

March 2017



# Department of Veterans Affairs

## RECORDS CONTROL SCHEDULE 10-1

Veterans Health Administration  
Washington DC 20420

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## **VHA RECORDS CONTROL SCHEDULE 10-1**

### **1. PURPOSE**

The Records Control Schedule (RCS) 10-1 provides Veterans Health Administration (VHA) records retention and disposition requirements for VHA Central Office, Program Offices, and field facilities. The primary purpose of this revision is to incorporate changes to RCS 10-1 issued since the last publication date of January 5, 2011. The revision includes a new numbering system replacing the Roman numerals. The schedule is now divided into 8 chapters. Each chapter covers a group of records, e.g., Chapter one covers administrative records. The first four chapters include most of the National Archives and Records Administration (NARA) General Records Schedules (GRS). Space for additional records schedules is available to allow for future expansion. The VHA Records Management Office intends to update this schedule every three years in order to publish the most up to date records management requirements. Between updates the VHA Records Management Office will post new or revised schedules on the HIM/RM (Health Information Management/Records Management) web-site. Schedules are not required to be in the RCS 10-1 to be a legal schedule. Once a schedule is approved by the Archivist of the United States it must be used to manage the agency's records.

### **2. INTRODUCTION**

- a. Title 44, Section 3301, of the United States (U.S.) Code defines records as "all books, papers, maps, photographs, machine-readable materials or other documentary materials, regardless of the physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies decisions, procedures, operations, or other activities of the government or because of the information value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications and of processed documents are not included. These items are referred to as non-record materials.
- b. The VHA Records Control Schedule (RCS) 10-1 is the main authority for the retention and disposition requirements of VHA records. It provides a brief description of the records and states the retention period and disposition requirements. It also provides the NARA disposition authorities or the GRS authorities, whichever is appropriate for the records, in addition to program and service sections.
- c. The GRS provides disposal authorities for temporary administrative records common to all Federal agencies. It covers records relating to: personnel, budget and finance, procurement, information technology, and other common functions and activities of Federal agencies. Any deviation from the GRS must be authorized by NARA in accordance with 36 Code of Federal Regulations (CFR) 1228.42(B). Requests for deviations from either the RCS 10-1 or GRS retention and disposition requirements are to be submitted to the VHA Records Management Office via the Facility requesting the change and the primary VHA Program Office with authority over the record type that is being requested for change.

### **3. RECORDS MANAGEMENT RESPONSIBILITIES**

a. The Assistant Deputy Under Secretary for Informatics and Analytics (10P2), Executive Director Information Governance (10P2C) Health Information Management/Records Management Office will be referred to as the VHA Records Management Office throughout this document. The VHA Records Management Office is responsible for developing policies and procedures for effective and efficient records management throughout VHA including VHA Program Offices and Veterans Administration (VA) Medical Centers. In addition, the Office acts as the liaison between VHA and NARA on issues pertaining to records management practices and procedures.

b. VHA Field/Facility Records Managers are responsible for all records management activities at their site.

c. All VHA employees are responsible for ensuring that records are created, maintained, protected, and dispositioned in accordance with NARA regulations and VA policies and procedures.

### **4. DISPOSITION OF RECORDS**

The RCS 10-1 contains retention and disposition requirements for VHA records authorized by NARA or assigned a GRS authority. Record disposition refers to the transfer of records to an approved records storage facility, transfer of permanent records to NARA, the destruction of records, or other appropriate actions to dispose of records. Unless retrieved; records transferred to a storage facility shall be dispositioned after expiration of their retention requirements.

### **5. PERMANENT AND UNSCHEDULED RECORDS**

Permanent and unscheduled records in VHA custody must be reported through the VHA Records Management Office to NARA. Permanent (archival) records are defined as records appraised by NARA to have sufficient historical value or other value to warrant permanent preservation at the NARA. Unappraised and unscheduled records are records that have not been evaluated to determine their record retention or disposition. Such records are to be retained until they receive disposition authority from NARA. The VHA Program Offices responsible for unscheduled records shall work with the Field/Facility Records Manager, VHA Records Management Office and the VHA Records Officer to identify, describe and submit to NARA a request for disposition authority using the NARA electronic Records Archives (ERA) system.

### **6. MEDIA NEUTRAL RECORDS**

a. A media neutral schedule item on a records disposition schedule (i.e., SF 115, Request for Records Disposition Authority or NARA Electronic Records Archives (ERA) records scheduling module) applies to the described records regardless of their medium. Program offices must submit a new schedule request through the VHA Records Management Office to NARA for approval of electronic versions of previously scheduled records if:

- (1) The content and function of the records have changed significantly (e.g., the electronic records contain information that is substantially different from the information included in the hard copy series or are used for different purposes).

- (2) The previously approved schedule explicitly excluded electronic records.
  - (3) The electronic records consist of program records maintained on an agency Web site.
  - (4) The electronic records consist of temporary program records maintained in a format other than scanned image AND the previously approved schedule is not media neutral.
- b. Temporary still pictures, sound recordings, motion picture film, and video recordings. Apply the previously approved schedule to digital versions.
- c. Scanned images of temporary records, including temporary program records. Apply the previously approved schedule.
- d. Other temporary records maintained in an electronic format other than scanned images:
- (1) For temporary records that are covered by an item in the GRS (other than those GRS items that exclude electronic master files and databases) or an agency-specific schedule that pertains to administrative housekeeping activities, apply the previously approved schedule. If the electronic records consist of information drawn from multiple hard copy series, apply the previously approved schedule item with the longest retention period. This is common when creating an electronic system that replaces a number of paper and electronic record types. The older systems and paper records are now placed into a new system. In the past these records may have covered various disposition life cycles. In the case of finance records the range could have been from 1 to 6 years. If the records in the new electronic system cannot be dispositioned separately then they must be kept for the longest disposition in this case 6 years.
  - (2) For temporary program records covered by a NARA-approved media neutral schedule item (i.e., the item appears on a schedule submitted to NARA for approval before December 17, 2007, that is explicitly stated to be media neutral, or it appears on a schedule submitted to NARA for approval on or after December 17, 2007, that is not explicitly limited to a specific recordkeeping medium), are considered media neutral. An example of this is the "Health Records Folder File or Consolidated Health Record (CHR)" The original NARA approved records disposition schedule was NARA (Job No. N1-15-91-6 item 1). This schedule was written and approved in 1991 and was for the paper health record only. In 2000 (VHA) created an "Electronic Health Record". Since this record was not paper VHA was required to submit to NARA a request for an electronic record schedule NARA (Job No.N1-15-02-3). This records schedule was created in 2002 which makes both the paper and electronic health record media neutral for future changes.

## **7. DAMAGE TO AND UNAUTHORIZED DESTRUCTION OF RECORDS**

- a. VHA records shall not be disposed of without the proper authorization to do so. Federal law prohibits unauthorized destruction or mutilation of Federal records. The penalty for such acts is a \$2,000 fine, 3 years in prison, or both pursuant to Title 18 United States Code 2071. Damage to, and unauthorized destruction of records is to be reported to the VHA Records Office immediately upon knowledge of such an act of destruction.
- b. VHA officials must take measures to ensure that records are not disposed of improperly. Records are not to be removed from VHA custody or destroyed without regard to the requirements of this schedule or



the GRS. When records are improperly disposed, NARA regulations and VA policy require the submission of a report to NARA. The report must include the record description, volume, date of incident, etc. Specific reporting requirements are contained in NARA regulations, Title 36, Code of Federal Regulations, Part 1228, Disposition of Federal Records, and VA Handbook 6300.1, Chapter 6., Records Management Procedures

## **8. RECORDS FREEZES/LITIGATION HOLDS**

- a. Records freeze: records whose scheduled disposition has been temporarily suspended because of special circumstances that alter the administrative, legal, or fiscal value of the records.
- b. Litigation hold: The Office of General Counsel (OGC) may periodically issue a litigation hold or moratorium on the disposition of certain records because the records may be potentially responsive or helpful in ongoing or pending litigation (lawsuits).
- c. A "hold" is simply the implementation of a litigation hold notice issued by an OGC Office. Upon receipt, the records manager must suspend the normal disposition cycle of the records listed in the hold notice to prevent their early/premature disposal. Holds are placed on records in an agency's physical custody.
- d. A "freeze" is created when the records manager receives a hold notice for records not in the agency's physical custody but in the custody of the VA Records Center and Vault (RC&V), a Federal Record Center (FRC), or a commercial records storage facility. The Facility Records Manager would ask NARA to create a freeze to halt premature disposition of the records. Since most litigations deal with relatively current agency activity, the number of freezes is significantly smaller than the number of holds since the agency still has physical custody of most records affected by holds.
- e. Upon receipt of a hold notice the records manager should initiate a freeze on any off-site records in conjunction with the hold placed on the on-site records in physical custody. This ensures that any potentially responsive record is preserved regardless of its physical location.
- f. The Office of General Counsel maintains a list of litigation holds at the following web-site [OGC Litigation Share Point](#)
- g. Additional information may be found at the following NARA website: <http://www.archives.gov/frc/arcis/freeze-faq.pdf>

## **9. VITAL/ESSENTIAL RECORDS**

Vital/Essential records are defined as essential records needed to maintain the continuity of Federal government activities during and following a national emergency or a technological or natural disaster and to protect the rights and interests of VA beneficiaries and employees. Additional information can be found in VA Handbook 6300.2.

## **10. PERSONAL PAPERS**

Personal papers consist of documents that relate only to an individual's personal affairs and do not affect the conduct of government business. Examples of personal papers are diaries, journals or other personal notes that are not created in the process of transacting government business. Personal papers may be

disposed of in accordance with the owner's preference. Note: personal notes included on an official calendar or files are subject to official records authorities.

## **11. TERMINATION OF OFFICE/SERVICE AND DEACTIVATION OF FIELD FACILITY**

- a. Specific records management procedures are to be followed when terminating an office/service or deactivating a field facility. The procedures are contained in VA Handbook 6300.1. It is important to follow these procedures to prevent the loss or unauthorized destruction of VHA records.
- b. Once it has been determined to abolish an office/service or to deactivate a field facility, the office or facility records manager is to be consulted so that certain measures are taken to prevent the premature destruction of records. An evaluation is to be conducted to determine those records that are eligible for immediate destruction, identify records that are to be transferred to the successor office/service or facility, identify records that are eligible for transfer to a records storage facility, and identify records of permanent value to be offered to the NARA. Records are not to be disposed of without proper authority to do so.

## **12. DEPARTMENT OF VETERANS AFFAIRS (VA) POLICY**

- a. VA Directive 6300 *Records and Information Management* provides the policy for records and information management.
- b. VA Handbook 6300.1 *Records Management Procedures* specifies procedures for implementing the records management program.
- c. VA Handbook 6300.2 *Management of the Vital Records Program* implements the VA Vital Records Program which is an integral component of the VA Emergency Preparedness Plan.
- d. VA Handbook 6300.8, *Procedures for Shipment of Records to the RC&V in Neosho, Missouri*, provides procedures for transferring records to the RC&V.

**PART TWO****CHAPTER 1****GENERAL ADMINISTRATION AND  
MANAGEMENT RECORDS****1000-1999**

The records described in this chapter pertain to performance of office and other administrative management functions throughout VHA CO, Program Offices and facilities and to techniques and programs that develop, control and improve management processes. These techniques and programs relate to the organization and planning, management analysis, acquisition program management, office methods, records, forms, reports and publication management, data processing; inspections, management sciences, and overall management of programs.

**1000-1099****NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION GRS RELATED TO  
ADMINISTRATION****1000****Records Common to Most Offices within Agencies  
(GRS-23)**

**1000.1.** This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be non-record 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 request for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training request. Item 1 may not be applied to files that also contain program records and may not be applied by an office that receives and takes action on documents submitted by other offices.

- a. **Office Administration 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, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Temporary; cutoff at end of CY, destroy when 2 years old. (N1-GRS-98-2 item 43)

- b. **Schedule of Daily Activities:** Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

- (1) 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.

Temporary; cutoff at end of CY, destroy or delete when 2 years old. (N1-GRS-87-19 item 5a)

**[NOTE:** High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. (N1-GRS-87-19 item 5a NOTE)]

- (2) Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Temporary; cutoff at end of CY, destroy or delete when no longer needed for convenience of reference. (N1-GRS-87-19 item 5b)

- c. **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.

(1) A note or other reminder to take action.

Temporary; cutoff at end CY, destroy after action is taken. (N1-GRS-80-8 item 3a)

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

Temporary; cutoff at end of CY, withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files. (N1-GRS-80-8 item 3b)

- d. **Transitory Files;** Records of short-term (180 days or less) interest, including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. Included are such records as:

- Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;
- Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;
- Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;
- Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is

expected, and if not received, should be traced on a given date.

**Superseded;** (N1-GRS-04-5, item 1) is superseded by (GRS 4.2 item 010, DAA-GRS-2013-0007-0001) per NARA transmittal #24, August 2015.

- e. **Tracking and Control Records/Routine Control files;** Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

**Superseded** (N1-GRS-98-2 item 45) Superseded by (GRS 4.1 item 010, DAA-GRS-2013-0002-0016) per NARA transmittal #24, August 2015.

- f. **Indexes, lists, registers, and other finding aids** used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

**Superseded** (N1-GRS-98-2 item 46) rescinded by (GRS 4.1 item 010, DAA-GRS-2013-0002-0016) per NARA transmittal #24, August 2015.

### **1003**

#### **Administrative Management Records (GRS-16)**

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

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Expenditures in the Executive Departments (replaces Senate Committee on Government Operations) in Senate

Report 243 (replaces 245), 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

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

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

**1003.1. Administrative Issuances.** [See note after item 1b.]

- a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Temporary; cutoff at the end of CY, destroy when superseded or obsolete. (NC1-GRS-81-5 item 3c)

- b. Case files related to (a) above that document aspects of the development of the issuance.

Temporary; cutoff at end of CY, destroy when issuance is destroyed. (NC1-GRS-81-5 item 3d)

[NOTE: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent

records and must be scheduled by submission of an SF 115 to NARA. (NC1-64-77-8 items 1a & 2a)]

**1003.2. Records Disposition Files.**

Descriptive inventories, disposal authorizations, schedules, and reports.

- a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to NARA; and related documentation.

(1) SF 115s that have been approved by NARA.

**Superseded** (N1-GRS-98-2 item 16) superseded by GRS 4.1 item 020, DAA-GRS-2013-0002-0007 per NARA Transmittal #24, August 2015.

(2) Other records.

**Superseded** (N1-GRS-98-2 item 17) superseded by GRS 4.1 item 020, DAA-GRS-2013-0002-0007 per NARA Transmittal #24, August 2015.

- b. Routine correspondence and memoranda.

**Superseded** (N1-GRS-98-2 item 18) superseded by GRS 4.1 item 020, DAA-GRS-2013-0002-0007 per NARA Transmittal #24, August 2015.

**1003.3. Forms Files.**

- a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.

**Superseded** (NC1-GRS-81-4 item 1) superseded by GRS 4.1 item 040, DAA-GRS-2013-0002-0009 per NARA Transmittal # 2, August 2015.

- b. Background materials, requisitions, specifications, processing data, and control records.

**Superseded** (NC1-64-77-8 item 4b) superseded by GRS 4.1 item 040, DAA-GRS-2013-0002-0009 per NARA Transmittal # 2, August 2015.

**1003.4. Project Control Files.**

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Temporary; cutoff at end of CY, destroy 1 year after the year in which the project is closed. (NC1-64-77-8 item 7)

**1003.5. Reports Control Files.**

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Temporary; cutoff at end of CY, destroy 2 years after the report is discontinued. (NC1-GRS-80-7 item 1)

**1003.6. Records Management Files.**

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

**Superseded** (N1-GRS-98-2 item 19) superseded by GRS 4.1 item 020, DAA-GRS-2013-0002-0007 and GRS 4.1 item 030, DAA-GRS-2013-0002-0008 per NARA Transmittal # 2, August 2015.

**1003.7. 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.

Temporary; destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0007, item 11)

[NOTE: Record category has been superseded or other altered by GRS 3.1. It is included here with the updated disposition schedule for convenience. See item 2000.1.b of this manual for more information, including exclusions to this disposition.]

**1003.8. Microform Inspection Records.**

- a. Agency copy of inventories, logs, and reports documenting the inspection of permanent

microform records, as required by 36 CFR Part 1238.22. [See notes after item 10a.]

**Superseded** (N1-GRS-91-4 item 1) superseded by GRS 4.1 item 020, DAA-GRS-2013-0002-0007 per NARA Transmittal # 2, August 2015.

[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 of the United States. (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 1238.24.

**Superseded** (N1-GRS-98-2 item 22) superseded by GRS 4.1 item 020, DAA-GRS-2013-0002-0007 per NARA Transmittal # 2, August 2015.

**1003.9. Information Resources Management (IRM) Triennial Review Files.**

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

Temporary; cutoff at end of CY, destroy when 7 years old. (N1-GRS-87-15 item 1)

**1003.10. Information Collection Budget Files.**

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

Temporary; cutoff at end of CY, destroy when 7 years old. (N1-GRS-87-16 item 1)

**1003.11. 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)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements;

delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Temporary; cutoff at end of CY, destroy when 1 year old. (N1-GRS-87-17 item 1a)

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

Temporary; cutoff at end of CY, destroy when 2 years old. (N1-GRS-87-17 item 1b)

[NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the GRS's. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition. (N1-GRS-87-17 item 1 Note)]

### 1003.12. Management Control Records.

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files. Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Temporary; cutoff at end of CY, destroy when superseded. (N1-GRS-91-5 item 1a)

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

Temporary; cutoff at end of CY, destroy when superseded. (N1-GRS-91-5 item 1b)

- c. Risk analyses. Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Temporary; cutoff closed files annually. Destroy after next review cycle. (N1-GRS-91-5 item 1c)

- d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

Temporary; cutoff closed files annually. Destroy after next reporting cycle. (N1-GRS-91-5 item 1d)

[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA. (N1-GRS-91-5 item 1d)]

- e. Tracking files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Temporary; cutoff at the end of CY, destroy 1 year after report is completed. (N1-GRS-98-2 item 23)

- 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.

Temporary; cutoff when no further corrective action is necessary. Destroy 5 years after cutoff. (N1-GRS-91-5 item 1f1)

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

Temporary; cutoff when no further corrective action is necessary. Destroy 1 year after cutoff. (N1-GRS-91-5 item 1f2)

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]

**1004****Records Management Records**  
**(GRS-4.1)**

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

**1004.1. Tracking and control records.** Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes:

- indexes
- lists
- registers
- inventories
- logs

Temporary; destroy when no longer needed. (GRS 4.1 item 010, DAA-GRS-2013-0002-0016)

**Exclusion 1:** This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.

**Exclusion 2:** This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.

**1004.2. Records management program records.**

Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:

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

conducting special projects Records include:

- agency records management program surveys or evaluations
- reports of surveys or evaluations
- reports of corrective action taken in response to agency program surveys or evaluations
- disposal authorizations, schedules, and reports

- records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority)
- SF 135, Records Transmittal and Receipt
- OF 11, Reference Request
- Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States

Temporary; destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use. (GRS 4.1 item 020, DAA-GRS-2013-0002-0007)

Exclusion: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.

**1004.3. Vital or essential records program records.**

Records involved in planning, operating, and managing the agency's vital or essential records program. Includes:

- vital records inventories
- vital records cycling plans
- results of tests, surveys, or evaluations
- reports of corrective action taken in response to agency vital records tests

Temporary; destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use. (GRS 4.1 item 030, DAA-GRS-2013-0002-0008)

**1004.4. Copies of vital records.** Copies of agency records deemed essential to restore agency functions in case of emergency.

Temporary; destroy when superseded by the next cycle. (GRS 4.1 item 031, DAA-GRS-2013-0002-0015)

**1004.5. Forms management records.** Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes:

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

Temporary; destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use. (GRS 4.1 item 040, DAA-GRS-2013-0002-0009)



**1005****Information Services Records**  
**(GRS-14)**

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

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

[NOTE: Other information service records such as speeches and press release from senior VHA leadership or of public new worthy events may have separate schedules from the ones found in this section. Care should be taken to ensure that the proper records schedule is used.]

**1005.1. Information Requests Files.**

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

**Superseded** (N1-GRS-98-2, item 10) is superseded by (GRS 4.2 item 010, DAA-GRS-2013-0007-0001) per transmittal #24, August 2015.

**1005.2. Acknowledgment Files.**

Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

**Superseded** (GRS 14, 1952, items 2 and 3) is superseded by (GRS 4.2 item 010, DAA-GRS-2013-0007-0001) per transmittal #24, August 2015.

**1005.3. Press Service Files.**

Press service teletype news and similar materials.

Temporary; destroy when 3 months old. (GRS 14 Item 3)

**1005.4. Information Project Files.**

**Information service project case files maintained in formally designated information offices.**

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4, DAA-GRS-2016-0003, item 30) (see 1900.19) .**

**1005.5. Commendation/Complaint Correspondence Files.**

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

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4, DAA-GRS-2016-0002, item 20) (see 1900.18) .**

**1005.6. Indexes and Check Lists.**

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

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .**

*Items 1005.7 through 1005.10. Reserved by NARA.*

**1005.11. Freedom of Information act (FOIA) Requests Files.**

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

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

- (1) Granting access to all the requested records.

**Superseded;** (NC1-64-77-1 item 16a1) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

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

- (a) Request not appealed.

**Superseded;** (NC1-64-77-1 item 16a2a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- (b) Request appealed.

**Superseded;** (NC1-64-77-1 item 16a2b) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

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

- (a) Request not appealed.

**Superseded;** (N1-GRS-87-4 item 16a3a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- (b) Request appealed.

**Superseded;** (NC1-64-77-1 item 16a3b) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- b. Official file copy of requested records.

