created in central data processing facilities 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.

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.

[NOTE: Master files and data bases created in central data processing facilities 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.]

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24. Financial Disclosure Reports.

- a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).

- (1) Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

- (2) All other records including SF 278.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

- b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

25. Equal Employment Opportunity 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 EEOC, or by a U.S. Court.

Destroy 4 years after resolution of case.

- b. Copies of Complaint Case Files.

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

Destroy 1 year after resolution of case.



<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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.
	(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.	Destroy when 2 years old.
d.	Compliance Records.	
	(1) Compliance Review Files.	
	Reviews, background documents and correspondence relating to contractor employment practices.	Destroy when 7 years old.
	(2) EEO Compliance Reports.	Destroy when 3 years old.
e.	Employee Housing Requests.	
	Forms requesting agency assistance in housing matters, such as rental or purchase.	Destroy when 1 year old.
f.	Employment Statistics Files.	
	Employment statistics relating to race and sex.	Destroy when 5 years old.
[NOTE: Master files and data bases created in central data processing facilities 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.

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h.	EEO Affirmative Action Plans (AAP).	
	(1) Agency copy of consolidated AAP(s).	Destroy 5 years from date of plan.
	(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.
	(3) Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years from date of report.
	(4) Agency copy of annual report of Affirmative Action accomplishments.	Destroy 5 years from date of report.
26.	<u>Personnel Counseling Records.</u>	
	a. Counseling Files.	
	Reports of interviews, analyses and related records.	Destroy 3 years after termination of counseling.
	b. Alcohol and Drug Abuse Program.	
	Records created in planning, coordinating and directing an alcohol and drug abuse program.	Destroy when 3 years old.
27.	<u>Standards of Conduct Files.</u>	
	Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.
28.	<u>Labor Management Relations Records.</u>	
	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.

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(2) Other offices.

Destroy when superseded or obsolete.

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.

29. Training Records.

EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense.

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.

(2) Background and working files.

Destroy when 3 years old.

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.

[Note: Records excluded from this item must be scheduled by submission of an SF 115 to NARA. Reference copies of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations, previously included in the GRS, are nonrecord and may be destroyed when superseded or obsolete.]

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
30.	<u>Administrative Grievance, Disciplinary and Adverse Action Files.</u>	
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. [See note.]
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. [See note.]

[NOTE: The Office of Personnel Management 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 Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
31.	<u>Personal Injury Files.</u>  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.
32.	<u>Merit Promotion Case Files.</u>  Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING, any records that duplicate information in the promotion plan, in the OPF, or in any other personnel records.	Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.
33.	<u>Examining and Certification Records.</u>  Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.  a. Delegated agreements.  b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.  c. Test material stock control.  Stock control records of examination test material including running inventory of test material in stock.	Destroy 3 years after termination of agreement.  Break annually. Destroy 1 year after break.  Destroy when test is superseded or obsolete.

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|----|---|---|
| d. | Application Record Card (OPM Form 5000A, or equivalent).  | Break after examination.<br>Destroy no later than 90 days after break.  |
| e. | Examination Announcement Case Files.<br><br>Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications and their development. | Destroy 5 years after termination of related register.  |
| f. | Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).   | Break records on individuals with terminated eligibility annually. Destroy 5 years after break.<br><br>When entire register is terminated, destroy 5 years after termination date.<br>(Registers established under case examining: Destroy after audit by local OPM area office or 90 days after final action is taken on the certificate whichever is sooner.) |
| g. | Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).  | Break annually. Destroy 1 year after break.   |
| h. | Canceled and ineligible applications, supplemental forms, and attachments.  | Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.   |
| i. | Test Answer Sheets.<br><br>Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.  | Destroy when 6 months old.  |

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j. Lost or Exposed Test Material Case Files.

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

Break files annually. Destroy 5 years after break.

k. Eligible applications.

(1) On active register.

Destroy upon termination of the register (except applications that may be brought forward to new register, if any).

(2) On inactive register.

Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.

l. 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.

Break annually. Destroy 1 year after break.

m. Certificate Files.

SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.

Break annually. Destroy 5 years after break.



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<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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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).]

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

(1) "Permanent" 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).]

(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).]

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.

Destroy when 3 years old.  
[See note (2).]

[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 provides for the destruction of records 4 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).]

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General Records Schedule 1

ITEM

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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 one year after the end of the year in which the file is closed.

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 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 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 Treasury Department. 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 site audit was involved. This procedure was extended and confirmed by GAO General Regulations, No. 115 issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule includes records held for on-site audit by GAO, as described in item 1a below. Under on-site 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 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 one 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 which deposit funds into the Treasury, and (3) documents which 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 Treasury Department are not covered by this schedule and are provided for in separate schedules.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Accountable Officers' Files.</u>	
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 <u>except</u> 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.	Destroy 6 years and 3 months after period covered by account.
	Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also	

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General Records Schedule 6

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included are equivalent agency forms  
which 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  
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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

- b. Memorandum 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. Destroy when 1 year old.

[NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely 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.]

2. GAO Exceptions Files.

General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.

Destroy 1 year after exception has been reported as cleared by GAO.

3. Certificates Settlement Files.

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

- a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Destroy 2 years after date of settlement.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	b. Certificates covering period settlements.	Destroy when subsequent certificate of settlement is received.
4.	<u>General Fund Files.</u>  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.	Destroy when 3 years old.
5.	<u>Accounting Administrative Files.</u>  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.
	b. All other files.	Destroy when 3 years old.
6.	<u>Federal Personnel Surety Bond Files.</u>  a. Official copies of bond and attached powers of attorney.  (1) Bonds purchased before January 1, 1956.  (2) Bonds purchased after December 31, 1955.  b. Other bond files including other copies of bonds and related documents.	Destroy 15 years after bond becomes inactive.  Destroy 15 years after end of bond premium period.  Destroy when bond becomes inactive or after the end of the bond premium period.
7.	<u>Gasoline Sales Tickets.</u>  Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.	Destroy after GAO audit or when 3 years old, whichever is sooner.
8.	<u>Telephone Toll Tickets.</u>  Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.



ITEM  
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

9. Telegrams.

Originals and copies of telegrams filed in support of telegraph bills.

Destroy after GAO audit or when 3 years old, whichever is sooner.

10. Administrative Claims Files.

- a. Claims against the United States. Records relating to claims against the United States for moneys which 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.

- 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 which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c below.

- (1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.
- (2) Claims for which collection action has been terminated under 4 CFR Part 104.

Destroy when 6 years, 3 months old.

- (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.

- (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.

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 those 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 which 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |    |   |   |
|----|---|---|
| 1. | <u>Commercial Freight and Passenger Transportation Files.</u>   |   |
| 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.  | Destroy 6 years after the period of the account.      |
| 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) voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) voucher has become involved in litigation, or 6) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period, such as detection of overcharge. | Destroy when 10 years old.                            |
| c. | Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.  | Destroy 6 years after the period of the account.      |
| d. | Obligation copy of commercial passenger transportation vouchers.  | Destroy when funds are obligated.                     |
| e. | Unused ticket redemption forms, such as SF 1170.  | Destroy when no longer needed for administrative use. |

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Lost or Damaged Shipments Files.</u>  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.
3.	<u>Noncommercial, Reimbursable Travel Files.</u>  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.  b. Obligation copies.	Destroy when 6 years old.  Destroy when funds are obligated.
4.	<u>General Travel and Transportation Files.</u>  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.  b. Accountability records documenting the issue or receipt of accountable documents.	Destroy when 2 years old.  Destroy 1 year after all entries are cleared.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

5. Records Relating to Official Passports.

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.