**(Rescinded)** GRS 14, item 11b) by GRS Transmittal 24 August 2015 (NC1-64-77-1 item 16b)

#### 1005.12. FOIA Appeals Files.

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

- a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

**Superseded;** (N1-GRS-87-4 item 17a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- b. Official file copy of records under appeal.

**(Rescinded)** GRS 14, item 12b by GRS Transmittal 24 August 2015. (NC1-64-77-1 item 17b)

#### 1005.13. FOIA Control Files.

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

- a. Registers or listing.

**Superseded;** (NC1-64-76-3, item 11a) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA transmittal #24, August 2015.

- b. Other files.

**Superseded;** (NC1-64-76-3, item 11b) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA transmittal #24, August 2015.

#### 1005.14. FOIA Reports Files.

Recurring reports and one-time information requirements relating to the agency implementation of the FOIA, EXCLUDING annual reports to the Congress at the departmental or agency level.

**Superseded;** (N1-GRS-98-2 item 11) is superseded by (GRS 4.2 item 070, DAA-GRS-2013-0007-0006) per NARA transmittal #24, August 2015

[NOTE: The GRS does not cover departmental or agency level annual reports to the Congress. These reports should be scheduled for transfer to the NARA by submitting an SF 115 to NARA.]

#### 1005.15. FOIA Administrative Files.

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

**Superseded;** (N1-GRS-98-2 item 12) is superseded by (GRS 4.2 item 070, DAA-GRS-2016-0013-0003) per NARA transmittal #27, January 2017

**1005.16 through 1005.20 reserved by NARA.**

**1005.21. Privacy Act Requests Files.**

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

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

- (1) Granting access to all the requested records.

**Superseded;** (NC1-64-77-1 item 25a1) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

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

- (a) Requests not appealed.

**Superseded;** (NC1-64-77-1 item 25a2a) is superseded by (GRS 4.2 item 020, DAA-GRS-2-16-0002-0001) per NARA transmittal #26 September, 2016.

- (b) Requests appealed.

**Superseded;** (NC1-64-77-1 item 25a2b) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

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

- (a) Requests not appealed.

**Superseded;** (NC1-64-77-1 item 25a3a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- (b) Requests appealed.

**Superseded;** (NC1-64-77-1 item 25a3b) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- b. Official file copy of requested records.

**Superseded;** (NC1-64-77-1 item 25b) is superseded by (GRS 4.2 item 020, DAA-GRS-2013-0007-0002) per NARA transmittal 24, August 2015.

**1005.22. Privacy Act Amendment Case Files.**

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

- a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

**Superseded;** (NC1-64-77-1 item 26a) is superseded by (GRS 4.2 item 090, DAA-GRS-2013-0007-0007) per NARA transmittal #24, August 2015

- b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

**Superseded;** (NC1-64-77-1 item 26b) is superseded by (GRS 4.2 item 090, DAA-GRS-2013-0007-0007) per NARA transmittal #24, August 2015

- c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

**Superseded;** (NC1-64-77-1 item 26c) is superseded by (GRS 4.2 item 090, DAA-GRS-2013-0007-0007) per NARA transmittal #24, August 2015

**1005.23. Privacy Act Accounting of Disclosure Files.**

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later. (NC1-64-77-1 item 27)

**1005.24. Privacy Act Control Files.**

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

a. Registers or listings.

**Superseded;** (NC1-64-77-1 item 28a) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA transmittal 24, August 2015.

b. Other files.

**Superseded;** (NC1-64-77-1 item 28b) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA transmittal 24, August 2015.

**1005.25. Privacy Act Reports Files.**

Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.

**Superseded;** (N1-GRS-89-4 item 1) is superseded by (GRS 4.2 item 070, DAA-GRS-2013-0007-0006) per NARA transmittal #24, August 2015

[NOTE: The GRS does not cover the biennial report to Congress from OMB. (N1-GRS-89-4 item 1 note)]

**1005.26. Privacy Act General Administrative Files.**

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

**Superseded;** (N1-GRS-98-2 item 13) is superseded by (GRS 4.2 item 001, DAA-GRS-2016-0013-0003) per NARA transmittal #27, January, 2017

**1005.27 through 1005.30 reserved by NARA****1005.31. Mandatory Review for Declassification Requests Files.**

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

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

(1) Granting access to all the requested records.

**Superseded;** (N1-GRS-87-7, item 31a1) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

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

(a) Request not appealed.

**Superseded;** (N1-GRS-87-7, item 31a2a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

(b) Request appealed.

**Superseded;** (N1-GRS-87-7, item 31a2b) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

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

(a) Request not appealed.

**Superseded;** (N1-GRS-87-7, item 31a3a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

(b) Request appealed.

**Superseded;** (N1-GRS-87-7, item 31a3b) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

b. Official file copy of requested records.

**Rescinded** (GRS 14, item 31b/ N1-GRS-87-7, item 31b), is rescinded by GRS Transmittal 23

c. Sanitizing instructions.

**Superseded;** (N1-GRS-87-7, item 31c) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

**1005.32. Mandatory Review for Declassification Appeals Files.**

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

may include the official, file copy of records under appeal or copy thereof.

- a. Correspondence and supporting documents  
(EXCLUDING the official file copy of the records under appeal if filed herein).

**Superseded;** (N1-GRS-87-7, item 32a) is superseded by (GRS 4.2 item 020, DAA-GRS-2016-0002-0001) per NARA transmittal #26 September, 2016.

- b. Official file copy of records under appeal.

**Rescinded** (GRS 14, item 32b/ N1-GRS-87-7, item 32b), by GRS Transmittal 23

#### **1005.33. Mandatory Review for Declassification Control Files.**

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

- a. Registers or listing.

**Superseded;** (N1-GRS-87-7, item 33a) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA transmittal #24, August 2015.

- b. Other files.

**Superseded;** (N1-GRS-87-7, item 33b) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA transmittal #24, August 2015.

#### **1005.34. Mandatory Review for Declassification Reports Files.**

Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

**Superseded;** (N1-GRS-98-2 item 14) is superseded by (GRS 4.2 item 030, DAA-GRS-2016-0002-0002) per NARA transmittal #26, September 2016.

#### **1005.35. Mandatory Review for Declassification Administrative Files.**

Records relating to the general agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including notices, memoranda, correspondence, and related records.

**Superseded;** (N1-GRS-98-2 item 15) is superseded by (GRS 4.2 item 030, DAA-GRS-2016-0002-0002) per NARA transmittal #26, September, 2016.

#### **1005.36. Erroneous Release Files.**

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

- a. Files that include the official file copy of the released records.

**Superseded;** (N1-GRS-89-2 item 1a) is superseded by (GRS 4.2 item 060, DAA-GRS-0002-0001) per NARA transmittal #24, August 2015

- b. Files that do not include the official file copy of the released records.

**Superseded;** (N1-GRS-89-2 item 1b) is superseded by (GRS 4.2 item 061, DAA-GRS-0002-0002) per NARA transmittal #24, August 2015

#### **1005.37. Management of Data Integrity (DIB) Files and Computer Matching Agreement (CMA) Files.**

The DIB and CMA program contains files on Data Integrity Board meetings and computer matching agreements files. These files are in paper and electronic format, i.e., VA System of Records Control File. A system of records is a file, database, or program from which personal information is retrieved by name or other personal identifiers. The Privacy Act provides a number of protections for personal information. These typically include how information is collected, used, disclosed, stored, and disposed.

Temporary; destroy when 4 years old after expiration of agreement. (N1-15-97-6)

**1006****Information Access and Protection Records  
(FOIA/Privacy)****GRS-4.2**

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

**1006.1a FIOA, Privacy Act and classification documents administrative Records. Records on managing information access and protection activities. Records include:**

- **Correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification, control, and accounting for classified documents**
- **Associated subject files**
- **Feeder and statistical report.**

**Temporary. Destroy when 3 years old but longer retention is authorized if needed for business use. (GRS 4.2, Item 001, DAA-GRS-2016-0013-0003)**

**1006.1b. General information request files.** Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.

Temporary; destroy when 90 days old, but longer retention is authorized if required for business use. (GRS 4.2 item 010, DAA-GRS-2013-0007-0001)

Note: Current: Metadata for Still Pictures; 36 CFR 1237.28(h) Descriptive elements must include:

- (1) An identification number;
- (2) Information about image content;
- (3) Identity and organizational affiliation of the photographer;
- (4) Existence of any copyright or other potential restrictions on image use; and
- (5) Technical data including file format and version, bit depth, image size, camera make and model, compression method and level, custom or generic color profiles (ICC/ICM profile)

**1006.2. Access and disclosure request files.** Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory

Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by

- granting the request in full
- granting the request in part
- denying the request for any reason including:
  - inability to fulfill request because records do not exist
  - inability to fulfill request because request inadequately describes records
  - inability to fulfill request because search or reproduction fees are not paid
- final adjudication on appeal to any of the above original settlements
- final agency action in response to court remand on appeal

Includes:

- requests (either first-party or third-party)
- replies
- copies of requested records
- administrative appeals
- related supporting documents (such as sanitizing instructions)

**Temporary; destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use. (DAA-GRS-2016-0002-0001, item 020)**

**Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.**

**Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.**

**1006.3. Information access and protection operation records.**

**a. Information access and protection tracking and Control Records Includes:**

- **Records documenting receipt, internal routing, dispatch, and destruction of unclassified records.**
- **Tracking databases and other records used to manage overall program.**
- **Requests and authorizations for individuals to have access to classified files**

**Temporary; destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (GRS 4.2 item 030, DAA-GRS-2016-0002-0002)**

**b. Access control records.** Includes:

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

Temporary; destroy when superseded or obsolete, but longer retention is authorized if required for business use. (GRS 4.2 item 031, DAA-GRS-2013-0007-0020)

**c. Records relating to classified or controlled unclassified document containers.** Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security.

**Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use. (GRS 4.2 item 032, DAA-GRS-2016-0002-0003)**

**Note:** Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.

**1006.4. Accounting for and control of access to classified, controlled unclassified, and unclassified records and records regarding FOIA, PA, and MDR.** Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:

- forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request
- inventories of controlled records
- forms accompanying documents to ensure continuing control, showing names of people handling the documents, intra-office routing, and comparable data
- agent and researcher files

**Temporary; destroy or delete 5 years after date of last entry, final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status) or final adjudication by courts, as may apply, whichever is later; but longer retention is authorized if**

**required for business use. (GRS 4.2 item 040, DAA-GRS-2016-0002-0004)**

**1006.5. Privacy Act accounting of disclosure files.** Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:

- forms with the subject individual's name
- records of the requester's name and address
- explanations of the purpose for the request
- date of disclosure
- proof of subject individual's consent

Temporary; dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later. (GRS 4.2 item 050, NC1-64-77-1 item 27)

**1006.6. Erroneous release records.** Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:

- requests for information
- copies of replies
- all related supporting documents May include:
- official copy of records requested or copies
  - a. Records in which record-keeping copy of the released records is interfiled with records of the erroneous release.

Temporary; follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later. (GRS 4.2 item 060, DAA-GRS-2015-0002-0001)

b. Files that do not include the record-keeping copy of the released records.

Temporary; destroy 6 years after the erroneous release, but longer retention is authorized if required for business use. (GRS 4.2 item 061, DAA-GRS-2015-0002-0002)

**1006.7. Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs.**

Temporary; destroy 2 years after date of report, but longer retention is authorized if required for business use. (GRS 4.2 item 070, DAA-GRS-2013-0007-0006)

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

**1006.8. Legal and regulatory compliance reporting records.**

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

a. Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.  
Legal citation: OMB M-07-16.

Temporary; destroy 5 years after submission of report, but longer retention is authorized if required for business use. (GRS 4.2 item 080, DAA-GRS-2013-0007-0022)

b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).

Temporary; destroy 2 years after submission of report, but longer retention is authorized if required for business use. (GRS 4.2 item 081, DAA-GRS-2013-0007-0023)

**1006.9. Privacy Act amendment request files.** Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:

- requests to amend and to review refusal to amend
- copies of agency's replies
- statement of disagreement
- agency justification for refusal to amend a record
- appeals
- related materials

Temporary; destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use. (GRS 4.2 item 090, DAA-GRS-2013-0007-0007)

**1006.10. Automatic and systematic declassification review program records.** Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.

Temporary; destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use. (GRS 4.2 item 100, DAA-GRS-2013-0007-0008)

**1006.11. Fundamental classification guidance review files.** Reports, significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9.

Temporary; destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use. (GRS 4.2 item 110, DAA-GRS-2013-0007-0011)

**Note:** This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).

**1006.12. 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.

a. Maintained in the individual's official personnel folder.

Temporary; Apply the disposition for the official personnel folder. (GRS 4.2 item 120)

b. Maintained separately from the individual's official personnel folder.

Temporary. Destroy when 50 years old. (GRS 4.2 item 121, DAA-GRS-2015-0002-0003)

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

**1006.13. Personally identifiable information extracts.**

System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.

Temporary; destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate. (GRS 4.2 item 130, DAA-GRS-2013-0007-0012)

**Legal citation:** OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."

**1006.14. Personally identifiable information extract logs.**

Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.



Temporary; destroy when business use ceases. (GRS 4.2 item 140, DAA-GRS-2013-0007-0013)

**1006.15 Privacy Act System of Records Notices (SORN's). Agency copy of notice about the existence and character of systems of records, documenting publication in the Federal Register when agency establishes or revises the system, per the Privacy Act of 1974 5 U.S.C. 552a(4) and 5 U.S.C. 552a(11), as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see GSR 4.2 item 161)**

**Temporary; destroy 2 years after supersession by a revised SORN or after system ceases operations, but longer retention is authorized if required for business use. (DAA-GRS-2016-0008-0002 GRS 4.2, item 150)**

**1006.16 Records Analyzing Personally Identifiable Information (PII).** Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of Final products.

**a. Records of Privacy Threshold analyses (PTAs) and Initial Privacy Assessments (IPAs).** Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA)

Temporary; destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use. (DAA-GRS-2016-0003-0003, GRS 4.2 item 160)

**b. Record of Privacy Impact Assessments (PIAs).**

Temporary; destroy 3 years after superseding PIA is published, after system ceases operations, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use. (DAA-GRS-2016-0003-0004, GRS 4.2, item 161)

**1006.17 Computer matching program notices and agreements.** Agency copy of notices of intent to share data in systems of records with other Federal, State or local government agencies via computer matching programs, and related records documenting publications of notice in the Federal Register per Privacy Act of 1974 (5 U.S.C. 552a(12)), as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget final guidance. Including documentation of Data Integrity Board (DIB) review and

approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.

Temporary; destroy upon supersession by revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use. (DAA-GRS-2016-0003-0005, GRS 4.2 item 170)

**1006.17 Virtual public access library records. Records published by agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:**

- **final concurring and dissenting opinions and orders agencies issue when adjudicating cases**
- **statements of policy and interpretations the agency adopts but does not publish in Federal Register**
- **copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times**
- **indexes of agency major information systems**
- **description of agency major information and record locator systems**
- **handbooks for obtaining various types and categories of agency public information**

**Temporary: Destroy when no longer needed. (DAA-GRS-2016-0008-0001, GRS 4.2, Item 180)**

**1008**

**Privacy Compliance Assurance Office**  
**Note: this space is Reserved**

**1009**

**Grants and Cooperative Agreement Records (GRS-1.2)**

**1009.1. Grant and Cooperative Agreement Program Management Records.**

Records related to the coordination, implementation, execution, monitoring, and completion of grant and

cooperative agreement programs, such as:

- Background files;
  - Program Announcements
  - Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices
  - Requests for Proposals
- Application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)
- Application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)

Temporary; destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use. (DAA-GRS-2013-0008-0007)

[NOTE: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.]

**EXCLUSION 1:** Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.

**EXCLUSION 2:** Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.

### 1009.2. Grant and Cooperative Agreement Case Files.

Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:

- applications, forms, and budget documents
- Evaluation reports, panelist comments, review ratings or scores
- Notice of Grant Award or equivalent and grant terms and conditions
- State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)
- Amendment requests and actions, if any
- Periodic and final performance reports

- (progress, narrative, financial)
- Audit reports and/or other monitoring or oversight documentation
- Summary reports and the like

#### a. Successful Applications.

Temporary; destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use. (DAA-GRS-2013-0008-0001)

#### b. Unsuccessful Applications.

Temporary; destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use. (DAA-GRS-2013-0008-0006)

#### c. All Other Copies. Copies used for administrative or reference purposes.

Temporary; destroy when business use ceases. (DAA-GRS-2013-0008-0002)

[NOTE: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.]

**EXCLUSION:** Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.

Legal citation: 31 U.S.C. 3731(b), False Claims Act

### 1009.3. Final Grant and Cooperative Agreement Products or Deliverables.

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

- Report, study, or publication;
- conference paper and/or presentation;
- Book, journal article, or monograph;
- Training material, educational aid, or curriculum content;
- Plan, process, or analysis;
- Database or dataset;
- Audio, video, or still photography;
- Website content or other Internet component;
- Documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype);
- Software or computer code

Temporary; destroy when business use ceases. (DAA-GRS-2013-0008-0003)

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

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

#### **1009.4. Grants related records not covered by any other NARA approved schedule found within RCS (GRS 3)**

- a. Unsuccessful Grant Application Files: applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

Temporary; cutoff at end of FY, destroy 3 years after rejection or withdrawal. (NC1-64-77-5 item 14a)

- b. Grant Administrative Files. [See note after this item.] Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Temporary; cutoff at end of FY, destroy when 2 years old. (NC1-64-77-5 item 17b)

[NOTE: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.]

### **1010**

#### **Printing, Binding, Duplication, and Distribution Records (GRS-13)**

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions

requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to NARA before applying these disposition instructions.

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

#### **1010.1. Administrative Correspondence Files.**

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

**Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..**

#### **1010.2. Project Files.**

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

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

**Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..**

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

**Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..**

**1010.3. Control Files.****Control registers pertaining to requisitions and work orders.**

**Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..**

**1010.4. Mailing Lists.**

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

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

- b. Card lists.

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

**1010.5. Joint Committee on Printing (JCP) Reports Files.**

Reports to Congress and related records.

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

Temporary; cutoff at end of CY, destroy when 3 years old. (GRS 13, 1952, item 6a)

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

Temporary; cutoff at end of CY, destroy 1 year after date of report. (GRS 13, 1952, item 6b)

**1010.6. Internal Management Files.****Records relating to internal management and operation of the unit.**

**Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..**

**1020**

**Temporary Commissions, Boards, Councils and Committees**  
**(GRS-26)**

This schedule covers records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members.

This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act.

For convenience, the term "commission" is used in this schedule to cover all types of temporary organizations.

The record series described in this schedule are created and maintained in different media and formats, therefore this schedule is written to authorize the disposition of the records in any media (media neutral). Agencies are required to refer to the most current version of the CFR and other relevant guidance to ensure that the media and format that is chosen by the agency meets NARA's transfer requirements for permanent records. See 36 CFR Sections: 1235.42, "What specifications and standards for transfer apply to audiovisual records, cartographic, and related records?"; 1235.44, 46, 48, 50 (electronic records); and 1238.28, "What must agencies do when sending permanent microform records to a records storage facility?"

When records are created and maintained electronically, NARA prefers that the archival copy be transferred to the NARA in an approved electronic format.

**1020.1. Internal Agency Committees.**

- a. Internal agency committees unrelated to an agency's mission. Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities. (Any files created and/or maintained by the committee)

Temporary; cutoff at end of CY, destroy/delete when no longer needed for administrative purposes. (N1-GRS-04-1 item 1a)

- b. Internal agency committees related to an agency's mission. Committees established by agency authority (not established by Public Law or

Executive Order) for facilitative or operational purposes, related to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

Temporary; any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees. These records are potentially permanent and must be scheduled by submission of an SF 115 to NARA. (N1-GRS-04-1 item 1b)

**1020.2. Records Created by Advisory Commissions, Committees, Councils, Boards and Other Groups Established under the Federal Advisory Committee Act (FACA).**

[NOTE: The term "advisory committee" as defined by FACA means any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or other subgroup which is (1) established by statute or reorganization plan or (2) established or utilized by the President, or (3) established or utilized by one or more agencies or officers of the Federal government. This term does not apply to any committee which is composed wholly of full-time officers or employees of the Federal government.]

a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as;

- Original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components.
- Agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed
- One copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches,

formal photographs and other significant public affairs files

- Correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission
- Substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data).
- Questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically).
- Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act.
- Documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.
- Documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.

(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002))

b. Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as;

- Correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]

- Audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events
- Other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc.
- Extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor.

(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))

c. Web site records.

- (1) Electronic version of web site(s)

(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005))

- (2) Design, management, and technical operation records.

(Rescinded) GRS 26, Item, 2c2 by GRS Transmittal 24

- (3) Electronic version of content records duplicated in textual series of commission records.

(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))

### 1020.3. Committee Records Not Maintained by the Sponsor or Secretariat.

Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat.

(Rescinded) GRS 26, item 3, by GRS Transmittal 24 August 2015. (N1-GRS-04-1 item 3)

### 1020.4. Committee Management Records.

Records maintained by agency Committee Management Officers for committees established under the FACA as amended (5U.S.C. Appendix 2). [See note after this item.] Committee Management activities include the

establishment, appointment of members, and operation and termination of chartered Federal advisory committees.

Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration (GSA) reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer.

(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006))

## 1021

### Federal Advisory Committee Records (GRS-6.2)

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

If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply. For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.