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.

c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when no longer needed.

[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.]

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

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

41 CFR 101-38 prescribes policies and procedures. Standard Form 82, which is an annual motor vehicle report required by the Office of Federal Supply Services, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This 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 Office of Federal Supply and Services (Standard Form 82, Annual Motor Vehicle Report); (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 check-off sheets, cost ledgers, and claims correspondence and forms.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
1.	<u>Motor Vehicle Correspondence Files.</u>  Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Destroy when 2 years old.
2.	<u>Motor Vehicle Operating and Maintenance Files.</u>  a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.  b. Maintenance records, including those relating to service and repair.	Destroy when 3 months old.  Destroy when 1 year old.

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General Records Schedule 10

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Motor Vehicle Cost Files.</u>  Motor vehicle ledger and work sheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of work sheet.
4.	<u>Motor Vehicle Report Files.</u>  Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data, and SF 82-D, Agency Report of Sedan Data.	Destroy 3 years after date of report.
5.	<u>Motor Vehicle Accident Files.</u>  Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Operator's Report of Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness.	Destroy 6 years after case is closed.
6.	<u>Motor Vehicle Release Files.</u>  Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97A, Agency Record Copy of U.S. Government Certificate of Release of Motor Vehicle.	Destroy 4 years after vehicle leaves agency custody.
7.	<u>Motor Vehicle Operator Files.</u>  Records relating to individual employee operations of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employees or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.



ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

Destroy 5 years after completion or cancellation of study.

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.

Destroy 1 year after the records are transferred to the legal custody of the National Archives.

[NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]

- b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.

Destroy when no longer needed.

11. IRM Triennial Review Files.

Reports required by the General Services Administration 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.

ITEM

NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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12. Information Collection Budget Files.

Reports required by the Office of Management and Budget 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.

13. Documents Published in the Federal Register.

- 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); hearing 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.

- b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old.

[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.]

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

14. Internal Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Internal Control Systems, and P.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.

- b. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded.

- 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.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- 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 and Congress.

Cut off closed files annually. Destroy after next reporting cycle.

[NOTE: This item does not cover the consolidated final reports submitted directly to the President and Congress. The final reports must be scheduled by submitting an SF 115 to the National Archives.]

- 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 when no longer needed.

- f. Review files.

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.

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General Records Schedule 16

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(2) Copies maintained by other  
offices as internal reviews.

Cut off when no further  
corrective action is  
necessary. Destroy 1 year  
after cutoff.

[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.]

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

- 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.

- c. Index to the Personnel Security Case Files.

Destroy with related case file.

23. Personnel Security Clearance Status Files.

Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete.

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.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.

Destroy 5 years after close of case.

b. All other files, exclusive of documents placed in official personnel folders.

Destroy 2 years after completion of final action or when no longer needed, whichever is sooner.

25. Classified Information Nondisclosure Agreements.

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

a. If maintained separately from the individual's official personnel folder.

Destroy when 50 years old.

b. If maintained in the individual's official personnel folder.

Apply the disposition for the official personnel folder, or destroy when 50 years old, whichever is later.



ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for emergency programs.]

27. Emergency Planning Case Files.

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.

[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 by submission of an SF 115. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives by submission of an SF 115.]

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.

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General Records Schedule 18

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

b. Case files on individuals whose applications were rejected or withdrawn.

Destroy when 5 years old.

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 an SF 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NIR).

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." Copies are available from the NARA Office of Records Administration.

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 and Strategic and Critical Materials."

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.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>Still Photography</u>		
1.	Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.	Destroy when one year old or when no longer needed.
2.	Personnel identification or passport photographs.	Destroy when five years old or when no longer needed.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
3.	Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the agency.	Destroy one year after completion of training program.
4.	Duplicate items in excess of record elements required for preservation, duplication, and reference service by 36 CFR 1228.184.	Destroy when no longer needed.
<u>Graphic Arts</u>		
5.	Viewgraphs.	Destroy one year after use or when no longer needed.
6.	Routine artwork for handbills, flyers, posters, letterhead, and other graphics.	Destroy one year after final publication or when no longer needed.
7.	Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.	Destroy when no longer needed for publication or reprinting.
8.	Line copies of graphs and charts.	Destroy one year after final production or when no longer needed.
<u>Motion Pictures</u>		
9.	Films acquired from outside sources for personnel and management training.	Destroy one year after completion of training program.
10.	Films acquired from outside sources for personnel entertainment and recreation.	Destroy when no longer needed.
11.	Routine surveillance footage.	Destroy when no longer needed.
12.	Routine scientific, medical or engineering footage.	Destroy when two years old or when no longer needed.
13.	Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.	Destroy when no longer needed.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

8. Tracking and Control Records.

Logs, registers, and other records in hard copy or electronic form 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.

Destroy or delete when no longer needed.

9. Finding Aids (or indexes).

Indexes, lists, registers, and other finding aids in hard copy or electronic form 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.

Destroy or delete with the related records or sooner if no longer needed.

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1080	Voucher for Transfers Between Appropriations and/or Funds	6(1)
1081	Voucher and Schedule of Withdrawals and Credits	6(1)
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)	3(3);3(11)
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*National Archives and  
Records Administration*

Washington, DC 20408

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GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 5

July 9, 1992

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TO: Heads of Federal Agencies

1. Purpose. This transmittal conveys changes to the General Records Schedules (GRS).
2. Explanation of changes. GRS Transmittal No. 4, dated April 24, 1992, discussed a change to General Records Schedule 2. However, the revised page was inadvertently omitted from the filing instructions and from the attachment. This transmittal includes the revised page.
3. Instructions. Remove page 1 of General Records Schedule 2 and insert the new page 1.



DON W. WILSON  
Archivist of the United States

Attachment

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 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management; (b) files maintained in agency space for audit by the General Accounting Office under section 117(b) of the Budget and Accounting Procedures Act of 1950; (c) records relating to tax withholding, savings bonds, or 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. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration 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 General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by 82 Stat. 1301 (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 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 card, to which information is posted from more detailed records kept by time and attendance clerks located throughout an agency. Two basic forms or variations of them are used by most agencies: (a) Optional Form 1137, which shows leave taken by an employee over a two-year period; and (b) Optional Form 1130, which is a combination time and attendance and leave record designated to be maintained in agencies in which the time-keeping function is decentralized. One Optional Form 1130 is maintained for each employee each pay period, and the current leave status figure is accumulated from pay period to pay period.

Other records incidental to the payrolling process are withholding tax and savings bond records, reports made to Treasury Department units and the Office of Personnel Management on income tax and retirement transactions, and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

In many cases the records will be in electronic form, as the payrolling process has been almost universally converted to electronic data processing throughout the Federal government. With the exception of records created in central processing facilities described under item 17, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

## ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Individual Accounts Files.</u>  Individual earning and service cards, such as Optional Form 1127 or equivalent.	Transfer to the National Personnel Records Center (NRPCC), St. Louis, Missouri. (a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF. (See GRS 1, Item 1.) (b) If not in or filed adjacent to the OPF, destroy 56 years after the date of the last entry on the card.
2.	<u>Payroll Correspondence Files.</u>  General correspondence files maintained by payroll units pertaining to payroll preparation and processing.	Destroy when 2 years old.
3.	<u>Time and Attendance Reports Files.</u>  a. Optional Form 1130 or equivalent.  (1) Payroll preparation and processing copies.  (2) All other copies.  b. Flexitime Attendance Records.  Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.	Destroy after GAO audit or when 6 years old, whichever is sooner.  Destroy 6 months after the end of the pay period.  Destroy after GAO audit or when 3 years old, whichever is sooner.

*National Archives and  
Records Administration*

Washington, DC 20408

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GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 6

May 17, 1993

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TO: Heads of Federal Agencies

1. Purpose. This transmittal conveys changes to the General Records Schedules.
2. Background. The General Records Schedules (GRS) provide mandatory disposition instructions for records common to several Federal agencies. A complete set of the schedules was issued in 1988. The pages provided with this transmittal contain a revision of the general Introduction, and additions, revisions, and corrections to several schedules and to the indexes.
3. Explanation of changes.
  - a. Introduction. The Introduction was revised to delete obsolete information and to emphasize that the General Records Schedules (GRS) cover only record materials. They do not apply to documents or files that the custodial agency determines to be nonrecord.
  - b. General Records Schedule 1.
    - (1) Note 3 following item 1 was deleted. Now that the Office of Personnel Management's Central Personnel Data File and comparable databases from those agencies not subject to the OPM regulations are scheduled as permanent, agencies may destroy their own master files and databases that contain data from OPF's.
    - (2) The disposition for item 4a was clarified.
    - (3) The description of item 32 was clarified by eliminating the exclusion of duplicate information. Under OPM regulations, records containing information duplicated in other files are not retained in the merit promotion case files.
    - (4) The authority to destroy positive drug test results is rescinded. At the request of the Office of Personnel Management, item 36e has been amended to limit disposal authority to negative drug test results. Agencies must retain all positive drug test results pending the determination of an appropriate retention. Also, the note following this item was modified to reflect the previous change in retention period for item 30b.
    - (5) New items 38 and 39 covering Wage Survey Files and Retirement Assistance Files were moved from GRS 2, Pay and Payroll Administration Records, to GRS 1, Civilian Personnel Records, because the records support personnel functions.

c. General Records Schedule 2. GRS 2 was completely revised to reflect current electronic recordkeeping practices. This version supersedes a schedule that was developed primarily for manual payroll systems. Following the Forms Index is a conversion table that shows which items from the superseded schedule have been brought into the revised schedule. The GRS Conversion Table disseminated under GRS Transmittal No. 2 is obsolete and should be discarded.

d. General Records Schedule 6. Page 4 was modified to correct a formatting error.

e. General Records Schedule 10. The title of Standard Form 82 was corrected in the introduction, and the reference to obsolete Standard Form 82-D was deleted from item 4.

f. General Records Schedule 18. A new item 7b was added to cover records that document routine security checks.

g. General Records Schedule 20.

(1) The title of item 1 was revised to clarify that it applies to records created in management and support operations as well as central processing facilities.

(2) The exclusions of GRS 1, item 1, Official Personnel Files, and GRS 2, item 17, Administrative Payroll Report Files, were deleted from item 3.

(3) Item 11 was expanded to cover documentation relating to computer security and risk analysis, as required by OMB Circular A-130.

(4) New item 12 was added to authorize the disposal of records downloaded or copied by end users, as long as the original data is left intact.

h. General Records Schedule 21. The title of the CFR section cited in the introduction was corrected, and the numbers used in the disposition instructions were changed from text to numerals.

i. General Records Schedule 23. The introduction to GRS 23 was modified to emphasize that the materials subject to the mandatory disposition instructions in the schedule apply only to materials determined by the agency to be records. In addition, item 3, Administrative Databases, was expanded to cover databases that replace as well as duplicate paper records.

j. Subject and Forms Indexes. Both indexes were updated to reflect the changes made to the schedules and to delete obsolete forms. Additional entries were made in the Subject Index and typographical errors were corrected in the Forms Index.

4. Availability. Additional copies of this transmittal are available from the Records Administration Information Center (NI), Washington DC 20408. Phone: 202-501-6025.

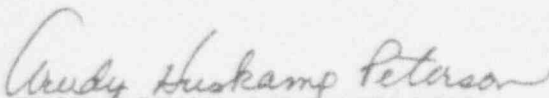
5. Implementation. Agencies are required under 36 CFR 1228.50(d) to disseminate GRS changes within 6 months of receipt. If an agency wishes to apply a retention period that differs from that specified in the GRS, the agency must submit an SF 115 for NARA approval.

6. Instructions.

Remove pages

and insert corresponding new pages

a. 1-2	of Introduction	1-2	of Introduction
b. 1, 15, 21	of GRS 1	1, 15, 21	of GRS 1
c. 1-7	of GRS 2	1-6	of GRS 2
d. 3-4	of GRS 6	3-4	of GRS 6
e. 1-2	of GRS 10	1-2	of GRS 10
f. 3-10	of GRS 18	3-10	of GRS 18
g. 1-6	of GRS 20	1-6	of GRS 20
h. 1-4	of GRS 21	1-4	of GRS 21
i. 1-4	of GRS 23	1-5	of GRS 23
j. 1-22	of Subject Index	1-22	of Subject Index
k. 1-18	of Forms Index	1-14	of Forms Index
l. 1-23	of Conversion Table dated June 1988	1	of Conversion Table dated May 1993

  
TRUDY HUSKAMP PETERSON  
Acting Archivist of the United States

Attachments



## INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions; and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. Agency records officers may use the schedules either as an appendix to an agency printed schedule or tailored to the agency's own particular needs and incorporated into agency schedules.

The GRS does not cover all records of an agency. It must be supplemented by schedules for unique program records. Agencies should exercise particular care in applying the GRS to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than three years. Program subject files may be needed by the agency for ten years or more, and may have archival value as well. Agencies should maintain administrative records separately from program records. If administrative records are mixed with program records and cannot be economically segregated, the entire file should be kept for the period of time approved for the program records. Similarly, if documents covered by these schedules are part of a subject or case file which documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

For more information on scheduling unique program records, including potentially permanent records, see the Disposition of Federal Records Handbook, available through the Federal Supply Service (stock number 7610-01-055-8704). Also, NARA has prepared a series of pamphlets that provide guidance on scheduling nontextual records that are not covered by the GRS which are available from the National Archives and Records Administration (NIA).

GRS items cover only record copies. In some instances, more than one copy of a document or file would be considered a record if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the records officer should treat them as records. Records officers may consult with the National Archives and Records Administration (NIR) to determine the record or nonrecord status of particular files.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before



January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects the records, they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies and destroy the paper copies after verification of the film, unless legal considerations require longer retention of the paper (36 CFR 1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit an SF 115 providing justification for the deviation.

The GRS includes two indexes, an alphabetical Subject Index and an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various government agencies.

As provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies, the disposal instructions for most records in the remaining schedules are applicable to both hard copy and electronic versions of the records described. GRS 20 specifies several exceptions to this authority. In those cases, the electronic version of the file must be scheduled on an SF 115.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel that cannot be reconciled within the agency may be referred to the Director, Records Appraisal and Disposition Division, NARA, from offices in the Washington, DC area, or the Director of the nearest Federal Records Center (FRC) from offices outside the Washington area.