#### 1021.1. Substantive Committee Records (Non-Grant Review Committees) Exclusion:

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

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

a. Records related to the establishment of the committee:

- charters (original, renewal, re-establishment, and amended)
- enacting legislation
- explanation of committee need, when required
- filing letters to Congress
- organization charts

- committee specific bylaws, standard operating procedures, or guidelines
- any other materials that document the organization and functions of the committee and its components

b. records related to committee membership:

- memos or similar documentation of how and/or why individual members were selected
- membership rosters
- appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.
- Resignation or termination letters

c. records of committee meetings and hearings: o agency head's determination that a meeting or portion of a meeting may be closed to the public

- agendas
- materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations
- meeting minutes
- public comments
- testimony received during hearings
- transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020)

d. records related to committee findings and recommendations:

- one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee
- responses from agency to committee regarding recommendations
- committee presentations or briefings of findings

e. records created by committee members:

- correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)

f. records related to research collected or created by the committee:

- records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)
- raw data files created in connection with research studies and other projects where the information

has been consolidated or aggregated for analyses, reports, or studies

g. documentation of advisory committee subcommittees (i.e., working groups, or other subgroups):

- records relating to the formation of the subcommittee or working group, if they exist
  - decision documents
  - membership
  - Statement of purpose or other documentation of duties and responsibilities
- Records that document the activities of subcommittees that support their reports and recommendations to chartered or parent committee. This documentation may include, but is not limited to:
  - Meeting minutes
  - Transcripts
  - Reports
  - Briefing materials
  - Substantive correspondence, including electronic mail, exchange between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the designated Federal officer)
  - Background material
- Records related to committee termination (i.e., e-mail, letter, memo, etc.).
- Other records documenting decisions, discussions, or action related to the work of a committee, including information in committee website not captured elsewhere in committee records.

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

**Permanent;** transfer when records are 15 years old or upon termination of committee, whichever is sooner. (GRS 6.2 Item 010, DAA-GRS-2015-0001-0001)

**1021.2. Substantive Audiovisual Records (Non-Grant Review Committees) Exclusion:** This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.

Records include:

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

**Permanent.** Transfer when records are 3 years old or upon termination of committee, whichever is sooner. (GRS 6.2 Item 020, DAA-GRS-2015-0001-0002)

**1021.3. Grant Review Committee Records** Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials.

**Temporary;** destroy upon termination of committee. (GRS 6.2, item 030)

**Note:** If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.

**1021.4. Committee Accountability Records;** Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include:

- travel costs
- committee member payments
- meeting room costs
- contractor costs
- Federal Register notice costs

**Temporary;** destroy when 6 years old. Longer retention is authorized if required for business use. (GRS 6.2, item 040, DAA-GRS- 2015-0001- 0004)

**Exclusion:** Forms filed under the Ethics in Government Act (see note).

**Note:** Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).

**1021.5. Non-substantive Committee Records.** Records related to specific committees that are of an administrative

nature or are duplicative of information maintained elsewhere.

- drafts and copies of Federal Register notices
- audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
- photographs of committee social functions, routine award events, and other non-mission-related
- Record relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.

• routine correspondence:

- correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues)
- public requests for information

• Non-substantive committee membership records, including:

- Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee
- Member credentials (resumes or biographies)
- Member files (personnel-type records)

• Non-substantive web content

**Temporary;** destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner. (GRS 6.2, item 050, DAA-GRS- 2015-0001- 0005)

**Note 1:** Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.

**Note 2:** Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as



the recordkeeping copy may be destroyed subject to GRS 4.3, item 040.

**1021.6. Committee Management Records** Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include:

- agency guidelines
- correspondence
- requests for approval of committee nominees
- copies of records about committees maintained for reporting purposes, such as:
  - information provided to GSA Secretariat for annual comprehensive reviews
  - statistical data files and reports
  - annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act
  - financial operating plans and final cost accountings

**Temporary.** Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use. (GRS 6.2, Item 060, DAA-GRS-2015-0001- 0006

**Note:** This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.

## 1025

### Travel and Transportation Records (GRS-9)

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

which are covered by GRS 7, item 4.

**Movement of goods.** The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

**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 GRS 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 GRS 6, item 10.

### **1025.1. Commercial Freight and Passenger Transportation Files.**

- a. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule.

Temporary; cutoff at end of FY, destroy 6 years after the period of the account. (N1-GRS-91-3, item 1a)

- b. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained

beyond the 6 year retention period.

Temporary; cutoff at the end of FY, destroy when 10 years old. (N1-GRS-91-3, item 1b)

- c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.

Temporary; cutoff at the end of FY, destroy 6 years after the period of the account. (N1-GRS-91-3, item 1c)

- d. Obligation copy of commercial passenger transportation vouchers.

Temporary; cutoff at the end of FY, destroy when funds are obligated. (N1-GRS-91-3, item 1e)

- e. Unused ticket redemption forms, such as SF 1170.

Temporary; cutoff at the end of FY, destroy 3 years after the year in which the transaction is completed. (N1-GRS-98-2, item 8)

#### **1025.2. Lost or Damaged Shipments Files.**

**Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.**

**Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..**

#### **1025.3. Noncommercial, Reimbursable Travel Files.**

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

- a. Travel administrative office files.

Temporary; cutoff at the end of FY, destroy when 6 years old. (N1-GRS-91-3, item 3a)

- b. Obligation copies.

Temporary; cutoff at the end of FY, destroy when funds are obligated. (N1-GRS-91-3, item 3b)

#### **1025.4. General Travel and Transportation Files.**

- a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.

Temporary; cutoff at the end of FY, destroy when 3 years old. (GRS 1.1, item 001) (DAA-GRS-2016-0013-0001)

- b. Accountability records documenting the issue or receipt of accountable documents. Including records of tokens and or tickets received or issues for local commercial transportation of government employees.

**Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..**

**1025.5. Records Relating to Official Passports.** [See notes after item 5c.]

- a. Application files. Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

Temporary; cutoff at the end of FY, destroy when 3 years old or upon separation of the bearer, whichever is sooner. (N1-GRS-91-1, item 5a)

- b. Annual reports concerning official passports. Reports to the Department of State concerning the number of official passports issued and related matters.

Temporary; cutoff at the end of FY, destroy when 1 year old. (N1-GRS-91-1, item 5b)

- c. Passport registers. Registers and lists of agency personnel who have official passports.

Temporary; cutoff at the end of FY, destroy when superseded or obsolete. (N1-GRS-98-2, item 9)

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

#### **1025.6. Federal Employee Transportation Subsidy Records.**

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees,

including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Temporary; cutoff at end of CY, destroy when 3 years old. (N1-GRS-97-2, item 7)

#### **1025.7. Beneficiary Travel File**

Administration travel unit copies of beneficiary travel records not required for filing in fiscal Services.

Temporary; cutoff at end of FY, destroy 1 year after cutoff (II-NNA-1192)

### **1030**

#### **Ethics Program Records** **(GRS-25)**

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5 CFR part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this

schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

#### **1030.1. Ethics Program Implementation, Interpretation, Counseling, and Development Files.**

Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including: Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.

Determinations, including advice and counseling to individual employees, and supporting records.

Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

Temporary; cutoff at end of FY that case was closed. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if require for business use. (DAA-GRS-2016-0006-0001, item 010) see NARA transmittal 26/Sep 2016.

#### **1030.2. Financial Disclosure Reporting Files.**

Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

- a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.

- (1) SF 278 reports for individuals filing in

accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.

**Superseded;** (N1-GRS-01-1 item 2a1) is superseded by GRS 2.8 item 060, DAA-GRS-2014-0005-0007 NARA Transmittal #24 August 2015.

- (2) All other SF 278s.

**Superseded;** (N1-GRS-01-1 item 2a2) is superseded by GRS 2.8 item 061, DAA-GRS-2014-0005-0008 NARA Transmittal #24 August 2015.

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

- (1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.

**Superseded;** (N1-GRS-01-1 item 2b1) is superseded by GRS 2.8 item 070, DAA-GRS-2014-0005-0011 NARA Transmittal #24 August 2015.

- (2) All other OGE Form 450s and OGE Optional Form 450-As.

**Superseded;** (N1-GRS-01-1 item 2b2) is superseded by GRS 2.8 item 071, DAA-GRS-2014-0005-0012 and item 72, DAA-GRS-2014-0005-0013, NARA Transmittal #24 August 2015.

- c. Alternative or additional financial disclosure reports and related records.

- (1) Reports for individuals not subsequently confirmed by the U.S. Senate.

**Superseded;** (N1-GRS-01-1 item 2c1) is superseded by GRS 2.8 item 080, DAA-GRS-2014-0005-0014 NARA Transmittal #24 August 2015.

- (2) All other alternative or additional financial disclosure reports.

**Superseded;** (N1-GRS-01-1 item 2c2) is superseded by GRS 2.8 item 081, DAA-GRS-2014-0005-0015 NARA Transmittal #24 August 2015.

### 1030.3. Ethics Agreement Records.

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including: Records

relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.

Records relating to determinations, authorizations, and waivers under 5 CFR 2635.502 and 2635.503.

Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C.208 (b)(1) and (b)(3).

**Superseded;** (N1-GRS-01-1 item 3) is superseded by GRS 2.8 item 100, DAA-GRS-2014-0005-0017 and item 101 DAA-GRS-2014-0005-0018, NARA Transmittal #24 August 2015.

### 1030.4. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.

Referrals made to Inspectors General (IG) or the Department of Justice (DOJ) and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution.

**Superseded;** (N1-GRS-01-1 item 4) is superseded by GRS 2.8 item 020, DAA-GRS-2014-0005-0002 NARA Transmittal #24 August 2015.

### 1030.5. Non-Federally Funded Travel Files.

- a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. 1353, as implemented by 41 CFR chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.

**Superseded;** (N1-GRS-01-1 item 5a) is superseded by GRS 2.8 item 030, DAA-GRS-2014-0005-0003 NARA Transmittal #24 August 2015.

- b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.

**Superseded;** (N1-GRS-01-1 item 5b) is superseded by GRS 2.8 item 031, DAA-GRS-2014-0005-0004 NARA Transmittal #24 August 2015.

**1030.6. Ethics Program Review Files.**

Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.

- a. OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.

**Superseded;** (N1-GRS-01-1 item 6a) is superseded by GRS 2.8 item 050, DAA-GRS-2014-0005-0006 NARA Transmittal #24 August 2015.

- b. All other records produced during OGE program reviews, including notes and background materials.

**Superseded;** (N1-GRS-01-1 item 6b) is superseded by GRS 2.8 item 050, DAA-GRS-2014-0005-0006 NARA Transmittal #24 August 2015.

**1030.7. Annual Agency Ethics Program Questionnaire Files.**

- a. Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records.

**Superseded;** (N1-GRS-01-1 item 7a) is superseded by GRS 2.8 item 040, DAA-GRS-2014-0005-0005 NARA Transmittal #24 August 2015.

- b. All other records related to responses to annual agency ethics program questionnaires.

**Superseded;** (N1-GRS-01-1 item 7b) is superseded by GRS 2.8 item 040, DAA-GRS-2014-0005-0005 NARA Transmittal #24 August 2015.

**1030.8. Ethics Program Employee Training and Education Files.**

- a. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.

**This records schedule is Superseded, SIC 3400.2 transmittal #27 (DAA-GRS-2016-0014-0002, GRS 2.6, Item 020)**

- b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors' guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.

**This records schedule is Superseded, SIC 3400.2 transmittal #27 (DAA-GRS-2016-0014-0002, GRS 2.6, Item 020)**

**1030.9. Ethics Program Procedures Files.**

Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes.

Temporary; cutoff at end of FY that case was closed. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if require for business use. (DAA-GRS-2016-0006-0001, item 010) see NARA transmittal 26/Sep 2016.

**1031****Employee Ethics Records (GRS-2.8)**

This schedule covers records documenting the activities of executive branch agency ethics program offices. Records *not* covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs. Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, *Tracking and Control Records*. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled. For

ethics training records, see GRS 2.6, *Employee Training Records*.

#### **1031.1. General ethics program records.**

Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.
- Determinations, including advice and counseling to individual employees, and supporting records.
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

Temporary; cutoff at end of FY that case was closed. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if require for business use. (DAA-GRS-2016-0006-0001, item 010) see NARA transmittal 26/Sep 2016.

**1031.2. Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files.** Referrals to IG or the DOJ concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, *Notification of Conflict of Interest Referral*.

Temporary; destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use. (GRS 2.8, item 020, DAA-GRS-2014-0005-0002)

#### **1031.3. Reports of payments accepted from non-Federal sources.**

##### **a. Agency reports.**

Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize

payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.

Temporary; destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use. (GRS 2.8, item 030, DAA-GRS-2014-0005-0003)

##### **b. Supporting documentation.**

Documentation, such as statements and forms, used to complete the submitted reports.

Temporary; destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use. (GRS 2.8, item 031, DAA-GRS-2014-0004-00040)

**1031.4. Office of Government Ethics program questionnaire records.** Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.

Temporary; destroy 3 years after submission, but longer retention is authorized if required for business use. (GRS 2.8, item 040, DAA-GRS-2014-0005-0005)

**1031.5. Ethics program review records.** Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.

Temporary; destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use. (GRS 2.8, item 050, DAA-GRS-2014-0005-0006)

**1031.6. Public financial disclosure reports.** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.

a. Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603

Temporary; destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8, item 060, DAA-GRS-2014-0005-0007)

b. All other reports. Legal Citation: 5 U.S.C. app. section 105, 5 CFR part 2634.603

Temporary; destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8, item 61, DAA-GRS-2014-0005-0008)

c. Periodic transaction reports. OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records. Legal Citation: STOCK Act, Pub. L. 112-105

Temporary; destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8, item 062, DAA-GRS-2014-0005-0009)

d. Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form). Legal Citation: 5 U.S.C. app. section 105(b)(2)

Temporary; destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8, item 063, DAA-GRS-2014-0005-0010)

**1031.7. Confidential financial disclosure reports.** Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records.

a. Reports for individuals not subsequently confirmed by the U.S. Senate. Legal Citation: 5 CFR 2634.604

Temporary; destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8 item 70, DAA-GRS-2014-0005-0011)

b. All other reports. Legal Citation: 5 CFR 2634.604

Temporary; destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-A. As then destroy 6 years after receipt of the last related OGE

Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8 item 071, DAA-GRS-2014-0005-0012)

c. OGE Optional Form 450-A reports. Legal Citation: 5 CFR 2634.604, 5 CFR 2634.905

Temporary; destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8 item 072, DAA-GRS-2014-0005-0013)

**Note:** The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The “supporting OGE Form 450” cannot be destroyed until the last OGE Form 450-A report is ready for destruction.

#### **1031.8. Alternative or additional financial disclosure reports and related records.**

a. Reports for individuals not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105.

Temporary; destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8 item 080, DAA-GRS-2014-0005-0014)

b. All other reports. Legal Citation: 5 U.S.C. app. section 105

Temporary; destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (GRS 2.8 item 081, DAA-GRS-2014-0005-0015)

**1031.9. Financial disclosure supporting documentation.** Supporting documentation used to review and verify the filer’s report submission. Includes records such as:

- reviewer’s notes
- background research reports
- memorialized verbal comments of filer in response to reviewer questions

Temporary; destroy at the same time an individual’s related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later. (GRS 2.8 item 090, DAA-GRS-2014-0005-0016)

**1031.10. Ethics agreements records.** Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:

- review of recusals, resignations, reassignments, and divestitures
- determinations
- authorizations
- waivers
- waivers of disqualifications

a. Agreements for employees who do not file financial disclosure reports.

Temporary; destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use. (GRS 2.8 item 100, DAA-GRS-2014-0005-0017)

b. Agreements for employees who file financial disclosure reports.

Temporary; destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use. (GRS 2.8 item 101, DAA-GRS-2014-0005-0018)

**Note:** Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): *Prescribing Standards of Ethical Conduct for Government Officers and Employees.*

## **1070**

### **Audiovisual Records** **(GRS-21)**

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the NARA Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, "Recovery of Precious Metals."

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

### **1070.1. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records.**

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0006, item 050) (see 1900.21).**

### **1070.2. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records.**

**Superseded;** (N1-GRS-81-9, item VI-2) is superseded by GRS 4.1 item 010, DAA-GRS-2013-0002-0016, per NARA transmittal #24, august 2015.

### **1070.3. Still Photography.**

- a. **Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency.**

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0006, item 050) (see 1900.21).**



Note: Current: Metadata for Still Pictures; 36 CFR 1237.28(h) Descriptive elements must include:

- (1) An identification number;
- (2) Information about image content;
- (3) Identity and organizational affiliation of the photographer;
- (4) Existence of any copyright or other potential restrictions on image use; and
- (5) Technical data including file format and version, bit depth, image size, camera make and model, compression method and level, custom or generic color profiles (ICC/ICM profile)

b. Personnel Identification or Passport Photographs.

Temporary; destroy when 5 years old or when superseded or obsolete, whichever is later. (N1-GRS-98-2, item 33)

- c. Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency.

Temporary; destroy 1 year after completion of training program. (N1-GRS-81-9, item I-3)

#### **1070.4. Graphic Arts.**

a. Viewgraphs.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0006, item 050) (see 1900.21) .**

b. Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .**

c. Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .**

d. Line Copies of Graphs and Charts.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .**

#### **1070.5. Motion Pictures.**

a. Films Acquired from Outside Sources for Personnel and Management Training.

Temporary; destroy 1 year after completion of training program. (N1-GRS-81-9, item III-1)

b. Routine Surveillance Footage.

Temporary; destroy when 6 months old. (N1-GRS-98-2, item 37)

c. Routine Scientific, Medical, or Engineering Footage.

Temporary; destroy when 2 years old. (N1-GRS-98-2, item 38)

#### **1070.6. Video Recordings.**

a. Programs Acquired from Outside Sources for Personnel and Management Training.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .**

b. Rehearsal or Practice Tapes.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .**

c. Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency.

Temporary; destroy 1 year after completion of training program. (N1-GRS-81-9, item IV-4)

d. Routine Surveillance Recordings.

Temporary; destroy when 6 months old. (N1-GRS-98-2, item 39)

e. Routine Scientific, Medical, or Engineering Recordings.

Temporary; destroy when 2 years old. (N1-GRS-98-2, item 40)

f. Recordings that Document Routine Meetings and Award Presentations.

**Superseded by; Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0006, item 050) (see 1900.21) .**

#### **1070.7. Audio (Sound) Recordings.**

a. Recordings of Meetings Made Exclusively for Note Taking or Transcription.

Temporary; destroy immediately after use. (N1-GRS-81-9, item V-1) [NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]

- b. Dictation Belts or Tapes.

Temporary; destroy immediately after use. (N1-GRS-81-9, item V-2)

- c. Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production.

Temporary; destroy immediately after use. (N1-GRS-81-9, item V-3)

- d. Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis.

**Superseded by: Transmittal 27, dated Jan 2017, (GRS 6.4 DAA-GRS-2016-0004, item 40) (see 1900.20).**

#### **1070.8. Master Negative File.**

Photographic negatives of all illustrations made on patients, equipment, techniques, procedures, etc.

Temporary; cutoff at the end of CY destroy negatives other than patient negatives 1 year after cutoff. (NC-15-76-11)

#### **1070.9. Requests for Copy of Illustration File.**

Requests for copies of illustrations.

Temporary; cutoff at the end of CY, Destroy 1 year after cutoff. (349-S-142)

#### **1070.10. Requests for Film File.**

Copies of requests for films or equivalent.

Temporary; destroy when film is returned to Central Office Film Library or other sources. (II-NNA-106)

This schedule provides for the disposal of certain records relating to administrative management activities in VHA, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other GRS. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs.

[NOTE: This section was formally located in RCS 10-1 General and Administrative Records the GRS's that were formally in this section have been moved to the GRS section of this chapter 1000-1099.]

#### **1100.1. General Correspondence.**

- a. The contents of each folder in this record series consist of papers, memoranda, letters, etc., of a general nature and which do not involve policy, or establish a precedent. In those instances where doubt exists as to the value of the data, the material in question should be filed in the policy correspondence file (See Note).

Temporary; cutoff at end of CY, destroy after 2 years old. (II-NN-3270)

[NOTE: Correspondence that is part of a larger collection of records or part of a case file should be files with that case file and not as general correspondence.]

- b. Correspondence Referred to Other VA Offices for Reply. Correspondence acknowledging and referring inquiries and requests from other government agencies, firms, individuals, etc., (over which the original receiving office has no jurisdiction) to other VA offices for reply. (See note)

**Rescinded** (N1-GRS-04-5, item 1) rescinded with no replacement by NARA transmittal #24, August 2015.

[NOTE: Correspondence that is part of a larger collection of records or part of a case file should be files with that case file and not as general correspondence.]

- c. Extra copies of correspondence, reports, forms, form letters, etc., used for convenience of reference.

Temporary (non-records); destroy when purpose has been served, or 1 year after the close of the fiscal year involved, whichever is earlier.

### **1100**

#### **General and Administrative Records**

**1100.2. Accredited Service Representative File.**

Cards and other record medium used to record names and addresses of accredited service representatives and date of accreditation.

Temporary; cutoff at end of CY, destroy or delete with the related records. (N1-GRS-98-2 item 46)

**1100.3. Record Control File.**

Records used for control purposes and convenience of reference where control is required or dictated by operational needs. (hardcopy or electronic)

Temporary; cutoff at end of CY, destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. (N1-GRS-98-2 item 45)

**1100.4. Authorization File.**

Authorization or designation to act, serve, sign, certify, purchase, receive, etc.

Temporary; destroy when obsolete. (II-NN-3270)

**1100.5. AMIS Report Files.**

Non-fiscal statistical reports.

a. Reports submitted to higher echelon.

Temporary; destroy copies 1 fiscal year after close of year report is submitted to requesting office. (II-NN-3491)

b. Feeder and Intra office reports.

Temporary; destroy originals and copies after 3 months (II-NN-3491)

**1100.6. Equipment Record File.**

Long-and short-range plans for equipment and related material such as replacement plans, repair and duplication, and inspections.

Temporary; cutoff at end of FY, destroy after 2 years. May be maintained longer if needed. (II-NN-3270)

**1100.7. HSRO (Health Service Review Organization) File.**

All quality assurance records including projects, assignments, committee minutes, copies of investigation, etc.

a. Central Office Records.

Temporary; cutoff 5 years after case is closed send to Washington National Records Center (WNRC). Destroy 30 years after case is closed. (NN-162-42-10)

b. Field Records.

Temporary; cutoff at the end of CY, destroy when 3 years old. (NN-162-42-10)

[NOTE: May be held longer if needed for HSRO research, studies, legal purposes or related quality assurance purposes.]

**1100.8. Management Development Appraisal File.**

Internal management appraisals and related material.

a. Face Sheets.

Temporary; destroy after appraisal is completed (II-NN-3385)

b. Appraisals.

Temporary; destroy superseded appraisal after replaced by two most recent appraisals (II-NN-3385)

**1100.9. Management Development Folder File.**

Applications, both original and supplementary internal management appraisals, ratings and scoring worksheets and related material.

Temporary; destroy folders for employees no longer participating in the program because of death or separation or 2 years after employee withdraws from the program. (II-NN-3385)

**1100.10. Organization File.**

Functional statements, organizational charts, studies, and related material.

Temporary; Destroy as rescinded, superseded, or replaced by current set. (II-NN-3270)

**1100.11. Record Charge-Out Cards.**

Folder charge-out cards and slips, charge-outs, transfer control cards and related records for material removed from file area.

Temporary; destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. (GRS 23 item 8)

**1100.12. Reports (General/Miscellaneous) File.**

- a. Nonrecurring. One-time field facility reports submitted to VA Central Office for completing data for summaries and/or studies, and related papers.

Temporary; cutoff at the end of CY. Destroy original after 1 year from completion of summary or study. Field facilities to destroy their copies after 1 year. (352-S84)

- b. Administrative Reports. This record series contains copies of reports or statements relating to service or division activities when the original or record copy is distributed outside the facility

Temporary; cutoff at end of CY. Destroy 2 years after cutoff. (II-NN-3270)

- c. Evaluation and Review Reports. Includes CO staff evaluation reports, area survey reports, internal audit reports, recurring technical visits reports, veterans organization report, other government agency surveys and audit reports, etc., and related material.

Temporary; cutoff at the end of CY. Destroy 3 years after cutoff. (II-NN-163-22, item 6)

- d. Facility Reports File. Local management reports for status of mission of the service, including reports of systematic review and improvement actions. Cost accounting and budget reports, inspection reports and related material.

Temporary; cutoff at the end of CY. Destroy 2 years after cutoff. (II-NN-3270)

**1100.13. Reports Control File.**

Files of each facility report created or proposed, including public use reports. Copies of authorized directives, preparation instructions and documents relating to evaluation, continuation and revision of reporting requirements. Also included are OMB clearance forms, including SF 83, etc.

Temporary; cutoff at the end of CY. Destroy 2 years after report is discontinued. (GRS 16, Item 6)

**1100.14. Training and Education File.**

- a. Orientation material, in-service training material, training course plans and programs and general instructions for each program of training.

Temporary; cutoff at the end of CY. Destroy when 5 years old or 5 years after completion of a specific, training program (GRS 1 item 29a(1))

- b. Assignment schedules, progress reports, evaluations, records of training received, correspondence and other related material.

Temporary; cutoff at the end of CY, destroy when 5 years old or when superseded or obsolete, whichever, is sooner. (GRS 1, item 29b)

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

**1100.15. Work Order File.**

Work order and job performance records or equivalent and related material.

Temporary; cutoff at the end of CY, destroy one year after cutoff. (11-NN-3270)

**1100.16. Board Action (Folder) File.**

Applications for Federal Employment, Applications for Nurses, Applications for Physicians and Dentists, Performance and Proficiency Ratings, the VA. Notice of Performance Ratings, Professional Qualifications Reports, Report of Efficiency Ratings, Report of Medical Examinations, and other board action material.

Temporary; dispose of the application 3 years after date of last service with the VA. (II-NNA-709 Item 2)

**1100.17. Audit Case File (OIG).**

Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consists of audit reports, correspondence, memoranda, and supporting working papers.

Temporary; cutoff when case is closed, destroy 8 years after cutoff. (N1-15-99-3 item 1)

**1100.18. Public Affair Records.**

- a. Public Affairs Records at VHA (pending)
- b. Public Affairs Records at VISN (pending)
- c. Public Affairs Records at Medical facilities (pending)
- d. General public affairs records not covered above.

**1100.19 and 1100.20 Reserved.****1100.21. Administrative Obligation File.**

Administrative Department (not personnel or finance

office) files. Files of estimated obligation for activities, which are to be specifically authorized, such as request for and authorization of overtime work, travel orders and related material.

Temporary; cutoff at end of FY, destroy 2 years after cutoff. (II-NN-3270 Item 2)

#### **1100.22. Evaluations and Review Reports.**

Includes Central Office staff evaluation reports, area survey reports, internal audit, internal audit reports, reoccurring technical visits reports, veteran organization reports, other government agency surveys and audit reports and related materials. Functional statements, organizational charts, studies and related material.

Temporary; cutoff at end of CY, destroy after 3 years and after receipt of subsequent report. (II-NN-163-22 Item 6)

#### **1100.23. Administrative Reports File.**

Facility activity reports, narrative and statistical Management reports, work simplification, incentive awards, management improvement and development, training and education reports, non-reoccurring special reports and related material.

Temporary; cutoff at end of CY, Destroy 3 years after cutoff. (NN-163-22 Item 5)

#### **1100.24. Contract Burial Arrangement File.**

Administrative copy only, not to be mistaken for contracts with funeral homes of directors for services provided. See chapter 4 Financial Management. Register of funeral directors willing to provide funeral and burial services for a statutory allowance.

Temporary; destroy when obsolete or replaced by a more current register. (Non-records)

#### **1100.25. Patient Locator File.**

Locator cards containing basic identification data for each patient. The file includes information such as patient's name, social security number, home address, treatment status, Health records folder file location, and other identification.

- a. Locator card records pertaining to Ionizing Radiation and Agent Orange claimants.

Temporary; retain in medical facility 75 years after last episode of care. (N1-15-90-5 item 2a)

- b. All other locator card records.

Temporary; Retain in medical facility 75 years after last episode of care. (N1-15-90-5 item 2b)

Note; after 2000 these card were replaced by the Electronic Health Records (EHR) and may not exist in a textual format.

#### **1100.26. Deposit Receipt File.**

Field service receipts (patient funds and general receipts), and related material.

Temporary; cutoff at the end of FY, destroy 3 years after cutoff. (NC1-15-76-25 Item 3-3)

#### **1100.27. Ward Morning Report.**

Report by ward of patients gained or lost.

Temporary; destroy after purpose has been served. (non-Record)

#### **1100.28. Guest Lodging File.**

Room allocation and occupancy records of applications provided overnight lodging usually for convenience.

Temporary; cutoff at end of CY, destroy 1 year after cutoff. (Non-record)

#### **1100.29. Patient Service Locator File.**

Patient locator information maintained in the mailroom, telephone and information sections and equivalent.

Temporary; destroy or remove from 90 days after discharge of patient. (351-S-224)

#### **1100.30. Disposition Data Files (PTF)**

Mechanically prepared listing (code sheets) of discharge patients' records which have been prepared for entry in the PTF file, a processing master patient file, and related material.

Temporary; cutoff at end of CY, destroy 1 year after PTF master record has been created at the Data Processing Center. (NN-166-127 Item 4a)

#### **1100.31. Error Index File.**

Mechanically prepared listing of discharged patients'

records, which have been, rejected as unacceptable to the inpatient data system (PTF).

Temporary; destroy after errors have been corrected and resubmitted data validated and after the listing used for quality control purposes have been exhausted. (NN-166-127 Item 4b)

#### **1100.32. Diagnostic and Operation Index File.**

- a. Mechanically prepared listings of code diagnostic and operative data of discharged patients.

Temporary; destroy monthly listing after receipt of consolidated bi-annual listing. Destroy consolidated bi-annual listing prior equivalent 20 years after date of report. (NC-15-76-10 Item 2)

- b. Previous manually prepared diagnostic and operative indices and locally approved special inpatient diagnostic and operative indexes.

Temporary; destroy monthly listing after receipt of consolidated bi-annual listing. Destroy consolidated bi-annual listing prior equivalent 20 years after date of report. (NC-15-76-10 Item 2)

Note; Items 29, 30, 31 and 32, are currently found as part of the Electronic Health Record and may not exist in more VA Medical Centers.

#### **1100.33. Medical Administrative Assistant's (MAA) Log.**

Record of events occurring after normal working hours as recorded by the MAA.

[NOTE: These records are to be filed with the applicable G&L sheets. Destroy master set after 1 year. Destroy all other copies after purpose has been served. (NN-166-127 Item 3)]

#### **1100.34. Lost and Found File.**

Records of lost and found articles and related material.

- a. Records of articles/items found and returned to owner.

Temporary; cutoff at end of CY, Destroy 5 years after cutoff.

- b. Records of articles not returned to owner not returned after 90 days.

Temporary; destroy when no longer needed. (Non-Record)

#### **1100.35. Records Retirement and Shipment Files.**

Records transmittal and receipts, records shelf list, requests for Official Personnel Folder (OPF), shipping list and related material.

Temporary; cutoff at end of CY, destroy after retention period of related records has expired. (II-NN-3275)

[NOTE: also see 1000.1.f of this chapter]

#### **1100.36. Indispensable (Vital) Records Control Schedule File.**

Notice of shipment of indispensable (Vital) records.

Temporary; cutoff at end of CY. Destroy after retention period of related records has expired. (II-NN-3275)

[NOTE: also see 1000.1.f of this chapter.]

#### **1100.37. Transcription Files.**

- a. Shorthand notes, including stenographic notebooks and stenotype tapes.

Temporary (Non-Record)

- b. Sound records, disks, tapes, cylinders, etc. (EXCLUDING) recordings of telephone conversations requesting from the nearest relative permission to perform an autopsy or surgery.)

Temporary; destroy by burning or shredding (if feasible) after information is transcribed and verified for accuracy. (GRS 21, Items 22 and 23)

- c. Recordings of telephone conversations requesting from the nearest relative permission to perform an autopsy or surgery.

Temporary; destroy by burning, erasure, or shredding, depending upon the type of equipment used for the recording after information is transcribed and released by signed authorization from the appropriate person.

#### **1100.38. Gains and Losses (G&L) File.**

- a. Facility daily patient gains and losses sheets.

Temporary; cutoff at end of CY, destroy 1 year after cutoff. (NN-166-127, Item 3)

- b. Electronic records held in Veterans Health Information System and Technology Architecture system.

UNSCHEDULED: do not destroy or delete.

[NOTE: A VA memorandum was published on June 6, 2013 it stated; "VA personnel are no longer required to ship VA paper, Vital Record item No 58, Daily Gains and Losses Sheets, to the RC&V". (VA Handbook 6300.211) The memorandum also stated, "The requirement to ship G&L was established in 1966 when G&Ls were generated and maintained on paper. This provision is now obsolete because G&L content is currently generated and maintained in VA's electronic systems. The electronic G&L report is generated daily, and is reproducible at each VA medical Center from data available in the Veterans Health Information System and Technology Architecture system.]

#### **1100.39. History Files/Administrative Issuance History Files for Forms, Publication and Records Management.**

Files consist of circulars and memoranda, interim issues, procedural and operating manuals, information bulletins, pamphlets, regulations, background and supporting paper, and other directives documenting significant changes in the Agency's Policies and Procedures.

**PERMANENT:** Retire to the Washington National Records Center in 5 year blocks when latest record is 10 years old, e.g., 1970-75 in 1985. Transfer to the NARA in 5 year blocks when 20 years, e.g., 1970-75 in 1995. (N1-15-92-2)

#### **1100.40. Educational Activity Records.**

Records related to the establishment, development, execution and completion of educational projects, programs and activities of pertinent and accepted modalities for clinicians and non-clinicians working within the VHA health care system. Content areas emphasize broad strategic issues of interest nationally or regionally.

- a. Paper files. Hardcopy version of information manually entered into project/program files.

Temporary; destroy 7 years after the education activity is closed. If an accepted digital copy has been made, destroy immediately. (N1-015-11-4, Item 1)

- b. Electronic files. Electronic and or digital version of information entered into project/program files.

Temporary; destroy 7 years after the education activity is closed. (N1-015-11-4, Item 2)

- c. Media files. A file residing digitally or embedded on tape medium that contains one or more video or audio tracks of data that contain content/essence.

Temporary; destroy 7 years after the education activity is

closed. (N1-015-11-4, Item 3)

- d. Historically significant media files. Any media file that has significant or lasting value to the Agency and/or the Federal government.

**PERMANENT:** Transfer to NARA 7 years after the education activity is closed. Transfer according to the NARA standards in place at the time of transfer Agency concerns. (N1-015-11-4, Item 4)

- e. Consent forms (VA Form 3203). Consent for use of picture, video, or voice recording for authorized purposes.

Temporary; destroy 60 years after project is closed. If an accepted digital copy has been made, then destroy immediately. (N1-015-11-4, Item 5)

#### **1100.41. Patients and Members Account File.**

Account cards or equivalent prepared for each patient or member when funds are received and deposited for their personal use.

Temporary; destroy paper and microfilm records 5 years after withdrawal or appropriate of all monies. (NN-167-23)

### **1110**

#### **Office of the Facility Director**

##### **1110.1 .General Correspondence.**

- a. The contents of each folder in this record series consist of papers, memoranda, letters, etc., of a general nature and which do not involve policy, or establish a precedent. In those instances where doubt exists as to the value of the data, the material in question should be filed in the policy correspondence file (See Note).

Temporary; cutoff at end of CY, destroy after 2 years old. (II-NN-3270)

[NOTE: Correspondence that is part of a larger collection of records or part of a case file should be files with that case file and not as general correspondence.]

- b. Correspondence Referred to Other VA Offices for Reply. Correspondence acknowledging and referring inquiries and requests from other government agencies, firms, individuals, etc., (over which the original receiving office has no jurisdiction) to other VA offices for reply. (See note)

**Rescinded** (N1-GRS-04-5, item 1) rescinded with no replacement by NARA transmittal #24, August 2015.

[NOTE: Correspondence that is part of a larger collection of records or part of a case file should be files with that case file and not as general correspondence.]

- c. Extra copies of correspondence, reports, forms, form letters, etc., used for convenience of reference.

Temporary (non-record); destroy when purpose has been served, or 1 year after the close of the fiscal year involved, whichever is earlier.

#### 1110.2. Administrative Allotment and Obligation Files.

Periodic allotments of certain operating funds. Control documents to assure availability of funds for current and future commitments and other contemplated expenses. Estimated miscellaneous obligations or change in obligation request for and authorization of overtime work. Request for and authorization of overtime work or compensatory time. Travel orders request and authorizations related and similar material property filed therein.

Temporary; destroy after the close of the fiscal year in which liquidation occurred. (NC1-15-76-25)

#### 1110.3. Budgets.

- a. Budget estimate file; annual budget estimates for the Director's Office. Budget worksheets, estimated cost of objects other than personnel service, estimated work volume and personnel requirements of organizational elements, quarterly budget reports and related material.

Temporary; cutoff at end of FY, destroy 2 years after cutoff. (NN-351-587)

- b. Budget instructions file; budget instructions, instructional changes and amendments, memoranda, and related material filed therein.

Temporary; destroy after being cancelled rescinded or superseded by current instruction. (NN-163-180)

- c. Facility budget execution file; records documenting implementation of station's budget, such as apportionment of funds, allotment of funds, control expenditures and costs, assignment of cost ceilings, comparison of performance plans and related materials.

Temporary; cutoff at end of FY, destroy 2 years after cutoff (NN-163-22)

- d. Facility budget formulation file; copies of documents used in formulating the facility's budget estimates of workload and costs, medical research forecast, and prospectus medical care forecast, maintenance, repair and improvement of building, services equipment requirements and related material.

Temporary; cutoff at end of FY, destroy 2 years after cutoff. (NN-163-22)

#### 1110.4. Committee, Board and Conference File.

Minutes of meetings and conferences, boards and various committees in the station: copies of authorities for the establishment of the group; list of member's statements of their assigned mission and other related materials.

Temporary; destroy when 3 years old or when no longer needed for reference, whichever is sooner. (NN-163-22)

#### 1110.5. Investigation File.

Copies of investigative findings and follow-up reports regarding employees, patients, injuries, property damage, accidents, thefts, assaults, and unethical conduct, etc. These records include Reports of Special Incident Involving a Beneficiary, whether or not an actual investigation was conducted (VA Form 10-2633)

Temporary; cutoff at end of CY, destroy 2 years after cutoff. (GRS 18, Item 11)

[NOTE: Copies of the same investigation may also be found within Police Services, EEO, IG and other organizations. This investigation copy is maintained by the Facility Director office.]

#### 1110.6. Management Project Files.

Working papers, including background material, studies, analyses, notes, rough drafts, internal reports, copies of final reports of management projects, i.e., work standards, work measurements, work management, etc., conducted for the facility Director.



Temporary; cutoff at completion of the project, destroy 2 years after cutoff. (NN-163-22)

[NOTE: This schedule does not supersede any approved records schedule for case files or other NARA approved project files. Care shall be taken to ensure that the project files are assigned the correct disposition schedule. ]

#### 1110.7. Public Relations File.

Letters, memoranda, and advertising orders; advertisements for position vacancies, press and news releases, newspapers, radio and TV official speeches and relate material.

[NOTE: Use item 1005.3 Press Service files or 1100.18 Public Affairs Records.]

#### 1110.8. Administrative Reports File.

Facility activity reports, narrative and statistical management reports; work simplification, incentive awards, management improvements and development, training and education reports non-reoccurring reports, and related material.

Temporary; destroy when 3 years old (NN-163-22)

#### 1110.9. Evaluation and Review Reports.

Copies of Central Office evaluation and supervisory reports, area survey reports, recurring technical visit reports, internal audit reports, point committee reports, veterans organizations and other government agencies' surveys and audit reports made at facility by outside personnel such as; OSHA, EPA and Joint Commission.

Temporary; cutoff at end of CY, destroy 3 years after receipt of subsequent report. (NN-163-22, Item 6)

#### 1110.10. Classified Records.

- a. Classified Documents Administrative Correspondence Files. [See note after this item.] Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

Temporary; Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (DAA-GRS-2016-0002-0002, Item 030)

[NOTE: This item does not cover records documenting

policies and procedures accumulated in offices having agency wide responsibilities for security and protective services programs.]

- b. Document Receipt Files. Records documenting the receipt and issuance of classified documents.

Temporary; Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (DAA-GRS-2016-0002-0002, Item 030)

- c. Destruction Certificates Files. Certificates relating to the destruction of classified documents.

Temporary; Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (DAA-GRS-2016-0002-0002, Item 030)

- d. Classified Document Inventory files. Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

Temporary; Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (DAA-GRS-2016-0002-0002, Item 030)

- e. Top Secret Accounting and Control Files.

- (1) Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Temporary; destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. (GRS 18, 1960, item 6a)

- (2) Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Temporary; destroy when related document is downgraded, transferred, or destroyed. (GRS 18, 1960, item 6b)

- f. Access Request Files. Requests and authorizations for individuals to have access to classified files.

Temporary; Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is

appropriate. Longer retention is authorized if required for business use. (DAA-GRS-2016-0002-0002, Item 030)

- g. Classified Document Container Security Files. [See note after item 7b.]

- (1) Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

**Superseded** by DAA-GRS-2013-0007-0020 GRS 4.2, ITEM 031

- (2) 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.

Temporary; destroy 90 days after last entry on the form, but longer retention is authorized if required for business use. (see note). (DAA-GRS-2016-0003, item 032)

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

#### 1110.11. Personnel Security Clearance Records.

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

- a. 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.

Temporary; cutoff at end of CY, destroy when 2 years old (GRS 18 item 21 /NC1-GRS-80-1 item 22)

- b. 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.

- (1) 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.

Temporary; 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. (GRS 18, item 22a /NC1-GRS-80-1 item 23a)

- (2) Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Temporary; destroy in accordance with the investigating agency instructions. (GRS 18 item 22b/NC1-GRS-80-1 item 23b)

- (3) Index to the Personnel Security Case Files.

Temporary; destroy with related case file. (GRS 18 item 22c/NC1-GRS-80-1 item 23c)

- c. Personnel Security Clearance Status Files. Lists or rosters showing the current security clearance status of individuals.

Temporary; destroy when superseded or obsolete. (GRS 16 item 23/NC1-GRS-80-1 item 24)

- d. 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.

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

Temporary; destroy 5 years after close of case. (GRS 18 item 24a/NC1-GRS-81-8 item 1a)

- (2) All other files, exclusive of documents placed in official personnel folders.

Temporary; destroy 2 years after completion of final action. (GRS 18, item 24b/NC1-GRS-98-2 item 31)

e. Classified Information Nondisclosure Agreements.

- (1) If maintained separately from the individual's official personnel folder.

**Superseded;** (GRS 18,item 25a/N1-GRS-95-1 item 1a) is superseded by (GRS 4.2 item 121, DAA-GRS-2015-0002-0003) per NARA Transmittal #24, August 2015

- (2) If maintained in the individual's official personnel folder.

**Superseded;** (N1-GRS-95-1, item 1b) is superseded by (GRS 4.2 item 120) Noted item is rescinded apply disposition of Official Personnel File (OPF) per NARA transmittal #24, August 2015.

### **1115**

#### **Office of the Under Secretary for Health (10) Deputy Under Secretaries, Assistant Deputy Under Secretaries and VHA Program Offices**

##### **1115.1. General Correspondence.**

- a. The contents of each folder in this record series consist of papers, memoranda, letters, etc., of a general nature and which do not involve policy, or establish a precedent. In those instances where doubt exists as to the value of the data, the material in question should be filed in the policy correspondence file (See Note).

Temporary; cutoff at end of CY, destroy after 2 years old. (II-NN-3270)

[NOTE: Correspondence that is part of a larger collection of records or part of a case file should be files with that case file and not as general correspondence.]