Some records series covered by the GRS are eligible for retirement to an FRC. Records should be retired from agency space to an FRC only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to FRC's should have a remaining retention of at least one year. If special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate FRC Director. Procedures for transfer of records to FRC's are found in NARA regulations (36 CFR 1228.152).

The GRS are issued in a looseleaf format for ease of updating. GRS transmittal documents will be sequentially numbered. In addition, the first NARA bulletin of each fiscal year will list the current GRS transmittals in effect.

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, 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 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 Folder, are maintained according to Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel.

Master files created in central data processing facilities that replace records described under items 21, 22, and 25f, are not authorized for disposal under the General Records Schedules. All other records described in this schedule are authorized for disposal in both hard copy and electronic formats, as provided in GRS 20, Electronic Records (for master files), and GRS 23, Records Common to Most Offices Within Agencies (word processing systems and administrative databases).

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Official Personnel Folders.

Records filed on the right side of the Official Personnel Folder (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 the National Archives and Records Administration for permanent retention.

a. Transferred employees.

See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Separated employees.

Transfer folder to National Personnel Records Center, St. Louis, MO, 30 days after separation [see note 2]. NPRC will destroy 65 years after separation from Federal service.

[NOTES: (1) OPF's 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 the NARA Records Appraisal and Disposition Division 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 OPF's to NPRC. These agencies retain OPF's for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

2. Service Record Cards.

Service Record Card (Standard Form 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.

b. Cards for employees separated or transferred on or after January 1, 1948.

Destroy 3 years after separation or transfer of employee.

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.

4. Offers of Employment Files.

Correspondence including letters and telegrams offering appointments to potential employees.

a. Accepted offers.

Destroy when no longer needed.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

30. Administrative Grievance, Disciplinary  
and Adverse Action Files.

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. [See note.]

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. [See note.]

[NOTE: The Office of Personnel Management 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 Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

31. Personal 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.

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.

33. Examining and Certification Records.

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

a. Delegated agreements.

Destroy 3 years after termination of agreement.

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

Break annually. Destroy 1 year after break.

c. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock.

Destroy when test is superseded or obsolete.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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).]

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

(1) "Permanent" 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).]

(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).]

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.

Disposition not authorized.

(2) Negative results.

Destroy when 3 years old.

[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).]

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
37.	<u>Donated Leave Program Case Files.</u>  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 one year after the end of the year in which the file is closed.
38.	<u>Wage Survey Files.</u>  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.	<u>Retirement Assistance Files.</u>  Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	Destroy when 1 year old.



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 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management; (b) files maintained in agency space for audit by the General Accounting Office 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 Governmentwide programs; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. 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 General Accounting Office 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 which is 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; other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.



ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Payroll

1. Individual employee pay record.

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

Update elements and/or entire record as required.

Transfer to National Personnel Records Center. Destroy when 56 years old.

2. Non-current payroll files.

Copy of non-current 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.

Items 3 through 5. Reserved.

Time and Attendance

6. Leave application files.

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

- a. If employee initials time card or equivalent.
- b. If employee has not initialed time card or equivalent.

Destroy at end of following pay period.

Destroy after GAO audit or when 3 years old, whichever is sooner.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>Time and attendance source records.</u>  All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; 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.
8.	<u>Time and attendance input records.</u>  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.
9.	<u>Leave record.</u>  a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.  b. Creating agency copy, when maintained.	File on right side of OPF. See GRS 1, item 1.  Destroy when 3 years old.

Items 10 through 12. Reserved.

Deductions, Allotments, and Electronic Funds Transfers

13.	<u>Tax files.</u>  a. Employee withholding allowance certificate such as IRS Form W-4 and state equivalents.  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 4 years after superseded or obsolete or upon separation of employee.  Destroy when 4 years old.
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ITEM  
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |      |  |   |
|------|--|---|
| 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.   |
| <br> |  |   |
| 14.  | <u>Savings Bond Purchase files.</u>  |   |
| a.   | U.S. Savings Bond Authorization, SF 1192 or equivalent.  | Destroy when superseded or after separation of employee.          |
| b.   | Bond registration files: issuing agent's copies of bond registration stubs.  | Destroy 4 months after date of issuance of bond.                  |
| c.   | Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.   | Destroy 4 months after date of issuance of bond.                  |
| <br> |  |   |
| 15.  | <u>Combined Federal Campaign and other allotment authorizations.</u>   |   |
| a.   | Authorization for individual allotment to the Combined Federal Campaign.   | Destroy after GAO audit or when 3 years old, whichever is sooner. |
| b.   | Other authorizations, such as union dues and savings.  | Destroy after GAO audit or when 3 years old, whichever is sooner. |
| <br> |  |   |
| 16.  | <u>Thrift Savings Plan Election Form.</u>  |   |
|      | Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.  | Destroy when superseded or after separation of employee.          |
| <br> |  |   |
| 17.  | <u>Direct Deposit Sign-up Form (SF 1199A).</u>   | Destroy when superseded or after separation.                      |

ITEM

NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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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.

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.

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

Destroy when 2 years old.

c. Reports providing fiscal information on agency payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner.

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.

b. All other copies.

Destroy 1 month after end of related pay period.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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24.	<u>Payroll correspondence.</u>	
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Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old.

Items 25 through 27. Reserved.

Retirement

28.	<u>Retirement files.</u>	
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Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

included are equivalent agency forms  
which 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

ITEM

NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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- |    |  |                          |
|----|--|--------------------------|
|    | 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   |                          |
| b. | Memorandum 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. | Destroy when 1 year old. |

[NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely 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.]

2. GAO Exceptions Files.

- |  |   |
|--|---|
| General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence. | Destroy 1 year after exception has been reported as cleared by GAO. |
|--|---|

3. Certificates Settlement Files.

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

- |   |   |
|---|---|
| a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements. | Destroy 2 years after date of settlement. |
|---|---|

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

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

41 CFR 101-38 prescribes policies and procedures. Standard Form 82, which is an annual motor vehicle report required by the Office of Federal Supply Services, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This 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 Office of Federal Supply and Services (Standard Form 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 check-off sheets, cost ledgers, and claims correspondence and forms.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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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.

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.

b. Maintenance records, including those relating to service and repair.

Destroy when 1 year old.



ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

3. Motor Vehicle Cost Files.

Motor vehicle ledger and work sheets providing cost and expense data.

Destroy 3 years after discontinuance of ledger or date of work sheet.

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.

5. Motor Vehicle Accident Files.

Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Operator's Report of Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness.

Destroy 6 years after case is closed.

6. Motor Vehicle Release Files.

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

Destroy 4 years after vehicle leaves agency custody.

7. Motor Vehicle Operator Files.

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

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

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

7. Classified Document Container Security Files.

- 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.

Destroy when superseded by a new form or list, or upon turn in of containers.

- 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.

Destroy 3 months following the last entry on the form (see note).

[NOTE: Forms involved in investigations will be retained until completion of the investigation.]

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.