- b. Correspondence Referred to Other VA Offices for Reply. Correspondence acknowledging and referring inquiries and requests from other government agencies, firms, individuals, etc., (over which the original receiving office has no jurisdiction) to other VA offices for reply. (See note)

**Rescinded** (N1-GRS-04-5, item 1) rescinded with no replacement by NARA transmittal #24, August 2015.

[NOTE: Correspondence that is part of a larger collection of records or part of a case file should be filed with that case file and not as general correspondence.]

- c. Extra copies of correspondence, reports, forms, form letters, etc., used for convenience of

reference.

Temporary (non-records); destroy when purpose has been served, or 1 year after the close of the fiscal year involved, whichever is earlier.

##### **1115.3. Primary Program Records. (Pending)**

##### **1115.4. Investigation File.**

Copies of investigative findings and follow-up reports regarding employees, patients, injuries, property damage, accidents, thefts, assaults, and unethical conduct, etc. These records include Reports of Special Incident Involving a Beneficiary, whether or not an actual investigation was conducted (VA Form 10-2633)

Temporary; cutoff at end of CY, destroy 2 years after cutoff. (GRS 18, Item 11)

[NOTE: Copies of the same investigation may also be found within Police Services, EEO, IG and other organizations. This investigation copy is maintained by the Facility Director office.]

##### **1115.5. Management Project Files.**

Working papers, including background material, studies, analyses, notes, rough drafts, internal reports, copies of final reports of management projects, i.e., work standards, work measurements, work management, etc., conducted for the facility Director.

Temporary; cutoff at completion of the project, destroy 2 years after cutoff. (NN-163-22)

[NOTE: This schedule does not supersede any approved records schedule for case files or other NARA approved project files. Care shall be taken to ensure that the project files are assigned the correct disposition schedule.]

##### **1115.6. Reserved**

##### **1115.7. Administrative Reports File.**

Facility activity reports, narrative and statistical management reports; work simplification, incentive awards, management improvements and development, training and education reports non-reoccurring reports, and related material.

Temporary; cutoff at end of CY, destroy 3 years after cutoff. (NN-163-22)

### **1120**

**Chaplain Services****1120.1. Chaplain General Name File.**

Letters to and from patients, their relatives and friends.  
Letter to religious letters to religious and service organizations. Condolence letters and thank you letters.  
Letters to private individuals and organizations regarding the work of the Chaplain's program. Other general name correspondence pertaining to patients and chaplain Services.

Temporary; cutoff at the end of CY, destroy when 2 years old. (II-NN-3270)

**1120.2. Schedule of Work File.**

Schedule of work and related material containing no substantive information.

Temporary; destroy after new schedule is prepared or when no longer needed. (GRS 23, Item 5b)

**1120.3. Tour-of-Duty Record File.**

Tour-of-duty information.

Temporary; destroy 30 days after completion. (II-NN-3426)

**1120.4. Chapel Bulletins Files.**

Chapel bulletins containing schedule of chapel services and related material.

Nonrecord; destroy after 1 year.

**1120.5. Denominational Report File.**

Chaplin reports to their church or endorsing agency.

Temporary; destroy/delete when no longer needed for administrative purposes. (GRS 26, Item 1a)

**1120.6. National Chaplain Management Information System Records.**

Personal information of VA chaplains, other Chaplain Service Staff, applications for chaplain positions, and selected providers of services to the VA chaplaincy. It includes name, date of birth, social Security number, education qualifications including continuing education data, membership in religious bodies and related religious experience, employment history relevant to chaplaincy, name, location and dates of significant professional events, psychological and related survey data relevant to personal and professional development and research in the Chaplain

Service, data to verify and validate the effectiveness of affirmative action programs, work-related performance data, and performance data appropriate for national aggregation and management applications. Data includes name of consultants and providers, their provided, effectiveness and performance on contracts, special characteristics related to nature organizations, types of services of their service, and nature of correspondence and related administrative matters.

a. Data maintained on disk.

Temporary; delete after backed-up on electronic tape. (N1-015-95-1)

b. Data maintained on tape.

Temporary; delete after 1 year or after purpose has been served, whichever is later. (N1-015-95-1)

c. Output documents.

Temporary; destroy after purpose has been served. (N1-015-95-1)

d. Input documents.

Temporary; destroy after information has been entered into the database and verified, or destroy when no longer needed to support the reconstruction of the database, whichever is later. (N1-015-95-1)

**1130****Voluntary Service****1130.1. VAF 10-7055, Application for Voluntary Service (formerly Regular Schedule (RS) Volunteer Information Card).**

The form contains information on volunteers and is used to enter data into volunteer Service system (VSS). It also contains a waiver of monetary compensation and other pertinent personal information, (if necessary, parental consent) which is not stored in the computer.

Temporary; destroy after data record is marked as terminated. (N1-015-86-8)

**1130.2. Occasional Volunteer Time Sheet.**

The time sheet is used to enter data into VSS. The data pertains to the participation of volunteer organization and individuals who serve on an infrequent basis.

Temporary; destroy time sheet after one year and after verification of the information. (N1-015-86-8)

**1130.3. Schedule Regular Volunteer by Organization Report.**

The report is a VSS output record used to denote the activity of volunteers by their organization.

Temporary; destroy after purpose has been served. (N1-015-86-8)

**1130.4. Potential Awards List.**

The listing is a VSS output record used to indicate names of volunteers who are eligible for length of service awards.

Temporary; destroy after the new listing is produced and after purpose has been served. (N1-15-86-8)

**1130.5. Terminated (RS) Volunteer Summary Sheet.**

The sheet is a VSS output record which contains the name, social security number, home address, hours worked, and other information on terminated volunteer.

Temporary; destroy after purpose has been served. (N1-015-00-3)

**1130.6. Volunteer Service Records on Individuals Who Have Applied to become Volunteers.**

Administrative records containing personal information about individuals who have applied to become volunteers at VA Medical Facility.

a. Voluntary Service Records.

- (1) Paper records.

Temporary; destroy when no longer needed after termination in VSS. (N1-015-00-3, Item 1b)

- (2) Electronic Records.

Temporary; destroy when no longer needed for administrative, legal or operational purposes. (N1-015-00-3, Item 1b)

b. Record maintained at Enterprise Management Center (formerly maintained at Austin automation Center (AAC)).

- (1) Corporate database

Temporary; delete individual records 2 years after notification of the individual's separation or termination and information has been transferred to the Terminated Volunteer Summary Sheet. (N1-015-00-3, item 2a)

**1140****Office of Academic Affiliation****1140.1 Clinical Trainee Onboarding Case File (CTOCF)**

**The Clinical Trainee Onboarding Case File (CTOCF) is a standard document set that VAMC's will utilize to onboard health professions education trainees. The case file requires VA Medical Centers to collect and retain the following documents for each clinical trainee:**

- (1) Application for Health Professions Trainees, VA Form 10-2850D,
- (2) Declaration for Federal Employment, OF-306,
- (3) Appointment Letter,
- (4) Appointment Affidavit, SF-61,
- (5) Screening Checklist, VA Form 10-0453, and
- (6) Employment Eligibility Form, I-9 if necessary.

**Other forms and documentation may be added to this case file in the future.**

**Temporary; cutoff, case files at the end of the calendar year in which the academic year is completed. Transfer to Federal Record Center (FRC) when 7 years old. Destroy 25 years after cutoff. (DAA-0015-2016-0004, item 1)**

**1140.2 Trainee Qualifications and Credentials Verification Letter (TQCVL)**

**This letter will be used to certify the qualifications and credentials of the trainees accepted for participation in the respective VA training program. There are four types of TQCVL:**

- (1) TQCVL from Affiliate
- (2) TQCVL from Non-Citizen Post Graduate Medical Dental
- (3) TQCVL from Non-Citizen Under Graduate Medical Dental
- (4) TQCVL from VA Sponsored Programs

**Temporary; cutoff at end of academic year training is completed. Destroy 5 years after cutoff. (DAA-0015-2016-0004, item 2)**

**Note: This document is to be maintained by the Facility Chief of Staff in the Chief of Staff office.**

**1150****Office of Quality and Performance****1150.1. Health Care Provider Credentialing and Privileging Records.**

Information pertaining to the individual's name, address, date of birth, social security number, name of medical or

professional school attended and year of graduation. It also includes information involving the individual's license, registration or certification by a state licensing board and/or national certifying body, citizenship, honor and awards, professional performance, experience, judgement, education qualifications, Drug Enforcement administration certification, information about mental and physical status, evaluation of clinical and/or technical skills, and involvement in any administrative, professional or judicial proceedings.

- a. Paper Source Documents. Hardcopy version of information manually entered or scanned into electronic credentialing and privileging.

- (1) Paper records that have not been scanned into electronic system.

Temporary; cutoff 3 years after employee separates from VA employment transfer to Federal Records Center (FRC). Destroy by WITNESS DISPOSAL 30 years after employee separation from VA employment. (N1-015-10-07, Item 1)

- (2) Paper records that have been scanned and verified for accuracy into an electronic system.

Temporary; destroy by WITNESS DISPOSAL after verification for accuracy. (N1-015-10-07, Item 1)

- b. Electronic Files. Electronic version of information entered directly into the electronic credentialing and privileging record information system.

Temporary; delete 30 years after the last episode of employment, appointment, contract, etc. from VA. (N1-015-10-07, Item 1)

#### **1150.2. Health Care Provider not selected for VA employment.**

Health Care Provider credentialing and privileging records on Application who are not selected for VA employment.

- a. Paper Source Documents. Hardcopy version of information manually entered or scanned into electronic credentialing and privileging records.

Temporary; paper records that have not been scanned will be destroyed by WITNESS DISPOSAL 2 years after non-selection or when the file is no longer needed for reference, whichever is sooner. Paper files that have been scanned and verified for accuracy may be destroyed by WITNESS DISPOSAL. (N1-015-10-07, Item 2)

- b. Electronic Files. Electronic version of information entered directly into the electronic credentialing and privileging records information system.

Temporary; delete 2 years after non-section or when no longer needed for reference, whichever is sooner. (N1-015-10-07, Item 2)

#### **1150.3. Quality Management (QM) Records (Confidential and non-confidential).**

Memorandum, minutes, notes, letter, reports, statements of witnesses, reports of interviews and hearings, related correspondence and exhibits, findings and recommendations, and other records to document QM activities.

Temporary; destroy after 3 years. Records needed for research studies, legal purposes, or quality assurance purposes may be held longer. (N1-015-97-04)

[NOTE: Records needed for research studies, legal purposes, or quality assurance purposes may be held longer.]

### **1160**

#### **Office of the Medical Inspector**

##### **1160.1. Medical Inspector's Investigation Records.**

Documents, memoranda, reports, and other records related to quality assurance investigations.

Temporary; destroy 10 years after closure of the case or assessment. (N1-015-94-1, Item 1a)

##### **1160.2. Medical Inspector Site Visit Reports.**

Site visit reports and other record documents related to site visits.

Temporary; destroy 20 years after closure of case or assessment. (N1-015-94-1, Item 1b)

### **1170**

#### **Office of the Inspector General, Department of Veterans Affairs.**

##### **1170.1. Hotline Records.**

- a. Hotline Contacts. Communication containing actionable information that is evaluated and considered for referral to an OIG line element or Department.

Temporary; cutoff after contract is closed. Destroy 7 years after cutoff. (DAA-0015-2013-0004-0001)

- b. Hotline Cases. Contacts that are referred for action to a line element of OIG or the Department.

Temporary; cutoff when case is closed. Destroy 7 years after cutoff. (DAA-0015-2013-0004-0002)

#### **1170.2. Congressional Case Work.**

Documents related to responses to congressional inquiries generated through the OIG Hotline or other sources.

Temporary; cutoff when response is sent. Destroy 7 years after cutoff. (DAA-0015-2013-0004-0003)

#### **1170.3. Executive Correspondence.**

Official documents, related to the mission of OIG, signed by the IG or Deputy IG.

**PERMANENT**: cutoff at end of FY, transfer to NARA immediately after 3 years. (DAA-0015-2013-0004-0004)

#### **1170.4. IG Personal Papers.**

Personal documents generated by the IG.

Temporary; these records are transitory and will be schedule under (GRS 23.7) (DAA-0015-2013-0004-0005)

#### **1170.5. Project Oversight Records.**

Official, final copies (hardcopy/electronic) of reports produced by any line element of the OIG.

**PERMANENT**: cutoff at end of FY in which the report is issued and maintained onsite for 5 years from date issued. Transfer to the National Archives 5 years after cutoff. (DAA-0015-2013-0004-0006)

#### **1170.6. Working Papers.**

Hardcopy and electronic working papers and records in existing system of records.

Temporary; cutoff at end of FY in which the final report was closed or final peer review report was issued. Destroy 3 years after closure of final report. (DAA-0015-2013-0004-0007)

#### **1170.7. Follow-up Records.**

Records related to follow-up actions on open reports recommendations.

Temporary; cutoff at end of FY in which the last recommendation closed. Destroy 5 years after last recommendation. (DAA-0015-2013-0004-0008)

#### **1170.8. Semiannual Report to Congress and Strategic Plan.**

Semiannual report as mandated by the Inspector General Act of 1978 and the multi-year OIG Strategic Plan.

**PERMANENT**: cutoff at the end of the FY, transfer to NARA in 5 year blocks, 5 years after cutoff. (DAA-0015-2013-0004-0009)

#### **1170.9. Investigative Case Files.**

These files contain reports of criminal and other investigation of the OIG, Office of Investigations (OI).

Temporary; cutoff at end of FY, destroy 10 years after cutoff.

[NOTE: Records maintained in MCI will be deleted only if it does not destroy electronic system integrity or until the system of records is decommissioned (and replaced), whichever occurs first. Significant cases, i.e., those that result in national media attention, congressional investigation, and or substantive change in agency policy or procedures are not covered by item. The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting a schedule via NARA Electronic Records Archives (ERA) (DAA-0015-2013-0004-0010)]

#### **1170.10. Joint Review Reports.**

- a. Joint Review Reports; official, final copies (hardcopy or electronic) of reports.

**PERMANENT**: cutoff at end of FY in which the review was closed. Transfer to the National Archives 5 years after in year increments. (DAA-0015-2013-0004-0011)

- b. Electronic Working Papers; working papers related to the product of the Joint Reviews.

Temporary; cutoff at the end of the FY in which the review was closed. Destroy 3 years after publication date of the review. (DAA-0015-2013-0004-0012)

#### **1170.11. Hearing/Testimony Records.**

Documents related to final submission for hearings and testimony by OIG employees.

Temporary; cutoff at the end of each Congressional term. Destroy immediately 6 years after cutoff. (DAA-0015-2013-0004-0013)

#### **1170.12. Government Accountability Office (GAO) Audit/Performance Review Files.**

GAO notification letters, e-mails, reports of contact to include entrance and exit conferences, GAO draft and final reports, comments on draft reports from VA administrations and staff offices and status updates.

Temporary; retain until no longer needed for business purposes. Destroy 8 years after issuance or the final GAO report. (DAA-0015-2014-0003-0001)

### **1180**

#### **Office of General Counsel; VA Central Office (VACO) and Regional Offices.**

**Note:** The majority of the records contained in this set of schedules will be maintained within the offices of Office of General Counsel (OGC); VACO and Regional Offices. In most cases the cases files/records stored at the VHA facilities are convenience copies of the original record and shall not be stored in the facilities any longer than the original copy found in the set of schedules below. Care should be taken to ensure that there is nothing in the convenience file copy that is not in the original (OGC) file.

It is imperative that these files match in content.

#### **1180.1. Correspondence.**

- a. General correspondence, circulars, and memoranda pertaining to activities, operations and administration of the Office of General Counsel, such as individual letters on benefits, insurance, personnel inquiries, claims statement of fees, and related materials that are not considered part of veterans' claim folders, litigation, case material or involve agency policy.

Temporary; cutoff file at end of third fiscal year. Destroy after 3 years from cutoff if no additional material is received. (N1-15-06-02, item 1)

- b. Draft correspondence.

Temporary; destroy after preparation of final

correspondence. (N1-15-06-02, item 1b)

- c. Electronic Mail that is transitory in nature; records of short-term (180) days or less) interest, including in electronic form (e.g., email, messages), which have minimal or no documentary or evidential value. Included are such records as:
  - Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;
  - Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
  - Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;
  - Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;
  - Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

**Rescinded** (N1-GRS-04-5, item 1) rescinded with no replacement by NARA transmittal #24, August 2015.

[**NOTE:** Care shall be taken, if the email or electronic messaging does not fit the examples above regarding the e-mail/electronic message. Print out case related or internal business emails and file in appropriate case file or folder. Destroy electronic copy version after printing and filing copy. Include copy of any email that is case related in associated database as appropriate. Destroy online personal copy if email is included in a database.]

[**NOTE:** If an attorney is discussing a manner in which to proceed on a case, it is recommended that the attorney annotate the e-mail with a confidential disclaimer. This protects it from FOIA/PA disclosure and can then be classified as 5 USC552(b) (5) exempt from release.]



**1180.2. Electronic Tracking and Control Database.**

Electronic database to include tracking and other control databases and/or records contained, entered, or maintained in a database to include all media.

Temporary: retain for 10 years onsite and then transfer disk media to long term storage unless superseded by new technology advancements. If superseded by new technology, destroy data files and documentation after replacement and or upgrade. Current operable systems will not be scheduled for destruction or transfer. Systems remain onsite and operable until obsolescence and/or upgraded. (N1-15-06-02, item 3)

[NOTE: GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIO's at agency or department central office and records of deputy and subordinates CIO's at the bureau or field office level. 36 CFR 1228.50(d) require that GRS changes be submitted within 6 months of receipt. GRS 20 and GRS 24 cover certain records associated with day-to-day operation of individual information systems and related support services.]

**1180.3. Labor Management Relations General and Case Files.**

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

Temporary; cutoff receipt of final correspondence, destroy 6 years after cutoff. (N1-15-06-02, item 4)

**1180.4. Equal Employment Opportunity Commission (EEOC) Record Case Files.**

Correspondence, complaints, memoranda, reports, pleading, statement, depositions and/or records of hearing involving litigation resolved within the agency, by EEOC, administrative board, and/or the courts.

Temporary; close case file after resolution of the case or after receipt of final communication. Cutoff closed files at the end of FY. Destroy 4 years after cutoff. (GRS 25, item 1a)

**1180.5. Administrative Grievance, Adverse Action & Disciplinary Records.**

Files involving grievances, disciplinary and adverse actions other than EEO issues raised by agency employees generated by Central Office of OGC.

Temporary; close case file after resolution of the case or after receipt of final communication. Cutoff closed files at end of FY. Destroy 5 years after cutoff. (GRS 1 item 30)

**1180.6. Real Property Litigation Case Files.**

Records relating to property acquired after December 31, 1920, other than abstracts or certification of title.

Temporary; close case file after filing of documents and settlement of case. Cutoff closed files at end of FY. Destroy 10 years after cutoff. (N1-015-06-02 item 7)

**1180.7. Freedom of Information & Privacy Act Request.**

Original request for release of information under FOIA/PA from Office of General Counsel and appeals of agency FOIA/PA decisions in other parts of Department of Veterans Affairs and Regional Offices.

- a. Correspondence and acknowledgement for requests referred to another DVA division. (N1-15-06-02, item 8)

Temporary; cutoff 3 years from case closure and destroy immediately.

- b. OGC initial FOIA request granting access to all documents or partial access (not appealed)

Temporary; cutoff after 3 years from case closure and destroy. (N1-15-06-02, item 8)

- c. Denied or partially denied FOIA/PA request (not appealed). (N1-15-06-02, item 8)

Temporary; cutoff after 3 years from case closure and destroy. (N1-15-06-02, item 8)

- d. Appealed FOIA/PA decisions.

Temporary; destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later. (N1-15-06-02, item 8)

**1180.8. Ethics Material.**

Reports, correspondence, reviews, determinations, confidential financial disclosure forms and waivers involving all VA personnel.

- a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.

- (1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the

Act, and not subsequently confirmed by the U.S. Senate or elected.

Temporary; destroy 1 year after nominee or candidate ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2a1)

- (2) All other SF 278s.

Temporary; destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2a2)

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

- (1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.

Temporary; destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2b1)

- (2) All other OGE Form 450s and OGE Optional Form 450-As.

Temporary; destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2b2)

- c. Alternative or additional financial disclosure reports and related records.

- (1) Reports for individuals not subsequently confirmed by the U.S. Senate.

Temporary; destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2c1)

- (2) All other alternative or additional financial disclosure reports.

Temporary; destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (N1-GRS-01-1 item 2c2)

#### **1180.9. Hospital Reimbursement Records.**

Documentation of collections or collection attempts to obtain hospital reimbursement funds due to the government.

Temporary; close case file at completion of reimbursement activities or when funds have been recovered. Cutoff closed files at end of FY. Destroy 5 years after cutoff. (N1-15-06-2, item 10)

#### **1180.10. Debt Collection Records.**

Documentation of effort to obtain satisfaction and collect funds in cases involving education overpayments, loan guaranty debts, and medical debts.

Temporary; close case file at completion of reimbursement activities or after funds have been collected. Cutoff closed files at the end of FY. Destroy 5 years after cutoff. (N1-15-06-2, item 11)

#### **1180.11. Litigation Files.**

Working papers and other litigation papers on forfeiture, tort, loan guaranty, civil litigation and other cases originating in Central Office OGC or Regional Offices.

Temporary; close case file after resolution of case or after receipt of final correspondence. Cutoff closed files at end of FY. Maintain files on-site for two years. Transfer to records center after two years. Destroy 6 years 3 months after cutoff (if there is no further action) (N1-15-06-2, item 12)

#### **1180.12. Administrative Tort Claims.**

Claims against the VA under the Federal Tort Claims Act by any person plus supporting reports, pictures, statements, and other documents as are necessary to properly adjudicate the cases.

Temporary; close case file after completion of case. Cutoff close files at the end of the FY. Maintain files on-site for two years then transfer to the records center. Destroy 7 years after cutoff. (N1-15-06-2, item 13)

#### **1180.13. Bankruptcy Records.**

Records asserting the claims of the VA for repayment of benefits (Education, loan guaranty, etc.) from individuals or businesses in bankruptcy proceedings.

Temporary; close case file after resolution or decision. Cutoff close files at the end of the FY. Destroy 5 years after cutoff. (N1-15-06-2, item 14)

**1180.14. Office Administrative Files.**

Records accumulated in individual offices that relate to internal OGC/RO administration or housekeeping activities, non-functional and non-procedural office records to include procedures, staffing, fax logs, and day to day administrative papers.

Temporary; cutoff files at the end of the FY. Destroy 3 years after cutoff. (N1-15-06-2, item 15)

**1180.15. Contract Files.**

Working papers and contracts for procurement goods, services and construction including easement, licenses, leases, and agreements plus any appeals of these subject areas.

Temporary; destroy working papers after 3 years from case closure. Cutoff after case closure and destroy contracts 6 years 3 months after cutoff. (GRS 3, item 3)

**1180.16. Accreditation of Representatives & Service Organizations.**

Material submitted to DVA by veterans' service organizations concerning VA recognition and VA accreditation of service organization representatives, and material submitted by service organization representatives and independent claims agents in support of applications for VA accreditation. This material includes documents submitted to VA in disputes concerning recognition of organizations and accreditation of representatives, and may include material originally submitted to VA Regional Offices and VA Regional Counsels, held up to two years, then transferred to VACO. The material includes VA's revocation of recognition and termination or suspension of accreditation records, as well as termination or suspension of accreditation reports provided to employing entities, licensing bodies, state bar associations, and courts.

a. Individuals who are no longer accredited.

Temporary; after two years, transfer records to VA Central Office Records Management Office (005R1B) those records pertaining to individuals who are no longer accredited via any veterans' service organization or who are no longer accredited as independent claims agents. Destroy after three years after transfer. . (N1-15-06-2, item 17)

b. Applicants who failed to submit documentation in support of an application.

Temporary; destroy after three years those records pertaining to applicants for accreditation who fail to submit

any documentation in support of an application during the one-year period following VA's most recent correspondence concerning the application. This includes records pertaining to individuals who seek but are denied accreditation by VA. . (N1-15-06-2, item 17)

c. Correspondence from organizations seeking VA recognition.

Temporary; destroy after three years from VA's receipt, correspondence from organizations that seek VA recognition whose applications are denied or incomplete. . (N1-15-06-2, item 17)

d. VA's revocation of service organization.

Temporary; destroy after five years those records pertaining to VA's revocation of service organization recognition pursuant to request of service organizations officials. (N1-15-06-2, item 17)

**1180.17. Veterans Benefits.**

Records dealing with individual issues that establishes VA policy for veteran's benefits to include health coverage, compensation, and pension, burial issues, vocational rehabilitation and education, insurance, etc.

**PERMANENT:** cutoff after receipt of last relevant correspondence. Transfer to NARA 50 years after cutoff. (N1-15-06-2, item 18)

[NOTE: VA will maintain these records in accordance with 36 CFR 1234.24 if they are converted into electronic format, and will notify NARA if a conversion to an electronic format is made to determine if any changes should be made to the schedule.]

**1180.18. Appellate Litigation Files.**

Case files of appeals of decisions made by the Board of Veterans Appeals to the Court of Appeals for Veterans Claims, or other appellate files sent forward to other adjudicating courts of higher authority.

Temporary; close case file after completion of cases and receipt of last resolved motion or action. Cutoff closed files at the end of the fiscal years. Maintain files on-site for one year and then transfer to closest Federal Records Center. Destroy 7 years after cut-off. (N1-15-06-2, item 19)

**1180.19. Budget Materials.**

Material used in formulation and administration of Office of General Counsel budget including annual budget estimates, budget worksheets, etc.

Temporary, cutoff at end of FY. Destroy 5 years after cutoff. (N1-15-06-2, item 20)

#### **1180.20. Enhanced Use Leases.**

Records relating to property leased after August 14, 1991 pursuant to VA's enhanced use leasing authority (38 U.S.C. 8161 et seq.)

Temporary; close case file at expiration of lease. Cutoff closed files at the end of the FY. Destroy 10 years after cutoff. (N1-15-06-2, item 21)

#### **1180.21 Patent and Invention Licensing.**

Copies of determinations of rights, patent applications, licenses negotiations and agreements, etc. dealing with intellectual property in which DVA has/has not retained an interest.

##### **a. Where DVA has an interest.**

Temporary; retain information onsite for 10 years where DVA has an interest then transfer to closest Federal Records Center for 40 years after file has been imaged. Destroy 40 years after transfer. (N1-15-06-2, item 22)

##### **b. Where DVA has no interest.**

Temporary; retain information onsite for 7 years where DVA has no interest then transfer to closest Federal Records Center after 3 years. Destroy after 3 years from transfer to records center. (N1-15-06-2, item 22)

#### **1180.22. State Licensing Board.**

Copies of determinations made on decisions for State licensing whether affirmative or negative.

Temporary; close case file a completion of determination case. Cutoff closed files at end of FY. Destroy 4 years after cutoff. (N1-15-06-2, item 23)

#### **1180.23. Procurement Correspondence.**

Review of operating procurement unit contracts.

Temporary; destroy after 3 years from final decision.

#### **1180.24. Attorney Reviews of Agency Material.**

OGC review of agency publications and submissions to Congress and or other federal entities, including annual reports, manuals, handbooks, directives, notices, etc.

Temporary; close case file at completion of the review. Cutoff closed files at the end of the fiscal year. Destroy 3 years after final review. (N1-15-06-2, item 25)

#### **1180.25. Legal Opinions.**

Requests for and responses to request for legal interpretations and opinions made to office of General Counsel. Opinions determined to be precedent (interpreting veterans' law and regulations) and those considered as vital records.

##### **a. Precedent, Advisory, and Conclusive Opinions.**

**PERMANENT:** precedent, advisory, and conclusive opinions will be sent to the records center after 10 years from the date of final interpretation or opinion and after imaging. Transfer to the NARA after 15 years.

[NOTE: VA will maintain these records in accordance with 36 CFR 1234.24 if they are converted into electronic format, and will notify NARA if a conversion to an electronic format is made to determine if any changes should be made to the schedule. (N1-15-06-2, item 26)]

##### **b. Non-precedent, non-advisory, or non-conclusive opinions.**

Temporary; non-precedent, non-advisory, or non-conclusive opinions remain onsite until superseded or determined obsolete then transfer to closest Federal Records Center after 7 years. Destroy 17 years after superseded or obsolete. (N1-15-06-2, item 26)

##### **c. Background material.**

Temporary; background material for the opinions will be destroyed after 5 years. (N1-15-06-2, item 26)

#### **1180.26. Interagency Agreements.**

Negotiated agreements with other government agencies to cooperate in research, sharing electronic and paper data, sharing resources, exchange of agency information, structured settlements, business associate agreements, etc.

Temporary; close at the end of agreement terms. Cutoff close files at the end of the FY. Destroy 4 years after cutoff. (N1-15-06-2, item 27)

#### **1180.27. Reports Files.**

Narratives and statistical recurring and nonrecurring reports (including work sheets and backup material) required for reporting to higher echelons. These budget materials are submitted to VACO for creation of the OGC annual budget.

Temporary; cutoff at end of FY. Destroy 3 years after cutoff. (GRS 5, item 3)

#### **1180.28. Other Legal Services.**

Miscellaneous legal matters including Touhy regulations, reorganizations, criminal investigations, information disclosures that are non- FOIA/PA, and canteen services including legal matters for benefits issues, cemetery and burial matters, patient safety, commitment, and eligibility.

##### a. Miscellaneous Legal Files.

Temporary; destroy after 3 years except accreditation records. (N1-15-06-2, item 29)

##### b. Accreditation Records.

Temporary; transfer Regional Office accreditation records to VACO (Records Management Division 005R1B) after 2 years. Destroy after 3 years after transfer. (see 1180.16 above for VACO disposition of accreditation material).

#### **1180.29. Fiduciary and Guardianship.**

Documents dealing with fiduciary and guardianship of veterans.

Temporary; cutoff and destroy 4 years from the end of agreement or fiduciary term date. (N1-15-06-2, item 30)

#### **1180.30. Electronic Mail and Word Processing.**

Electronic mail copies and word processing documents of routine use. These are electronic copies of records that are created on electronic and word processing systems and used solely to generate a copy of the records covered by the other items in this schedule. This also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

##### a. Copies that have no further administrative value after the recordkeeping copy is made. This includes copies maintained by individuals in their personal files, personal electronic mail directories on hard disk or network drives that are used only to produce the recordkeeping copy.

Temporary; destroy/delete within 180 days after the recordkeeping copy has been produced. (N1-15-06-2, item 31)

##### b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary; destroy/delete when dissemination, revision, or updating is complete. (N1-15-06-2, item 31)

### **1200-1225**

#### **Environmental Records (Registries)**

### **1201**

#### **Ionizing Radiation Registry (IRR)**

##### **1201.1. Ionizing Radiation Registry (IRR) Records.**

Hardcopy and electronic records created in connection with Ionizing Radiation Registry Program. The record media includes paper, optical disks, magnetic tapes, etc.

##### a. Original Code Sheets (or worksheets).

Temporary; file with the veterans' health record folder. (N1-015-00-2, item 1a)

[NOTE: once filed into the veteran's health record this record will take on the records schedule for the veteran's health records.]

##### b. Other Copies of Code Sheets (or worksheets).

Temporary; destroy after date from code sheets are entered into IRR's master database, scanned onto optical disk, and verified for accuracy. (N1-015-00-2, item 1b)

##### c. IRR Optical Disks.

Temporary; cutoff at the end of the calendar year (CY) in which the IRR program terminates. Destroy 75 years after cutoff. (N1-015-00-2, item 1c)

##### d. Magnetic Tape Copies.

Temporary; destroy when no longer needed for reference. (N1-015-00-2, item 1d)

##### e. Reports.

Temporary; destroy when 2 years old or no longer needed for administrative and program purposes. (N1-015-00-02, item 1e)

- f. Master Data Files (copies) (inclusive dates: 1988-thereafter)

**PERMANENT:** cutoff at the end of the calendar year. Transfer records to the National Archives in 5 year blocks 1 year after the cutoff of the most recent record in the block. (N1-015-00-2, item 1f)

[NOTE 1: Transfer records from 1988 to 1997 within 1 year of approval of NA job No. N1-015-00-2.]

[NOTE 2: The National Archives will create a public use version of the IRR database. The following personnel identifiers (data fields) will be redacted: (1) Name, (2) social Security Number, (3) Military Service number, (4) Date of Birth, (5) Telephone number, (6) Claim number, (7) Patients Address, (8) Name of Examiner, (9) Title of Examiner, (10) signature of Examiner, (11) signature of Environmental Health Clinician.]

- g. IRR Documentation.

**PERMANENT:** transfer to the NARA with the corresponding IRR Master Files, Item (N1-015-00-2, item 1f)

- h. Backup copies of the Master and History Data files.

Temporary; destroy after 2 additional backup cycles have been completed. (N1-015-00-2, item 1h)

## 1202

### Gulf War Registry (GWR)

#### 1202.1. Gulf War Registry (GWR) Records.

Hardcopy and electronic records created in connection with Gulf War Registry Program. The Record media includes paper, optical disk, etc.

- a. Original Code Sheets (or worksheets)

Temporary; file with the veterans' health record folder. (N1-015-00-2, item 2a)

[NOTE: once files into the veteran's health record this record will take on the records schedule for the veteran's health records.]

- b. Other copies of Code Sheets (or worksheets)

Temporary; destroy after date from code sheets are entered into GWR's master database, scanned onto optical disk, and verified for accuracy. (N1-015-00-2, item 2b)

- c. GWR Optical Disks.

Temporary; cutoff at the end of the calendar year (CY) in which the GWR program terminates. Destroy 75 years after cutoff. (N1-015-00-2, item 2c)

- d. Reports.

Temporary; destroy when 2 years old or no longer needed for administrative and program purposes. (N1-015-00-02, item 2d)

- e. Master Data Files (copies) (Inclusive dates: 1991-thereafter)

**PERMANENT:** cutoff at the end of the calendar year (CY). Transfer records to the NARA in 5-year blocks 1 year after the cutoff of the most recent records in the block. (N1-015-00-2, item 2e)

[NOTE 1: Transfer records from 1991 to 2000 within 1 year of approval of NA Job No. N1-015-00-2.]

[NOTE 2: The National Archives will create a public use version of the GWR database. The following personnel identifiers (data fields) will be redacted: (1) Name, (2) social Security Number, (3) Military Service number, (4) Date of Birth, (5) Telephone number, (6) Claim number, (7) Patients Address, (8) Name of Examiner, (9) Title of Examiner, (10) signature of Examiner, (11) signature of Environmental Health Clinician.]

- f. GWR Documentation.

**PERMANENT:** transfer to the NARA with the corresponding GWR Master Files Item. (N1-015-00-2, item 2e above) (N1-015-00-2, item 2f)

- g. Backup copies of the Master and History data files.

Temporary; destroy after 2 additional backup cycles have been completed. (N1-015-00-2, item 2g)

#### 1202.2. Electronic Mail and Word Processing.

Electronic mail copies and word processing documents of routine use. These are electronic copies of records that are created on electronic and word processing systems and used solely to generate a copy of the records covered by the other items in this schedule. This also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. This includes copies maintained by individuals in their personal

files, personal electronic mail directories on hard disk or network drives that are used only to produce the recordkeeping copy.

Temporary; destroy/delete within 180 days after the recordkeeping copy has been produced. (N1-015-00-2, item 3)

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary; destroy/delete when dissemination, revision, or updating is complete. (N1-15-01-3, item 8)

### **1203**

#### **Agent Orange Registry (AOR)**

##### **1203.1. Agent Orange Registry Records.**

Hardcopy and electronic records created in connection with the Agent Orange Registry (AOR) Program. The records consist of code sheets or worksheets, data files, correspondence and other records generated for the AOR.

- a. Un-scanned code sheets (or worksheets).

Temporary; file with the veterans' health record folder. (N1-015-01—3 item 1)

[NOTE 1: (N1-015-01-3, item 1) refers reader to (N1-15-91-6, item 1a) for the disposal requirements of these records.]

[NOTE 2: Once files into the veteran's health record this record will take on the records schedule for the veteran's health records.]

- b. Input code sheets (or worksheets).

- (1) Originals.

Temporary; file with the veterans' health record folder. (N1-015-01—3 item 1)

[NOTE 1: (N1-015-01-3, item 1) refers reader to (N1-15-91-6, item 1a) for the disposal requirements of these records.]

[NOTE 2: Once files into the veteran's health record this record will take on the records schedule for the veteran's health records.]

- (2) Copies Scanned onto Optical disk.

Temporary; destroy after scanned to electronic medium (optical disk) and verifies for accuracy. (N1-015-01-3, item 2b)

- c. AOR Master Database.

- (1) Master Data files (copies)

**PERMANENT:** cutoff at the end of the calendar year (CY). Transfer records to NARA in 5 year blocks 1 year after the cutoff of most recent records in the block. (N1-015-01-3, item 3a)

[NOTE 1: Transfer records from 1988-1997 within 1 year of approval of NARA Job No. N1-015-01-3.]

[NOTE 2: The National Archives will create a public use version of AOR database. The following personnel identifiers (data fields) will be redacted: (1) Name, (2) social Security Number, (3) Military Service number, (4) Date of Birth, (5) Telephone number, (6) Claim number, (7) Patients Address, (8) Name of Examiner, (9) Title of Examiner, (10) signature of Examiner, (11) signature of Environmental Health Clinician.]

- (2) Original AOR Master Database.

Temporary; destroy 75 years after termination of the program, or when no longer needed. (N1-015-01-3, item 3b)

- d. Documentation for AOR Master Database.

**PERMANENT:** transfer a copy to NARA with initial transfer of copy of AOR database. (send updated copy of documentation as necessary). (N1-015-01-3, item 4)

- e. Output Generated from AOR Master Database.

Temporary; destroy when no longer needed. (N1-015-01-3, item 5)

- f. Optical disk copy and documentation.

- (1) Optical disk copy of code sheets (or worksheets) with index.

Temporary; destroy 75 years after termination of program, or when no longer needed. (N1-015-01-3, item 6)

- (2) Documentation for optical disk system.

Temporary; destroy when no longer needed for system maintenance. (N1-015-01-3, item 6a)

- g. Output generated from optical disk copy of code Sheets (or worksheets)

Temporary; destroy when no longer needed. (N1-015-01-3, item 7)

### **1204-1225**

#### **Future VHA Registries**

#### **Hold space.**

### **1250**

#### **Health Eligibility Center (HEC) Records**

##### **1250.1. Health Eligibility Center (HEC) Records.**

Paper and electronic records of veterans who have applied for medical benefits at VA health care facilities, including data on the veterans' spouses. The records contain identifying information including name, address, date of birth, social Security number, current eligibility category, family information, including spouse and dependent(s) name, address, social Security Number; employment information on veteran and spouse including occupation, employer(s) name(s) and address(es); financial information including family income, assets, expenses, debts; and third-party health plan contract information including health insurance carrier name and address, policy number and time period covered by the policy; facility location(s) where treatment is provided, type of treatment provided, i.e., inpatient or outpatient, and length of stay or number of visits. Documents generated as a result of income verification by computer match with records from Internal Revenue Service (IRS) and the Social Security Administration (SSA) and during the notification, verification and due process periods including initial verification letters, income verification forms, income difference/final letters, non-receipt/final letters, final confirmation letters, confirmation/due process letters, non-receipt confirmation letters, clarification letters, and all subpoena documentation. All form of individual correspondence generated during the process or provided to HEC by match participants include, but is not limited to, copies of death certificates; discharge certification; DD 214, notice of Separation; disability award letter; IRS documents (i.e., forms 1040's W-2's, etc.); State Welfare and food Stamp applications; VA and other pension applications; VA form 10-10, Application for Medical Benefits, and 10-10F, Financial Worksheet; workers compensation forms; and various annual earnings statements as well as pay stubs.

- a. Paper Records.

Temporary; destroy after accurately scanned onto optical disks. (N1-15-98-3, item 1)

- b. Optical Disks or Other Electronic Medium.

Temporary; delete when all phase of the Veteran's appeal rights have ended (ten years after the income year for which the means test verification was conducted). (N1-15-98-3, item 2)

- c. Tapes (Received from SSA and IRS)

Temporary; destroy 30 days after the data has been validated as being a true copy of the original data. (N1-15-98-3, item 3)

- d. Summary Reports and other output records.

Temporary; destroy when no longer needed for current operations. (N1-15-98-3, item 4)

[NOTE: Depending on the record medium, records are to be destroyed by either shredding or degaussing. Regardless of records medium, no records will be retired to a Federal Records Center.]

### **1260**

#### **Civilian Health and Medical Care Program**

##### **1260.1. Civilian Health and Medical Care (CHMC) Records.**

Records created for the Civilian Health and Medical Program of VA, Spina Bifida Healthcare Program, Children of Women Vietnam Veterans Healthcare Program, VA Foreign Medical Program, and Payment for Examinations furnished Spouses and children of Persian Gulf War Veterans.

- a. Un-scanned Records. All documents maintained in paper form.

Temporary; destroy 6 years after all individuals in the record become ineligible for program benefits. (N1-15-03-1, item 1)

- b. Input Scanned Records. Paper source documents that have been scanned for electronic media storage (optical disk).

Temporary; destroy after successfully scanned to electronic medium. . (N1-15-03-1, item 2)

- c. Electronic Records (Master Files). Electronic records produced from scanned documents or



records received electronically (optical disk, magnetic tape or other electronic medium).

Temporary; destroy 6 years after all individuals in the record become ineligible for program benefits. (N1-15-03-1, item 3)

- d. Output document. Paper copies of documents generated from electronic files

Temporary; destroy when no longer needed. (N1-15-03-1, item 4)

- e. Backup/duplicate files. Electronic copies retained in case the master file is damaged or inadvertently erased.

Temporary; delete when identical records have been captured in a subsequent backup/duplicate file. (N1-15-03-1, item 5)

- f. Documentation Records. Data system specifications, codebooks, record layouts, data dictionaries, etc.

Temporary; destroy when superseded or obsolete. (N1-15-03-1, item 6)

- g. Electronic Indexes. Indexes used to provide access to electronic files.

Temporary; delete when related files are no longer needed. (N1-15-03-1, item 7)

- h. Electronic Mail and Word Processing Applications Records. Electronic versions of records created by electronic mail and/or word processing applications for items 1260 a. thru g.

- (1) Electronic mail copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives that are used only to produce the recordkeeping copy.

Temporary; delete within 180 days after the recordkeeping copy has been produced. (N1-15-03-1, item 8a)

- (2) Word Processing Applications. Copies used for dissemination, revision or updating that are maintained in addition to recordkeeping copy.

Temporary; delete when dissemination, revision, or updating is complete. (N1-15-03-1, item 8b)

## 1270

### Disaster Emergency Medical Personnel System

#### **1270.1. Disaster Emergency Medical Personnel System (DEMPS) Records.**

Records pertain to VA Employees, fulltime, who have applied for participation in DEMPS and are considered for deployment as health care providers primarily in time of national emergencies in response to domestic disasters resulting from natural and technological hazards, terrorist attacks, and the employment of nuclear, biological, and/or chemical weapons of mass destruction.

Records include employees' full name, facility, Veterans Integrated Service Network (VISN) assignment, facility address and phone number, professional/job series, grade, specialty, current job assignment, description of advance degrees/certifications (if any) physical limitations (if any), prior experience in disaster response (if any) specialized training, related military medical training, other relevant training and dates, and other information related to the employee's participation in DEMPS.

- a. Paper Records (Input).