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.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
9.	<u>Survey and Inspection Files.</u> (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.
10.	<u>Survey and Inspection Files.</u> (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.
11.	<u>Investigative Files.</u>  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.
12.	<u>Property Pass Files.</u>  Property pass files, authorizing removal of property or materials.	Destroy 3 months after expiration or revocation.
13.	<u>Guard Assignment Files.</u>  Files relating to guard assignments and strength.  a. Ledger records.	Destroy 3 years after final entry.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	Destroy when 2 years old.
14.	<u>Police Functions Files.</u>  Files relating to exercise of police functions.	
	a. Ledger records of arrest, cars ticketed, and outside police contacts.	Destroy 3 years after final entry.
	b. Reports, statements of witnesses, warning notices, and other documents relating to arrest, commitments, and traffic violations.	Destroy when 2 years old.
	c. Reports on contact of outside police with building occupants.	Destroy when 1 year old.
15.	<u>Personal Property Accountability Files.</u>  Files relating to accountability for personal property lost or stolen.	
	a. Ledger files.	Destroy 3 years after final entry.
	b. Reports, loss statements, receipts and other documents relating to lost and found articles.	Destroy when 1 year old.
16.	<u>Key Accountability Files.</u>  Files relating to accountability for keys issued.	
	a. For areas under maximum security.	Destroy 3 years after turn-in of key.
	b. For other areas.	Destroy 6 months after turn-in of key.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

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.

b. Reports of routine after-hours security checks which 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.

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.

b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.

ITEM

NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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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.

b. Individual guard post logs of occurrences entered in master logs.

Destroy 1 year after final entry.

Personnel Security Clearance Records

Records accumulating from investigations of personnel conducted under 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.

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.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	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.
	c. Index to the Personnel Security Case Files.	Destroy with related case file.
23.	<u>Personnel Security Clearance Status Files.</u>  Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete.
24.	<u>Security Violations Files.</u>  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 Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.	Destroy 5 years after close of case.
	b. All other files, exclusive of documents placed in official personnel folders.	Destroy 2 years after completion of final action or when no longer needed, whichever is sooner.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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25.	<u>Classified Information Nondisclosure Agreements.</u>	
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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. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

- |    |   |  |
|----|---|--|
| a. | If maintained separately from the individual's official personnel folder. |  |
| b. | If maintained in the individual's official personnel folder.              |  |

Destroy when 50 years old.

Apply the disposition for the official personnel folder, or destroy when 50 years old, whichever is later.

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.	<u>Emergency Planning Administrative Correspondence Files.</u>	
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Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]



ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
27.	<u>Emergency Planning Case Files.</u>  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.
[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 by submission of an SF 115. (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 by submission of an SF 115.]		
28.	<u>Emergency Operations Tests Files.</u>  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.
29.	<u>National Defense Executive Reserve (NDER) Case Files.</u>  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.
	b. Case files on individuals whose applications were rejected or withdrawn.	Destroy when 5 years old.

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records.

This schedule applies to disposable electronic records stored on magnetic media by Federal agencies in central data processing including ones operated for agencies by contractors. It covers records created by computer operators, programmers, analysts, and systems administrators in order to store and maintain computer files in such facilities; certain master files, including some that are components of database management systems; and certain files created from master files for specific purposes. Items covering disposable electronic records produced by end users in office automation applications (e.g., word processing files, certain text files, and databases developed on personal computers in support of administrative functions) are included in General Records Schedule 23, Records Common to Most Offices Within Agencies. GRS 20 and 23 do not cover all electronic records. Electronic records not covered by items in GRS 20 or GRS 23 may not be destroyed unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA).

The records covered by several of the items in this schedule are authorized for erasure or deletion when no longer needed. NARA could not establish a more definite retention that would be appropriate in all applications. The 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 2a and 1a (in part) of this schedule apply to hard-copy or microform 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 disposable electronic records regardless of the medium in which such documentation and programs exist.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Files/Records Created in Central ADP Facilities, ADP Management, and ADP Support Operations to Create, Use, and Maintain Master Files.

- 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.

Delete/destroy when no longer needed.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

Delete after information has been transferred to the master file and verified.

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.

Delete/destroy when no longer needed in accordance with sound business practice and agency standard operating procedures.

2. Input/Source Records.

a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

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.

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.

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.

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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.

Delete after the necessary data have been incorporated into a master file.

3. Master Files. (Including Master Files that are Components of Database Management Systems) Relating to Administrative Functions.

Master files that:

- a) replace, in whole or in part, administrative records scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; and
- b) consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates;

EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5.

Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.

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 database 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:

- a) created as disclosure-free files to allow public access to the data; or
- b) created from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed;

which may not be destroyed before securing NARA approval.

Delete when no longer needed for current business.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
5.	<u>Records Consisting of Extracted Information.</u>  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 job, EXCLUDING extracts that are: a) produced as disclosure-free files to allow public access to the data; or b) produced from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed; or c) produced by an extraction process which changes the informational content of the source master file or database; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 respectively.	Delete when no longer needed for current business.
6.	<u>Print File.</u>  Electronic file 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 reports.	Delete when no longer needed.
7.	<u>Technical Reformat File.</u>  Electronic file consisting of data copied from a master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.	Delete when no longer needed.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
8.	<u>Security Backup File.</u>  Electronic file consisting of data identical in physical format to a master file or database 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.  b. File identical to records authorized for disposal in a NARA-approved records schedule.	    Delete when the identical records have been transferred to the National Archives and successfully copied, or when replaced by a subsequent security backup file.    Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.
9.	<u>Finding Aids (or Indexes).</u>  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.	  Delete with related records or when no longer needed, whichever is later.
10.	<u>Special Purpose Programs.</u>  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.	  Delete when related master file or database has been deleted.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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 or database that has been authorized for destruction by the GRS or a NARA approved disposition schedule. | Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database. |
| b. Computer center copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.                              | Destroy or delete when superseded or obsolete.   |

[NOTES: (1) Documentation which relates to permanent or unscheduled master files and databases is not authorized for destruction by the GRS. (2) See item 1a of this schedule for documentation relating to system testing.]

12. Downloaded and Copied Data.

Derived data and data files which are copied, extracted, merged or calculated from other data, 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.                                       | Delete when no longer needed.   |
| b. Derived data which provide user access in lieu of hard copy reports which are authorized for disposal.   | Delete when no longer needed.   |
| 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. | Delete from the receiving system when the input operation is completed. |

[NOTE: See item 5 for other extracted data.]



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 an SF 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NIR).

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." Copies are available from the NARA Office of Records Administration.

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.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Still Photography

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|----|--|--|
| 1. | Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency. | Destroy when 1 year old or when no longer needed.  |
| 2. | Personnel identification or passport photographs.  | Destroy when 5 years old or when no longer needed. |



ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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.
4.	Duplicate items in excess of record elements required for preservation, duplication, and reference service by 36 CFR 1228.184.	Destroy when no longer needed.

Graphic Arts

5.	Viewgraphs.	Destroy 1 year after use or when no longer needed.
6.	Routine artwork for handbills, flyers, posters, letterhead, and other graphics.	Destroy 1 year after final publication or when no longer needed.
7.	Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.	Destroy when no longer needed for publication or reprinting.
8.	Line copies of graphs and charts.	Destroy 1 year after final production or when no longer needed.