Temporary; destroy after converted to an electronic medium. (N1-15-00-4, item 1a)

[NOTE: item (N1-15-00-4, item 1b) Microfilm Format deleted.]

- b. Magnetic tape, disk, or other electronic (Database).

Temporary; delete/destroy when program officials determine that they are no longer needed for administrative, legal or operational purposes. (N1-15-00-4, item 1c)

- c. Backup Files.

Temporary; delete when the original files have been deleted, or when replaced by subsequent backup files. (N1-15-00-4, item 1d)

- d. Output Records.

Output records extracted from electronic files (this item consists of information/data extracted from electronic files, e.g., reports, and printouts of specific data.

Temporary; delete when it is determined that they are no longer needed for administrative or operational purposes. (N1-15-00-4, item 1e)

- e. Codebooks. Data system specifications,

codebooks, etc. (documentation)

Temporary; destroy when superseded or obsolete. (N1-15-00-4, item 1f)

#### **1270.2. Electronic copies created on electronic mail and word processing systems.**

- a. Copies that have no further value. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail (e-mail) directories, or other personal directories on hard disk or network drives, and copies on share network drives that are used only to produce the recordkeeping copy.

Temporary; delete within 180 days after the recordkeeping copy has been produced. (N1-15-00-4, item 1g(a))

- b. Copies used for dissemination. Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.

Temporary; delete when dissemination, revision, or updating is complete. (N1-15-00-4, item 1g(b))

### **1300**

#### **Patient Representation Program**

##### **1300.1. Patient Representation Program Records.**

The records contain information on patients and family members, VA health care providers, community members, congressional Liaisons, veterans service organizations (VSO), attorneys, and other individuals interested in improving the relationship between VHA and the veteran community.

- a. Paper Files. Records used to create and update electronic files.

Temporary; destroy when 7 years old. (N1-15-05-2, item 1)

- b. Electronic Files. Electronic records used to update the master files.

Temporary; delete after the information has been entered into the master file. (N1-15-05-2, item 2)

- c. Master Files. Records and information extracted from the electronic files.

Temporary; destroy when files are updated or superseded. Longer retention is authorized if the files are needed for business purpose/need. (N1-15-05-2, item 3)

- d. Backup Files. Electronic copies of electronic files and master files.

Temporary; destroy after two additional backup cycles have been completed. Longer retention is authorized if the files are needed for business purposes. (N1-15-05-2, item 4)

- e. Reports. Hardcopy reports generated from electronic files and master files.

Temporary; destroy after 2 years old. Earlier disposal is authorized if the reports are no longer needed for business purposes. (N1-15-05-2, item 5)

- f. Documentation. Records used to operate and maintain electronic files and software.

Temporary; destroy when superseded or obsolete. (N1-15-05-2, item 6)

### **1900**

#### **Public Affairs Records**

##### **GRS 6.4**

**This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest. Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.**

**1900.1-16 Reserve for pending NARA records schedule.**

**1900.17 ; Public affairs-related routine operational records. Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:**

- logistics, planning, and correspondence records for routine conferences and events
- correspondence and records on speakers and speaking engagements, including biographies
- case files and databases of public comments (related to public affairs activities only)

Temporary. Destroy when 3 years old, or no longer needed, whichever is later. DAA-GRS2016-00050001

1900.18; Public correspondence and communications not requiring formal action. Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes: comments the agency receives but does not act upon or that do not require a response, such as:

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

Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use. DAA-GRS2016-00050002

Note 1: For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010.

Note 2: The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.

Exclusion 1: Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.

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

1900.19; Public affairs product production files. Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:

- news clippings
- marketing research • copies of records used for reference in preparing products
- research notes
- printers galleys
- drafts and working copies (see Exclusion 3)
- preparatory or preliminary artwork or graphics
- bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4)
- clearances related to release of products (see Exclusion 5 and 6)

Temporary. Destroy when no longer needed for business use. DAA-GRS2016-00050003

Note: Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item.

Exclusion 1: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.

Exclusion 2: This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.

Exclusion 3: This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.

Exclusion 4: This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.

Exclusion 5: Records relating to obtaining approval or clearance for releasing information from other agencies

or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.

Exclusion 6: This item does not cover clearances for release of information related to declassification review.

1900.20; Routine media relations records. Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:

- requests and responses for interviews
- requests and responses for information or assistance for media stories
- daily or spot news recordings or videos available to local radio and TV stations
- notices or announcements of media events
- public service announcements
- copies or articles created by the agency for publication in news media

Temporary. Destroy when no longer needed for business use. DAA-GRS2016-00050004

Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.

1900.21; Routine audiovisual records. Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.

Temporary. Destroy when 2 years old but longer retention is authorized if required for business use. DAA-GRS2016-00050006

Note: Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.

## 1950

### Library Services

#### 1950 Library Network (VALNET) VA Records.

Consists of records on the following individuals: employees and patients who have checked out or requested library materials such as books, audiovisual software, and equipment and periodicals; employees who have requested the loan of books, audiovisuals and periodicals from other libraries via interlibrary loan, and current patients who use computers located in the library. Also included are Library cards containing information on employees and patients who check out materials from the library.

1950.1 Library administrative records. Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as: • strategic plans, project plans • policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material • promotional material describing library services and resources • correspondence and records on library staffing and relations with other libraries • quick guides to library databases and resources, topical or customized reading lists, and bibliographies

Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use. DAA-GRS-2015-00030001

Note: For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.

1950.2 Library operations records. Records documenting the daily activities of running a library. Includes: • reference inquiries and responses • correspondence and records about normal cataloging, circulation, and document delivery activities • visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms • photocopying and digitization requests

Temporary. Destroy when business use ceases. DAA-GRS2015-00030002

#### 1950.3 Inter Library-Loan (ILL) requests.

Temporary. Destroy 5 years after completing the transaction. DAA-GRS2015-00030003

Note: Agency library and information centers collect material related to their agency's mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library's administration and daily operations. This schedule does not cover non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.

## CHAPTER 2

## INFORMATION TECHNOLOGY

2000-2999

The records described in this chapter relate to the management and operations of all types of information technology and systems. They are created, purchased or accumulated by VA Program Offices, service lines, departments and work centers that exercise management control or formulate and prescribe information technology policies and procedures and by activities and offices applying these procedures and providing information technology services. Information technology records describe and technology that helps to produce, manipulate, store, communicate, and/or disseminate information.

2000-2099

**NATIONAL ARCHIVES AND RECORDS**  
**ADMINISTRATION (NARA) GENERAL RECORDS**  
**SCHEDULES (GRS) RELATED TO INFORMATION**  
**TECHNOLOGY**

2000

**General Technology Management Records**  
**(GRS 3.1)**

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

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

**2000.1. Information Technology Development Project Records**

- a. Infrastructure project records. Information Technology (IT) infrastructure, systems, and

services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:

- Maintaining network servers, desktop computers, and other hardware,
- Installing and upgrading network operating systems and shared applications, and
- Providing data telecommunications; and
- Infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.

Includes records such as:

- Installation and testing records
- Installation reviews and briefings
- Quality assurance and security review
- Requirements specifications
- Technology refresh plans
- Operational support plans
- Test plans
- Models, diagrams, schematics, and technical documentation

Temporary; destroy 5 years after project is terminated, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0006, item 010)

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

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

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

- Project plans
- Feasibility studies
- Cost analyses
- Requirements documents
- Compliance documents including:
  - Privacy Threshold Analyses (PTAs)
  - Privacy Impact Assessments (PIAs)
  - Security Plan
  - Information Protection Plan
- Change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Temporary; destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0007, item 11)

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

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

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

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

Temporary; delete when related master file or database has been deleted, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0008, item 012)

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

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

[NOTE: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.]

## **2000.2. Information Technology Operations and Maintenance Records.**

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

Includes records such as:

- Files identifying IT facilities and sites
- Files concerning implementation of IT facility and site management
- Equipment support services provided to specific sites:
  - Reviews
  - Site visit reports
  - Trouble reports
  - Equipment service histories
  - Reports of follow-up actions
  - Related correspondence
- Inventories of IT assets, network circuits, and building or circuitry diagrams
- Equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices
- Requests for service
- Work orders
- Service histories
- Workload schedules
- Run reports
- Schedules of maintenance and support

- activities
- Problem reports and related decision documents relating to the software infrastructure of the network or system
- Reports on operations
  - Measures of benchmarks
  - Performance indicators
  - Critical success factors
  - Error and exception reporting
  - Self-assessments
  - Performance monitoring
  - Management reports
- Website administration
  - Frames
  - Templates
  - Style sheets
  - Site maps
  - Codes that determine site architecture
  - Change requests
  - Site posting logs
  - Clearance records
  - Requests for correction of incorrect links or content posted
  - Requests for removal of duplicate information
  - User logs
  - Search engine logs
  - Audit logs
- Records to allocate charges and track payment for software and services

Temporary; destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0004, item 020)

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

[NOTE 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.]

### **2000.3. Configuration and Change Management Records.**

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

- Data and detailed reports on implementation of systems, applications and modifications
- Application sizing, resource and demand management records
- Documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes
- Documentation of software distribution (including COTS software license management files) and release or version management

Temporary; destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0005, item 030)

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

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

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

### **2000.4. Information Technology Oversight and Compliance Records.**

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

- Recurring and special reports
- Responses to findings and recommendations
- Reports of follow-up activities
- Statistical performance data
- Metrics
- Inventory of web activity
- Web use statistics
- Comments/feedback from web site or application users
- Internal and external reporting for compliance

- requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act
- System availability reports
- Target IT architecture reports
- Systems development lifecycle handbooks
- Computer network assessments and follow-up documentation
- Vulnerability assessment reports
- Assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- Contractor evaluation reports
- Quality assurance reviews and reports
- Market analyses and performance surveys
- Benefit-cost analyses
- Make vs. buy analysis
- Reports on implementation of plans
- Compliance reviews
- Data measuring or estimating impact and compliance

Temporary; destroy 5 years after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0010, item 040)

[NOTE: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.]

#### 2000.5. Data Administration Records.

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

- a. Documentation necessary for preservation of permanent electronic records. Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- Data/database dictionary records
- Data systems specifications
- File specifications
- Code books
- Record layouts
- Metadata
- User guides
- Output specifications

**PERMANENT**; transfer to the NARA with the permanent electronic records to which the documentation relates. (DAA-GRS-2013-0005-0002, item 050)

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

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

- b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records. Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- Data/database dictionary records
- Data systems specifications
- File specifications
- Code books
- Record layouts
- Metadata
- User guides
- Output specifications

And also the following records for all electronic records whether scheduled as temporary or permanent

- Software operating manuals
- Data standards
- Table and dependency description
- Taxonomies
- Schemas
- Registries
- Source code
- Physical data model
- Logical data model



Temporary; destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use. (DAA-GRS-2013-0005-0003, item 51)

2000.6 Technology management administrative records. Records on day-to-day, routine information technology management. Records include:

- correspondence
- subject files, including briefing, reports, presentations, and studies that do not relate to high-level decision-making
- data calls
- operational and managerial guidance to organizational segment of the agency

Temporary: Destroy when 5 years old, but longer retention is authorized if needed for business. (DAA-GRS-2016-0013-0002, GRS 3.1, Item 001)

### **2100** **Information Systems Security Records** **(GRS 3.2)**

#### **2100.1. Systems and Data Security Records.**

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

- System Security Plans
- Disaster Recovery Plans
- Continuity of Operations Plans
- Published computer technical manuals and guides
- Examples and references used to produce guidelines covering security issues related to specific systems and equipment
- Records on disaster exercises and resulting evaluations
- Network vulnerability assessments
- Risk surveys
- Service test plans
- Test files and data

Temporary; destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. (DAA-GRS-2013-0006-0001, item 010)

#### **2100.2. Computer Security Incident Handling, Reporting and Follow-up Records.**

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

- Reporting forms
- Reporting tools
- Narrative reports
- Background documentation

Temporary; destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use. (DAA-GRS-2013-0006-0002, item 20)

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

#### **2100.3. System Access Records.**

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- User profiles
- Log-in files
- Password files
- Audit trail files and extracts
- System usage files
- Cost-back files used to assess charges for system use

**EXCLUSION 1:** excludes records relating to electronic signatures.

**EXCLUSION 2:** does not include monitoring for agency mission activities such as law enforcement.

- a. Systems not requiring special accountability for access. These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.

Temporary; destroy when business use ceases. (DAA-GRS-2013-0006-0003, item 030)

- b. Systems requiring special accountability for access. These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

Temporary; destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use. (DAA-GRS-2013-0006-0004, item 31)

#### **2100.4. System Backups and Tape Library Records.**

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

- a. Incremental backup files.

Temporary; destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (DAA-GRS-2013-0006-0005, item 040)

- b. Full backup files.

Temporary; destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. (2013-0006-0006, item 041)

#### **2100.5. Backups of Master Files and Databases.**

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

- a. File identical to permanent records scheduled for transfer to the NARA.

Temporary; destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by NARA, but longer retention is authorized if required for business use. (DAA-GRS-2013-0006-0007)

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

Temporary; destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use. (DAA-GRS-2013-0006-0008)

#### **2100.6. Public Key Infrastructure (PKI) Administrative Records.**

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records.

Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security.

Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

- a. Federal Bridge Certification Authority (FBCA) and Certification Authority (CA).

Temporary; destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later. (N1-GRS-07-3, item 13a1/060)

- b. Other (non-FBCA *et. al.*) CAs.

Temporary; destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later. (N1-GRS-07-3, item 13a2/061)

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

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

Temporary; destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information

record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period. (N1-GRS-07-3, item 13b/062)

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

## 2200

### Input Records, Output Records, and Electronic Copies (GRS 4.3)

#### 2200.1. Hardcopy or Analog Input/Source Records.

The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be included are:

- Hard copy forms used for data input
  - Hard copy documents that are scanned into an electronic recordkeeping system
  - Hard copy or analog still pictures, sound recordings, motion picture film, or video recordings that were previously scheduled as temporary.
- a. Hardcopy or analog input/source records previously scheduled as temporary. Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.

Temporary; destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use. (DAA-GRS-2013-0001-0001, item 010)

[NOTE: Not media neutral. Applies to hardcopy or analog records only.]

- b. Hardcopy or analog input/source records previously scheduled as permanent. Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards.

Temporary; destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion, but longer retention is authorized if required for business use. (DAA-GRS-2013-0001-0002, item 011)

**EXCLUSION 1:** The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule.

**EXCLUSION 2:** Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2))

**EXCLUSION 3:** Hardcopy records when the electronic versions do not meet NARA's electronic records standards.

**EXCLUSION 4:** Hardcopy records that are not incorporated in their entirety into an electronic system.

**EXCLUSION 5:** Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.

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

[NOTE: not media neutral. Applies to hardcopy or analog records only.]

- c. Hardcopy or analog input/source records not previously scheduled. Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.

Temporary; destroy immediately after approval of a schedule for the electronic records and after verification of successful conversion, but longer retention is authorized if required for business use. (DAA-GRS-2013-0001-0003, item 012)

**EXCLUSION 1:** Hardcopy records when the electronic versions do not meet NARA's electronic records standards.

**EXCLUSION 2:** Hardcopy records that are not incorporated in their entirety into an electronic system.

**EXCLUSION 3:** Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.

[NOTE: not media neutral. Applies to hardcopy or analog records only.]

## 2200.2. Electronic Input/Source Records.

Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:

- Electronic files that duplicate information from a source electronic system for input into another electronic system
- Electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions)
- Computer files or records containing un-calibrated and un-validated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database
- Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server
- Another computer for input, updating, or transaction processing operations.

Temporary; destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use. (DAA-GRS-2013-0001-0004, item 020)

**EXCLUSION 1:** Original electronic records maintained in the source system.

**EXCLUSION 2:** Electronic input records required for audit and legal purposes.

**EXCLUSION 3:** Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

[NOTE: not media neutral. Applies to electronic records only.]

### 2200.3. Output Records.

Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system.

**EXCLUSION 1:** Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.

**EXCLUSION 2:** Any hard copy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.

- a. Ad hoc reports. Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.

Temporary; destroy when business use ceases. (DAA-GRS-2013-0001-0005, item 030)

**EXCLUSION 1:** Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).

**EXCLUSION 2:** Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)

- b. Data outputs files. Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including:

- Data files consisting of summarized or aggregated information (See exclusions)
- Electronic files consisting of extracted information (See exclusions)
- Print files (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports)
- Technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions)

Temporary; destroy when business use ceases. (DAA-GRS-2013-0001-0006, item 031)

**EXCLUSION 1:** Data files that are created as disclosure-free files to allow public access to the data.

**EXCLUSION 2:** Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed.

**EXCLUSION 3:** Data extracts produced by an extraction process which changes the informational content of the source master file or database.

**EXCLUSION 4:** Technical reformat files created for transfer to NARA.

**EXCLUSION 5:** Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 15a (DAA-GRS-2013-0007-0012).

[NOTE: not media neutral. Applies to electronic records only.]

### 2200.4. Non-Recordkeeping Copies of Electronic Records.

Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:

- Documents such as letters, memoranda, reports, handbooks, directives, manuals,

briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent

- Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to a recordkeeping system or otherwise preserved
- Electronic spreadsheets
- Digital video or audio files
- Digital maps or architectural drawings
- Copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Temporary; destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use. (DAA-GRS-2013-0001-0007, item 040)

[NOTE 1: Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.]

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

[NOTE 3: not media neutral. Applies to electronic records only.]

#### **2200.5. Finding Aids (or Indexes).**

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

**Rescinded** (N1-GRS-95-2 item 9) no longer needed per NARA Transmittal #24, August 2015 under GRS 4.1.

[NOTE: also see item 1000.1f (N1-GRS-98-2 item 46)]

#### **2200.6. IT Customer Service Files.**

- a. Records related to providing help desk information to customers, including pamphlets, responses to

"Frequently Asked Questions," and other documents prepared in advance to assist customers.

Temporary; destroy/delete 1 year after record is superseded or obsolete. (N1-GRS-03-1 item 10a)

- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Temporary; destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later. (N1-GRS-03-1 item 10b)

#### **2200.7. Management of Data Integrity Files and Computer Matching Agreement Files.**

The DIB and CMA program contains files on Data Integrity Board meetings and computer matching agreements files. These files are in paper and electronic format, i.e., VA System of Records Control File. A system of records is a file, database, or program from which personal information is retrieved by name or other personal identifiers. The Privacy Act provides a number of protections for personal information. These typically include how information is collected, used, disclosed, stored, and disposed.

Temporary; destroy when 4 years old after expiration of agreement. (N1-15-97-6)

### **2300**

#### **Records of the Chief Information Officer (CIO)** **(GRS-27)**

##### **2300.1. CIO Records;**

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental Central Office as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation

of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management. This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA.

- a. Information Technology (IT) Program Planning Records. Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Temporary; cutoff annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[NOTE: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

- b. Enterprise Architecture Records. Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Temporary; cutoff when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

- c. IT Capital Investment Records. Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Temporary; cutoff annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[NOTE: Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

- d. Legal and Regulatory Compliance Records. Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.

**Superseded;** (N1-GRS-04-4 item 4) is superseded by (GRS 4.2 item 080, DAA-GRS-2013-0007-0022) per NARA transmittal #24, August 2015

- e. CIO Committee Records. Records maintained by committees, boards, task forces, conferences, or

other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Temporary; cutoff annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[NOTE: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

- f. CIO Subject and Office Records. Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.

Temporary; cutoff annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 6)

[NOTE: Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere. (N1-GRS-04-4 item 6 Note)]

- g. Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems.

Temporary; cutoff annually. Destroy/delete when not less than 2 years but not more than 5 years old. (N1-GRS-04-4 item 7)

[NOTE: This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter. (N1-GRS-04-4 item 7 Note)]

## **2500**

### **Communications Records** **(GRS-12)**

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

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

#### **2500.1. Messenger Service Files.**

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

**Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..**

#### **2500.2. Communication General Files.**

- a. **Correspondence and related records pertaining to internal administration and operation.**

**Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..**

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

**Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..**

- c. **Telecommunications statistical reports including cost and volume data.**



Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- d. Records relating to installation, change, removal, and servicing of equipment.

Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..

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

Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..

2500.3. Telecommunications Operational Files. [See note after item 3b.]

- a. Message registers, logs, performance reports, daily load reports, and related and similar records.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- b. Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office.

Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..

#### 2500.4. Telephone Use (Call Detail) Records.

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from

administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use.

Superseded by (GRS 5.5 item 010, DAA-GRS-2016-0012-0001 per NARA Transmittal # 27, Jan 2017) (SIC 2525.1)..

#### 2500.5. Post Office and Private Mail Company Records.

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

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

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

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

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

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

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

#### 2500.6. Mail and Delivery Service Control Files.

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

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- d. Statistical reports and data relating to handling of mail and volume of work performed.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

- h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

2500.7. Metered Mail Files. Official metered mail reports and all related papers.

Superseded by (GRS 5.5 item 030, DAA-GRS-2016-0012-0003 per NARA Transmittal # 27, Jan 2017) (SIC 2525.3)..

2500.8. Postal Irregularities File.

Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

Superseded by (GRS 5.5 item 020, DAA-GRS-2016-0012-0002 per NARA Transmittal # 27, Jan 2017) (SIC 2525.2)..