Motion Pictures

9.	Films acquired from outside sources for personnel and management training.	Destroy 1 year after completion of training program.
10.	Films acquired from outside sources for personnel entertainment and recreation.	Destroy when no longer needed.
11.	Routine surveillance footage.	Destroy when no longer needed.
12.	Routine scientific, medical or engineering footage.	Destroy when 2 years old or when no longer needed.
13.	Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.	Destroy when no longer needed.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<u>Video Recordings</u>		
14.	Programs acquired from outside sources for personnel and management training.	Destroy 1 year after completion of training program.
15.	Programs acquired from outside sources for personnel entertainment and recreation.	Destroy when no longer needed.
16.	Rehearsal or practice tapes.	Destroy immediately.
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.
18.	Routine surveillance recordings.	Destroy when no longer needed.
19.	Routine scientific, medical or engineering recordings.	Destroy when 2 years old or when no longer needed.
20.	Recordings that document routine meetings and award presentations.	Destroy when no longer needed.
21.	Duplicate dubbings and pre-mix elements in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.	Destroy when no longer needed.
<u>Audio (Sound) Recordings</u>		
22.	Recordings of meetings made exclusively for notetaking or transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions.	Destroy immediately after use.
[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.
24.	Pre-mix sound elements created during the course of a motion picture, television, or radio production.	Destroy immediately after use.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
25.	Library sound recordings (e.g., effects, music).	Destroy when no longer needed.
26.	Daily or spot news recordings available to local radio stations on a call-in basis.	Destroy when 6 months old or when no longer needed.
27.	Duplicate dubbings in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.	Destroy when no longer needed.

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.
29.	Finding aids for identification, retrieval, or use of temporary audiovisual records.	Dispose of according to the instructions covering the related audiovisual records.

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; as well as certain types of records created in electronic form on stand-alone or networked micro- and mini-computers. 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, 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.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Office Administrative Files.

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; 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, or when no longer needed, whichever is sooner.

[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 an SF 115 to NARA.]

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
2.	<u>Word Processing Files.</u>  Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes:  a. When used to produce hard copy which is maintained in organized files.  b. When maintained only in electronic form, and duplicate the information in and take the place of records that would otherwise be maintained in hard copy providing that the hard copy has been authorized for destruction by the GRS or a NARA-approved SF 115.	Delete when no longer needed to create a hard copy.  Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115.
3.	<u>Administrative Databases.</u>  Databases that support administrative or housekeeping functions, containing information derived from hard copy records authorized for destruction by the GRS or a NARA-approved SF 115.  a. When hard copy records are retained in order to meet recordkeeping requirements.  b. When the database takes the place of hard copy records.  c. Hard copy printouts created for short-term administrative purposes.	Delete information in the database when no longer needed.  Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.  Destroy when no longer needed.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

4. Electronic Spreadsheets.

Spreadsheets that are recorded on electronic media such as hard disks or floppy diskettes:

- a. When used to produce hard copy which is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

- b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

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, created and maintained in hard copy or electronic form, 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).

Destroy or delete when 2 years old.

[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.]

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- 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.

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.
- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Destroy after action is taken.

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.

7. Transitory Files.

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

Destroy when 3 months old, or when no longer needed, whichever is sooner.

- a. 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.
- b. 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.

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- c. 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.

8. Tracking and Control Records.

Logs, registers, and other records in hard copy or electronic form 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.

Destroy or delete when no longer needed.

9. Finding Aids (or Indexes).

Indexes, lists, registers, and other finding aids in hard copy or electronic form 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.

Destroy or delete with the related records or sooner if no longer needed.



GENERAL RECORDS SCHEDULES

SUBJECT INDEX

	<u>Schedule</u>	<u>Item</u>
Accidents, General (see Investigative Files)		
Accident, Motor Vehicle Report	10	5
Accountable Officers' Returns	6	1
Accountability		
Classified documents	18	5
Forms, transportation requests	9	1,3
Keys, security and protective	18	16
Personal property, files	18	15
Transportation and travel	9	4
Accounting		
Accountable officers' returns	6	1
Availability of funds	6	4
Collection of funds	6	4
Correspondence	6	5
Custody of funds	6	4
Deposit of funds	6	4
Exception, notices of GAO	6	2
Settlement, certificates of	6	3
Support documents	6	7,8,9
Surety, personnel bond	6	6
Accounts		
Accounts, general	7	2
Allotment	7	3
Posting and control media	7	4
Acquisition of Real Property, Title Papers	3	1
Administrative Files (Office)	23	1
Databases	23	3
Master data files	20	3
Administrative Management		
Audits/reviews	16	11,14
Committees	16	8
Feasibility studies	16	9
Forms	16	3
Notices and other issuance	16	1
Project control	16	5
Records management	16	2,4,7
Reports control	16	6

Transmittal No. 6  
May 17, 1993

General Records & Files Subject Index

	<u>Schedule</u>	<u>Item</u>
Administrative Claims Files	6	10
Aerial Film	17	2
ADP (see Electronic Records)		
Affirmative Action Plans	1	25
Allotment Ledgers	7	3
Analog Data (Uncalibrated)	20	2d
Applications		
Employment	1	15
Grants	3	13
Housing	15	7
Apportionment and Reapportionment (see Budget)		
Appropriation Warrants	6	4
Architecture		
Drawings	17	4,5,9
Models	17	7
Arrests	18	14
Audiovisual		
Contracts	21	28
Finding aids	21	29
Graphic arts	21	5-8
Artwork		
Flyers	21	6
Letterhead	21	6
Posters	21	6
Line copies, charts & graphs	21	8
Photo-mechanical reproduction	21	7
Viewgraphs	21	5
Motion pictures	21	9-13
Duplicates	21	13
Engineering	21	12
Entertainment	21	10
Scientific medical	21	12
Surveillance	21	11
Training	21	9
Production files	21	28
Scripts	21	28

	<u>Schedule</u>	<u>Item</u>
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Dictation	21	23
Dubbings	21	27
Effects	21	25
Meetings	21	22
Media production	21	24
News recordings	21	26
Pre-mix elements	21	24
Still photography	21	1-4
Ceremonial	21	1
Duplicates	21	4
Filmstrips (internal training)	21	3
Passports	21	2
Personnel identification	21	2
Slides (internal training)	21	3
Video recordings	21	14-21
Awards presentation	21	20
Dubbings	21	21
Engineering	21	19
Entertainment	21	15
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Medical	21	19
Meetings	21	20
Practice tapes	21	16
Surveillance	21	18
Training	21	14, 17
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Automobile Permits	11	4
Awards (Personnel)	1	12, 13
Bid and Proposal Files	3	5
Acceptable bidders	3	5d
Cancelled	3	5c
Successful	3	5a
Unsuccessful	3	5b, 13
Bills of Lading	9	1
Binding	13	2
Bonds		
Campaigns	23	7
Personnel surety	6	6
Savings	2	14

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May 17, 1993

General Records Schedules Subject Index

	<u>Schedule</u>	<u>Item</u>
Budget		
Apportionment	5	4
Correspondence files	5	1
Reports	5	3
Work papers	5	2
Building Space and Maintenance		
Allocation	11	2
Correspondence	11	1, 2b
Credentials	11	4a
Directory service	11	3
Plans	11	2a
Release	11	2
Reports	11	2b
Request for services	11	5
Utilization	11	2
Calendars	23	5
Carrier (see Transportation)		
Cartographic		
Aerial film	17	2
Color pulls	17	1
Color separation sheets	17	1
Composites	17	1
Maps		
Correction	17	1
Case Files		
Classification appeals	1	7d
Contract appeals	3	15
Emergency planning	18	27
Erroneous release	14	36
FOIA appeals	14	12
Informational services	14	4
Personnel		
EEO complaint	1	25
Incentive awards	1	12a, 13
Labor management	1	28
Security	18	22
Privacy Act amendment	14	22
Procurement	3	3
Real Property	3	1
Surplus property	4	3

	<u>Schedule</u>	<u>Item</u>
Certificates		
Classified document destruction	18	3
Eligibles (employment)	1	5
Performance rating	1	23
Settlement	6	3
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Tax withholding	2	13a
Title	3	1
Transit	9	1
Charity appeals	23	7
Charts (see Cartographic)		
Civilian Personnel (see Personnel)		
Claims		
Administrative	6	10
Health benefits, former spouse	1	35
Waiver of, administrative	6	11
Classified Documents		
Access control	18	6
Accounting	18	5
Administrative correspondence	18	1
Container security	18	7
Inventory	18	4
Receipt	18	2
Classified Information and Control		
Access control	18	6
Container security	18	7
Correspondence	18	1
Destruction certificates	18	3
Classified Information Nondisclosure Agreement	18	25
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Committee Management	16	8c
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May 17, 1993

General Records Schedules Subject Index

	<u>Schedule</u>	<u>Item</u>
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Administrative	12	2b
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Statistical	12	2c
Vouchers	12	2d
Complaints, Discrimination	1	25
Construction	17	4-10
Contract Appeals Case Files	3	15
Contracts	3	3
Contractors' Employment Practices, EEO	1	25d(1)
Contractors' Payrolls	3	11
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Classified documents	18	5
FOIA	14	13
General	23	8
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Printing	13	3
Privacy Act	14	24
Correspondence		
Accounting	6	5
Building and space maintenance	11	1,2b
Communications	12	2
Cost accounting	8	1
Emergency planning	18	26
Expenditure accounting	7	1
Facilities, security	18	8
Grants	3	14
Housing	15	1
Informational services	14	1,2,5
Motor vehicle	10	1,7
Pay	2	24
Personnel	1	3,4,17a,17c
Personnel security	18	21
Plant accounting	8	1

	<u>Schedule</u>	<u>Item</u>
Correspondence (continued)		
Printing, Administrative	13	1
Procurement	3	2
Property disposal	4	1
Security and protective service	18	8
Space and maintenance	11	1
Stores accounting	8	1
Surplus property	4	1
Transportation	9	4
Travel	9	4
Word processing	23	2
Cost Accounting		
Correspondence	8	1
Ledgers	8	7
Reports	8	6
Credentials	11	4
	18	12, 19a
Credit Card Purchases	6	1, 7, 8
Declassification (See Mandatory Review for Declassification)		
Deductions, Payroll	2	13a, 15, 16
Direct Deposit, Payroll Authorization	2	17
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Discrimination Complaints	1	25
Dispensary Control Files	1	20
Drawings	17	3, 4, 5, 8, 9
Driver Tests	10	7
Drug Testing	1	36
Electronic Fund Transfer, Payroll	2	17
Electronic Records		
Backup tapes	20	8
Calendars	23	5
Control files	23	8
Copied data	20	12
Databases (administrative)	23	3

	<u>Schedule</u>	<u>Item</u>
Electronic Records (continued)		
Documentation	20	11
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Extracted data	20	5
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	23	9
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Pay record, individual	2	1
Payroll files, noncurrent	2	2
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	23	3
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Publications	20	6
Reports	20	6
Schedules of daily activities	23	5
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Source data	8	7
	20	2
Specifications	20	11
Spreadsheets	23	4
System usage files	20	1c
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Test documentation	20	1a
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Update records	20	1b
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Word processing files	23	2
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Emergency Planning		
Case files	18	27
Correspondence	18	26
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Employee Performance	1	23
Employee Records (See Personnel and also Payroll)		
Employee Transfer and Detail	1	14



	<u>Schedule</u>	<u>Item</u>
Engineering Drawings	17	8
Equal Employment Opportunity Complaints	1	25
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Erroneous Release	14	36
Expenditure Accounting		
Allotment	7	3
Correspondence	7	1
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Facilities, Security		
Correspondence	18	8
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Feasibility Studies	16	9
Federal Register, Documents Published in	16	13
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Duplicates	21	13
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Entertainment	21	10
Scientific and medical	21	12
Surveillance	21	11
Training	21	9
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Audiovisual	21	29
General (including electronic)	23	9
Information services	14	6
Mainframe computer	20	9
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Followup Files	23	6
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Freedom of Information Act Files		
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	<u>Schedule</u>	<u>Item</u>
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Graphic Arts (also see Audiovisual)	21	5-8
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Assignment	18	13
Facility checks	18	18
Service control	18	19
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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
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Household Effects, Shipment of	9	1
Housing		
Applications	15	7
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Correspondence	15	1
Furnishings inventory	15	6
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Reports	15	3
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	<u>Schedule</u>	<u>Item</u>
Identification Credentials	11	4
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Information Resources Management		
Information collection budget	16	12
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Informational Services		
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Erroneous release	14	36
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	23	7a
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Government-owned facilities	18	9
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Bid	3	5
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	<u>Schedule</u>	<u>Item</u>
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Allotment	7	3
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	<u>Schedule</u>	<u>Item</u>
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Merit Promotion Case Files	1	32
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Messenger Service	12	1
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Correspondence	10	1,7
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Operators	10	7
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	<u>Schedule</u>	<u>Item</u>
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Authorization	2	14
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Correspondence	2	24
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Electronic fund transfer	2	17
Flexitime records	2	7
Individual employee pay record	2	1
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	<u>Schedule</u>	<u>Item</u>
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Dispensary logs	1	20
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Drug testing	1	36
Employee interviews	1	8
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Reports	1	13
Informational files	1	18
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Interviews	1	8
Labor-management relations	1	28
Leave	2	6, 7, 8, 9
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Motor vehicle operation	10	7
Notification of Personnel Action	1	14
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Personnel security case files	18	22
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Time and attendance	2	6, 7, 8, 9
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Personnel Security		
Case files	18	22
Correspondence	18	21
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Photographs (also see Audiovisual)	21	1-4
Plant Accounting		
Account cards	8	5
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Ledgers	8	5
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Postal Irregularities	12	8
Postal Records	12	5
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Correspondence	13	1
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	<u>Schedule</u>	<u>Item</u>
Printing (continued)		
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Projects	13	2a
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Registers	13	3
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Administrative	14	26
Amendment cases	14	22
Control records	14	24
Disclosure	14	23
Erroneous release	14	36
Reports	14	25
Requests	14	21
Procurement		
Bids and proposals	3	5
Bond and surety	3	3
Contract appeals	3	15
Contractors' payrolls	3	11
Contracts	3	3
Correspondence	3	2
Federal procurement data system	3	3d
Inventories	3	9
Purchase orders	3	3
Real property acquisition	3	1
Requisitions	3	3,6,7,8
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82	Agency Report of Motor Vehicle Data	10(4)
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98	Notice of Intention to Make a Service Contract and Response to Notice	3(11)
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114C-3	Sale of Government Property - Special Spot Bid Conditions	4(3)
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126	Report of Personal Property for Sale	4(2)
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127	Request for Official Personnel Folder (Separated Employee)	1(17)
132	Apportionment and Reapportionment Schedule	5(4)
133	Report on Budget Execution	5(3)
135	Records Transmittal and Receipt	16(2)
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177	Statement of Physical Ability for Light Duty Work	1(1)
180	Request Pertaining to Military Records	14(21)
182	Request, Authorization, Agreement and Certification of Training	1(1)
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215	Deposit Ticket	6(1)
224	Statement of Transactions (Classified According to Appropriation, Fund and Receipt Account, and Related Control Totals)	6(1)
225	Report on Obligations	5(3)
252	Architect-Engineer Fixed-Price Contract	3(3)
254	Architect-Engineer and Related Services Questionnaire	3(3)
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258	Request to Transfer - Approval and Receipt of Records to National Archives of the United States	16(2)

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1012	Travel Voucher	6(1)
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1034	Public Voucher for Purchases and Services Other Than Personal	6(1)
1034A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	6(1)
1035	Public Voucher for Purchases and Services Other Than Personal (Continuation Sheet)	6(1)
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1080	Voucher for Transfers Between Appropriations and/or Funds	6(1)
1081	Voucher and Schedule of Withdrawals and Credits	6(1)
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1104	U.S. Government Bill of Lading - Shipping Order	9(1)
1109A	U.S. Government Bill of Lading - Continuation Sheet (Memorandum)	9(1)
1113	Public Voucher for Transportation Charges	6(1)
1113A	Public Voucher for Transportation Charges (Memorandum)	6(1);9(1)
1128	Payroll for Personal Services - Payroll Certification and Summary	6(1)
1128A	Payroll for Personal Service - Payroll Certification and Summary - Memorandum	2(2)
1145	Voucher for Payment Under Federal Tort Claims Act	6(1)
1145A	Voucher for Payment Under Federal Tort Claims Act - Memorandum	6(1)
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1156	Public Voucher for Fees and Mileage of Witnesses	6(1)
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1167	Voucher and Schedule of Payments (Continuation Sheet)	6(1)
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1169A	U.S. Government Transportation Request - Memorandum	9(1)
1170	Redemption of Unused Tickets	9(1)
1176	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces	6(1)
1176A	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Armed Forces - Memorandum	6(1)
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)
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1187	Request for Payroll Deductions for Labor Organization Dues	2(15b)
1188	Revocation of Voluntary Authorization for Allotment of Compensation for Payment of Labor Organization Dues	2(15b)
1189	Request by Employee for Payment of Salaries or Wages by Credit to Account at a Financial Organization	2(17)
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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 Contribution - Civil Service Retirement System	1(1)
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16	Sales Slip (Sale of Government Personal Property)	4(3)
26	Data Bearing Upon Scope of Employment of Motor Vehicle Operator	10(5)
30	Motor Vehicle Service and Inspection Work Orders	10(2)
49	Inquiry for United States Government Use Only (Reference and Employment Inquiry)	1(15)
50	Inquiry for United States Government Use Only (Educational Inquiry)	1(15)
51	Inquiry for United States Government Use Only (Law Enforcement Inquiry)	1(15)
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101	Summary Worksheet for Estimating Reporting Costs	16(6)
108	Daily Vehicle Usage Report	10(2)
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116	Record of Top Secret Material	18(5)
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119	Record of Material Removed for Overnight Custody	18(4,5)
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137	Designation of Beneficiary	1(1)
138	Application for Refund of Retirement Contributions (Foreign Service Retirement System)	1(1)
140	Election to Receive Extra Service Credit Towards Retirement and Report of Residence of Spouse	(1)
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144	Temporary Duty (TDY) Official Travel Authorization	9(1)
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206	Purchase Order, Receiving Report and Voucher	3(3)
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	3(3)
208	Statement of Collections - Foreign Service of the United States of America	6(1)
1017G	Journal Voucher	7(4)
1121	Bill of Lading Accountability Record	9(1)
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1135	Time and Attendance Report	2(7)
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GRS CONVERSION TABLE

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Individual employee pay record	2/1a	None	New item
Individual employee pay record	2/1b	2/1	
Noncurrent payroll files	2/2	2/13a	
	2/3-5		Reserved
Leave application files	2/6a	2/8a	
Leave application files	2/6b	2/8b	
Time and attendance source records	2/7	2/3	
Time and attendance input records	2/8	2/3	
Leave record	2/9a	2/9 and 10a	
Leave record	2/9b	2/9 and 10a	
	2/10-13		Reserved
Tax files	2/13a	2/18a	
Tax files	2/13b	2/18b	
Tax files	2/13c	2/18c	
Savings bond purchase files	2/14a	2/4a	
Savings bond purchase files	2/14b	2/5	
Savings bond purchase files	2/14c	2/6	
CFC and other allotments	2/15a	2/4a	
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Thrift savings plan election	2/16	None	New item
Direct deposit forms	2/17	None	New item
Levy and garnishment files	2/18	2/21	
	2/19-21		Reserved
Payroll system reports	2/22a	None	New item
Payroll system reports	2/22b	2/17a	
Payroll system reports	2/22c	2/17b	
Payroll change files	2/23a	None	New item
Payroll change files	2/23b	None	New item
Payroll correspondence	2/24	2/2	
	2/25-27		Reserved
Retirement files	2/28	2/19	
Wage survey files	1/38	2/22	
Retirement assistance files	1/39	2/19a	
Bond purchase files	None	2/7	Deleted - obsolete
Notification of personnel action	None	2/11	Deleted - obsolete
Budget authorization reference files	None	2/12	Deleted - obsolete
Copies of payroll files	None	2/13b	Deleted - obsolete
Payroll control files	None	2/14	Deleted - obsolete
Payroll change files	None	2/15	Deleted - obsolete
Fiscal schedules files	None	2/16	Deleted - obsolete
Insurance deduction files	None	2/20	Deleted - obsolete

**BIBLIOGRAPHIC DATA SHEET**

(See instructions on the reverse)

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10. SUPPLEMENTARY NOTES

11. ABSTRACT (200 words or less)

The approved records disposition schedules specify the appropriate duration of retention and the final disposition for records created or maintained by the NRC. NUREG-0910, Revision 2, Supplement 1 makes editorial and administrative changes to the NRC Schedule and forwards 3 sets of changes to the National Archives and Records Administration's General Record Schedule.

12. KEY WORDS/DESCRIPTORS (List words or phrases that will assist researchers in locating the report.)

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13. AVAILABILITY STATEMENT

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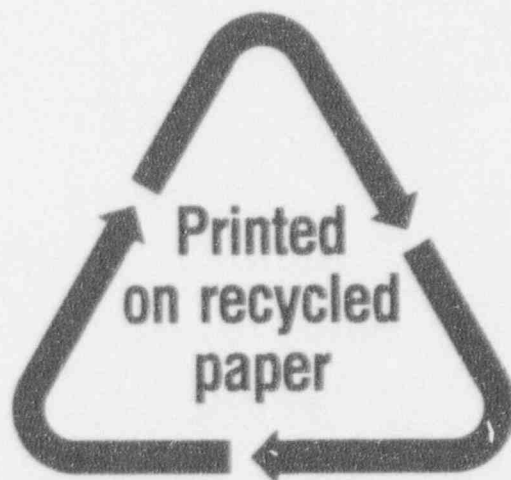
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