2525

Mail, Printing, and Telecommunication Service  
Management Records  
(GRS-5.5)

Mail, Printing, and Telecommunication Service

Management Records

This schedule covers records related to: • organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service

- administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies
- administering printing/binding/duplicating services

This schedule specifically excludes certain records from coverage:

- objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item's subject matter content)
- records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010)
- information technology (IT) records (covered under GRS 3.1)

- unique agency publications produced by a printing service (the publishing agency must schedule these records)
- records documenting agency programs that provide printing services (e.g. the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (e.g. the Armed Forces Radio and Television Service) (those agencies must schedule these records)

2525; Mail, printing, and telecommunication services administrative and operational records. Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes:

- agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use
- records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment
- telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data
- records documenting allocation, distribution, and use of telephone calling cards • statistical reports on mail and package shipment volume and costs
- Related correspondence

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

Temporary; destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use. DAA-GRS2016-00120001

2525.2; Mail, printing, and telecommunication services control records. Records of general day-to-day communication service administration and specific transmission tracking. Includes:

- records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages
- messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity

- reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment
- records that document requisitioning and receiving stamps and postage meter balances
- documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger
- staff and office directories the agency uses to ensure correct mail and package delivery
- printing requisitions, work orders, samples, manuscript clearances, and related documents
- mailing and contact lists a mailroom or similar office manages
- telephone message registers and logs

Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. DAA-GRS2016-00120002

Exclusion 1: United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately. Exclusion 2: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these) Exclusion 3: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)

2525.3; Metered mail records. Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.

Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use. DAA-GRS2016-00120003

2525.4; Lost, destroyed, or damaged shipment records. Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.

Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use. DAA-GRS2016-00120004

## CHAPTER 3

### CIVILIAN PERSONNEL

#### 3000-3999

The records described in this chapter relate to the administration of Civilian Personnel functions throughout the Department of Veterans Affairs. This schedule covers the disposition of all Official Personnel Folders (OPFs) of civilian employees and all other records relating to civilian personnel. The format used for this series follows that of the "Guide to Personnel Records Keeping" formally the Federal Personnel Manual (FPM) issued by the Office of Personnel Management (OPM).

#### 3000

##### Records of Civilian Personnel Records (GRS-1)

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

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

#### **3000.1. Official Personnel Folders (OPFs).**

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

a. Transferred employees.

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

b. Separated employees.

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

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

**3000.2. Service Record Cards.** [See note after item 2b.] Service Record Card (Standard Form (SF) 7 or equivalent).

- c. Cards for employees separated or transferred on or before December 31, 1947. Transfer to NPRC (CPR), St. Louis, MO.

Temporary; destroy 60 years after earliest personnel action. (N1-GRS-78-2 item 1)

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

Temporary; destroy 3 years after separation or transfer of employee. (NC1-64-77-10 item 2b)

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

#### **3000.3. 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.

Temporary; destroy when 3 years old. (N1-GRS-81-10 item 1)

#### **3000.4. Offers of Employment Files.**

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

- a. Accepted offers.

Temporary; destroy when appointment is effective. (NC1-64-77-10 item 4a)

b. Declined offers.

- (1) When name is received from certificate of eligible. Return to OPM with reply and application. (NC1-64-77-10 item 4b1)

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

- (2) All others.

Non-record; destroy immediately. (NC1-64-77-10 item 4b3)

**3000.5. Certificate of Eligible Files.**

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

Temporary; destroy when 2 years old. (NC1-64-77-10 item 5)

**3000.6. Employee Record Cards.** [See note after this item.]

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

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

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

**3000.7. Position Classification Files.**a. Position Classification Standards Files.

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

Temporary; destroy when superseded or obsolete. (N1-GRS-81-11 item 1)

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

- (a) Case file.

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

- (b) Review file.

Temporary; destroy when 2 years old. (NC1-64-77-10 item 7a2b)

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

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

c. Survey Files.

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

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

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

Temporary; destroy when obsolete or superseded. (NC1-64-77-10 item 7c1b)

d. Appeals Files.

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

Temporary; destroy 3 years after case is closed. (N1-GRS-90-1 item 7d1)

- (2) Certificates of classification issued by OPM.

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

**3000.8. Interview Records.**

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

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

**3000.9. Performance Rating Board Case Files.**

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

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

### **3000.10. Temporary Individual Employee Records.**

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

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

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

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

### **3000.11. Position Identification Strips.** [See note after this item.]

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

Temporary; destroy when superseded or obsolete. (NC1-64-77-10 item 11)

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

### **3000.12. Employee Awards Files.** [See note after item 12d.]

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

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

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

Temporary; destroy when 2 years old. (NC1-64-77-10 item 12a2)

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

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

Temporary; destroy when 1 year old. (NC1-64-77-10 item 12b)

- c. Letters of commendation and appreciation.

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

Temporary; destroy when 2 years old. (NC1-64-77-10 item 12c)

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

Lists of nominees and winners and indexes of nominations.

Temporary; destroy when superseded or obsolete. (NC1-64-77-10 item 12d)

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

### **3000.13. Incentive Awards Program Reports.**

Reports pertaining to the operation of the Incentive Awards Program.

Temporary; destroy when 3 years old. (NC1-64-77-10 item 13)

### **3000.14. 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.

Temporary; destroy when 2 years old. (NC1-64-77-10 item 14a)

- b. All other copies maintained in personnel offices.

Temporary; destroy when 1 year old. (NC1-64-77-10 item 14b)

### 3000.15. RESERVED

### 3000.16. Personnel Operations Statistical Reports.

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

Temporary; destroy when 2 years old. (NC1-64-77-10 item 16)

### 3000.17. 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.

Temporary; destroy when action is completed. (NC1-64-77-10 item 17a)

- b. Retention registers and related records.

- (1) Registers and related records used to effect reduction-in-force actions.

**Superseded;** (NC1-64-77-10 item 17b1) is superseded by GRS 2.5, item 011, DAA-GRS-2014-0004-0002) by NARA transmittal #24.

- (2) Registers from which no reduction-in-force actions have been taken and related records.

**Superseded;** (NC1-64-77-10 item 17b2) is superseded by GRS 2.5, item 010, DAA-GRS-2014-0004-0001) by NARA transmittal #24.

- c. All other correspondence and forms.

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

### 3000.18. 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.

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

- b. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Temporary; destroy when 6 months old. (NC1-64-77-10 item 18b)

### 3000.19. 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.

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

### 3000.20. Health Unit Control Files.

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

- a. If information is summarized on statistical report.

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

- b. If information is not summarized.

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

### 3000.21. Employee Medical Folder (EMF). [See note after item 21c.]

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

- (1) Transferred employees. See 5 CFR Part 293, Subpart E for instructions.

- (2) Separated employees.

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

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

Federal Personnel Manual (FPM).

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

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

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

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

**3000.22. Statistical Summaries.** [See note after this item.]

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

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

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

**3000.23. Employee Performance File System Records.** [See note after item 23b(4).]

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

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

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

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

Temporary; destroy when superseded. (N1-GRS-93-3 item 23a2)

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

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

Temporary; place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule. (N1-GRS-95-3 item 23a3a)

- (b) All other performance plans and ratings.

Temporary; destroy when 4 years old. (N1-GRS-98-2 item 2)

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

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

- (3) Supporting documents.

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

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

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

Temporary; destroy when superseded. (N1-GRS-82-2, item 23b1)

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

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

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

- (b) All other performance ratings and plans.

Temporary; destroy when 5 years old. (N1-GRS-98-2 item 4)



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

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

- (4) Supporting documents.

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

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

### **3000.24. Reasonable Accommodation Request Records.**

Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

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

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms,

timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures. Destroy three years after supersession or when no longer needed for reference whichever is later. (N1-GRS-04-2 item 1a) 1 records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

#### **a. General Files.**

Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation.

Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.

Temporary; destroy 3 years after supersession or when no longer needed for reference whichever is later. (N1-GRS-04-2 item 1a)

#### **b. Employee Case Files.**

Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee.

This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes.

Temporary; destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later. (N1-GRS-04-2 item 1b)

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

c. Supplemental Files.

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

Temporary; destroy 3 years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later. (N1-GRS-04-2 item 1c)

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

d. Tracking System.

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

Temporary; delete/destroy 3 years after compliance report is filed or when no longer needed for reference. (N1-GRS-04-2 item 1d)

**3000.25. Equal Employment Opportunity (EEO) Records.**

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

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

- b. Copies of Complaint Case Files. Duplicate case

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

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

c. Preliminary and Background Files.

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

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

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

Temporary; destroy when 2 years old. (N1-GRS-92-3 item 25c2)

d. Compliance Records.

- (1) Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.

Temporary; destroy when 7 years old. (NC1-64-77-10 item 26d1)

- (2) EEO Compliance Reports.

Temporary; destroy when 3 years old. (NC1-64-77-10 item 26d2)

- e. Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.

Temporary; destroy when 1 year old. (NC1-64-77-10 item 26e)

- f. Employment Statistics Files. [See note after this item.] Employment statistics relating to race and sex.

Temporary; destroy when 5 years old. (NC1-64-77-10 item 26f)

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

- g. EEO General Files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and

agency EEO Committee meeting records, including minutes and reports.

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

h. EEO Affirmative Action Plans (AAP).

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

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

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

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

(3) Report of on-site reviews of Affirmative Action Programs.

Temporary; destroy 5 years from date of report. (N1-GRS-83-2 item 1)

(4) Agency copy of annual report of Affirmative Action accomplishments.

Temporary; destroy 5 years from date of report. (N1-GRS-83-4 item 26h4)

### 3000.26. Personnel Counseling Records.

a. Counseling Files. Reports of interviews, analyses, and related records.

Temporary; destroy 3 years after termination of counseling. (NC1-64-77-10, item 27a)

b. Alcohol and Drug Abuse Program. Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Temporary; destroy when 3 years old. (NC1-64-77-10, item 27b)

### 3000.27. Alternative Dispute Resolution (ADR) Files.

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

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

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

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

b. Case Files. Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

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

### 3000.28. Labor Management Relations Records.

a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

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

(2) Other offices.

Temporary; destroy when superseded or obsolete. (NC1-64-77-10 item 29a2)

b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.

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

**3000.29. Training Records.**

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

- a. General file of agency-sponsored training. EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.
- (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

**Temporary; This records schedule is Superseded, SIC 3400.1 transmittal #27 (DAA-GRS-2016-0014-0001, GRS 2.6, Item 010)**

- (2) Background and working files.

**This records schedule is Superseded, SIC 3400.1 transmittal #27 (DAA-GRS-2016-0014-0001, GRS 2.6, Item 010)**

- 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.

**This records schedule is Superseded, SIC 3400.1 transmittal #27 (DAA-GRS-2016-0014-0001, GRS 2.6, Item 010)**

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

**3000.30. Administrative Grievance, Disciplinary, and Adverse Action Files.** [See note after item 30b.]

- a. Administrative Grievance Files (5 CFR 771). Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

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

- b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Temporary; destroy when 7 years old. (N1-GRS-92-1 item 30b)

[NOTE: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. (N1-GRS-92-1 item 30 Note)] Veterans Health Administration has adopted the 7 year retention requirement.

**3000.31. Personnel Injury Files.**

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

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

**3000.32. Merit Promotion Case Files.**

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

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

**3000.33. Examining and Certification Records.**

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

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

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

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

- c. Correspondence or notices received from eligible indicating a change in name, address, or availability.

Temporary; destroy 90 days after updating the appropriate record in the registry or inventory. (N1-GRS-02-1 item 33c)

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

Temporary; destroy when test is superseded or obsolete.

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

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

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

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

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

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

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

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

- i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligible. Filed by date of processing.

Temporary; destroy when 6 months old. (N1-GRS-85-2 item 34h)

- j. Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required. Cut off files annually.

Temporary; destroy 5 years after cutoff. (N1-GRS-85-2 item 34i)

- k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. Cut off annually.

Temporary; destroy 1 year after cutoff. (N1-GRS-02-1 item 33k)

- l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory.

Temporary; destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). (N1-GRS-02-1 item 3311 [el-one])

(2) On inactive register or inventory.

Temporary; cut off annually. Destroy 1 year after cut off. (N1-GRS-02-1 item 3312 [el-two])

- m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Temporary; cutoff annually. Destroy 2 years after cutoff. (N1-GRS-02-1 item 33m)

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

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

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

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

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

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

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

Temporary; destroy 2 years after cutoff. (N1-GRS-02-1 item 33q)

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

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

- s. DEP control cards, if maintained. Cut off annually.

Temporary; destroy 2 years after cut off. (N1-GRS-85-2 item 34o)

- t. Reports of audits of delegated examining operations.

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

### **3000.34. Occupational Injury and Illness Files.**

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

Temporary; destroy when 5 years old. (N1-GRS-87-6 item 35)

### **3000.35. Denied Health Benefits Requests Under Spouse Equity.**

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

- a. Health benefits denied, not appealed.

Temporary; destroy 3 years after denial. (N1-GRS-88-2 item 1a)

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

(1) Appeal successful - benefits granted.

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

(2) Appeal unsuccessful - benefits denied.

Temporary; destroy 3 years after denial. (N1-GRS-88-2 item 1b2)

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

### **3000.36. Federal Workplace Drug Testing Program Files.** [See notes after item 36e(2).]

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

by Pub. L. 100-71, 503(f). This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

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

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

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

- b. Employee acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Temporary; destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).] (N1-GRS-90-2 item 36b)

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

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

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

- (1) Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

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

- (2) Chain of custody records. Forms and other records used to maintain control and accountability of specimens from the point of

collection to the final disposition of the specimen.

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

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

(1) Positive results.

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

Temporary; destroy when employee leaves the agency or when 3 years old, whichever is later.

- (b) Applicants not accepted for employment.

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

(2) Negative results.

Temporary; destroy when 3 years old. (N1-GRS-98-1 item 36e1)

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

### **3000.37. 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,

Temporary; destroy 1 year after the end of the year in which the file is closed. (N1-GRS-92-5 item 1)

### **3000.38. Wage Survey Files.**

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Temporary; destroy after completion of second succeeding wage survey.

### **3000.39. Retirement Assistance Files.**

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

**Superseded;** (NC1-64-77-10 item 21b) is superseded by GRS 2.5, item 020, DAA-GRS-2014-0003 by NARA transmittal #24.

### **3000.40. Handicapped Individuals Appointment Case Files.**

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

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

### **3000.41. Pay Comparability Records.**

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

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

### **3000.42. Alternate Worksite Records.**

- a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and

use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

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

- b. Unapproved requests.

Temporary; destroy 1 year after request is rejected. (N1-GRS-97-1 item 1b)

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

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

### **3000.43. Employment Application File.**

Applications, Optional Form 612, resumes, and other types of applications, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.

- a. Eligible applicants – current by priority, occupational groups and in alphabetical order.

Temporary; destroy applications of persons rated ineligible or who have become unavailable after 2 years or receipt of report of OPM inspection, whichever is earlier. (II-NNA-2413, Item 1)

- b. Ineligible applicants – rated and/or who have become available.

Temporary; destroy applications of persons rated ineligible or who have become unavailable after 2 years or receipt of report of OPM inspection, whichever is earlier. (II-NNA-2413, Item 1)

[NOTE: If facilities have not been inspected by OPM within 2 years, prior disposition approval must be obtained from OPM.]

### **3000.44. Dummy Personnel Folders.**

Copies of personnel records.

Temporary; destroy 1 year after separation of employee or 1 year after leaving a centralized position. (II-NNA-2413, Item 22)



**3000.45. RESERVED.****3000.46. Employee's Recurring Health Schedule Card.**

Employee's recurring health examination tests and vaccinations.

Temporary; destroy after being replaced by a new card or after separation of employee. (II-NNA-2413, Item 15)

**3000.47. Chronological Journal File.**

Copies of all personnel actions initiated within the Human (Personnel) Resources Service.

Temporary; destroy when 2 years old. (II-NNA-2413, Item 19)

**3000.48. Position Number Control File.**

Record of assigned positions and position numbers.

Nonrecord; destroy after last entry has been made in the register and after a new register is initiated. (II-NNA-2413, Item 24)

**3000.49. Qualification Card File.**

Records maintained in card file by occupational groups, by series of classes, and alphabetically by name of employee within each series.

Temporary; destroy after replacement by a new card or after separation of the employees from VA or transfer to another facility. (II-NNA-2413, Item 27)

**3000.50. Reduction-In-Force Record File.**

Record to document each employee's retention credits earned as a result of procedure to establish retention registers for reduction-in-force actions.

Temporary; dispose when superseded or employee is separated or transferred. (II-NNA- 2413, Item 28)

**3000.51. Reduction-In-Force Register.**

Consists of retention register prepared prior to a reduction-in-force for each competitive level affected including all employees in competition by group and subgroup.

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

Temporary; destroy when action is completed. (Item 17a)

- b. Retention Registers.

- (1) Registers used to effect reduction-in-force actions.

Temporary; destroy when 2 years old (Item 17b(1))

- (2) Registers from which no reduction-in-force actions have been taken.

Temporary; destroy when superseded or obsolete. (Item 17b(2))

- c. All other correspondence and forms.

Temporary; destroy when 6 months old. (Item 17c)

**3000.52. Training Course File.**

Training course records, plus training reports and surveys, related information.

Temporary; destroy after 3 years. (II-NNA-2413, Item 34)

**3000.53. Personal Injury File.**

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.

Temporary; cutoff on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut off.

**3000.54. Daily Record File.**

Daily record of employees emergency treatment in Health Unit (Sign-in-Sheet).

Temporary; destroy after 2 months. (11-NNA-2413, Item 13)

**3000.55. Exit Interview File.**

Exit interview records and related material.

Temporary; destroy 1 year after close of calendar year involved. (11-NNA-3359, Item 1)

**3000.56. Fee Basis WOC, Consultant, and Attending File.**

Applications for employment, Letters of designation, letters of termination of services and related material.

Temporary; destroy 1 year after termination of service. (11-NNA-2502, Item 1)

### **3000.57. RESERVED.**

### **3000.58. History File for Special Salary Rates.**

- a. Original authorizations to establish adjust or cancel special salary rates, evaluation worksheets and supporting documentation, salary survey data, justification for setting rates, and other background and supporting documents. This file is maintained at VA field locations.

Temporary; destroy evaluation worksheets, salary survey data, justification for setting salary rates, and other background and supporting documents after completion of the second succeeding salary survey. Destroy original authorization after 15 years and after the purpose for which it was created has been met. (N1-15-96-1)

- b. Copies of authorizations to establish adjust or cancel special salary rates, copies of evaluation worksheets and supporting documentation, copies of salary survey data, copies of background and supporting documents. This file is maintained at VA Central Office.

Temporary; destroy after 3 years. (N1-15-96-1)

## **3100**

### **Payrolling and Pay Administration Records** **(GRS-2)**

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

Documents required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of

records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the GAO unless the agency concerned has written approval of the Comptroller General, as required by 44 U.S.C. 3309. Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6 - Pay, Leave, and Allowances and incorporated in the GAO Policy and Procedures Manual for Guidance of Federal Agencies.

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

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

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

### **3100.1. Individual Employee Pay Record.**

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

Temporary; update elements and/or entire record as required. (N1-GRS-92-4 item 1a)

- b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.

Temporary; transfer to National Personnel Records Center. Destroy when 56 years old. (N1-GRS-92-4 item 1b)

### 3100.2. Noncurrent Payroll Files.

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

Temporary; destroy 15 years after close of pay year in which generated. (N1-GRS-92-4 item 2) Items 3 through 5. Reserved.

### 3100.3. Leave Application Files.

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

- a. If employee initials time card or equivalent.

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

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

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

### 3100.4. Time and Attendance Source Records.

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

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

### 3100.5. Time and Attendance Input Records.

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

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

### 3100.6. Leave Record.

- a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.

**Rescinded;** by NARA GRS Transmittal 24 August 2015, formerly GRS 1, item 1. (N1-GRS-92-4 item 9a)

- b. Creating agency copy, when maintained.

Superseded; (N1-GRS-92-4 item 9b) by GRS 2.5, item 020, DAA-GRS-2014-0004-0003 by NARA transmittal 24, August 2015

### 3100.7. Tax Files.

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

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

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

Temporary; destroy when 4 years old. (N1-GRS-92-4 item 13b)

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

Temporary; destroy when 4 years old. (N1-GRS-92-4 item 13c)

### 3100.8. Savings Bond Purchase Files.

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

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

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

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

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

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

**3100.9. Combined Federal Campaign and Other Allotment Authorizations.**

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

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

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

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

**3100.10. Thrift Savings Plan Election Form.**

Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.

Temporary; destroy when superseded or after separation of employee. (N1-GRS-92-4 item 16)

**3100.11. Direct Deposit Sign-up Form (SF 1199A).**

Temporary; destroy when superseded or after separation. (N1-GRS-92-4 item 17)

**3100.12. 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.

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

**3100.13. Payroll System Reports.**

- a. Error reports, ticklers, system operation reports.

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

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

Temporary; destroy when 2 years old. (N1-GRS-92-4 item 22b)

- c. Reports providing fiscal information on agency payroll.

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

**3100.14. 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.

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

- b. All other copies.

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

**3100.15. Payroll Correspondence.**

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

Temporary; destroy when 2 years old. (N1-GRS-92-4 item 24)

**3100.16. Retirement Files.**

Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

**Superseded;** (N1-GRS-92-4 item 28) is superseded by (GRS 2.5, item 010, DAA-GRS-2014-0004-0001 and GRS 2.5, item 011, DAA-GRS-2014-0004-0002) by NARA transmittal #24 August 2015.

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

**3200****Healthcare Retention and Recruitment Office****3200.1. Healthcare Retention and Recruitment Office (HRRO) Records (formerly Health Care Staff Development and Retention Office (HCSD&RO) Records.**

HRRO records consist of the Employment Incentive

Scholarship Program (EISP) records, Education Debt Reduction Program (EDRP) records, and related electronic records.

a. EISP Records (electronic and paper).

- (1) Records of applicants who were not selected to receive scholarship awards.

Temporary; destroy/delete 2 years after applicant was not selected to receive an award. (N1-015-02-006, Item 1a)

- (2) Participant records.

Temporary; destroy/delete 6 years and 3 months after participant's premature termination from the Program or participant's completion of service obligation, whichever is applicable. (N1-015-02-006, Item 1b)

b. EDRP Records (electronic and paper).

- (1) Records of applicants who were not selected to receive scholarship awards.

Temporary; destroy/delete 2 years after applicant was not selected to receive an award. (N1-015-02-006, Item 2a)

- (2) Participant records.

Temporary; destroy/delete 6 years and 3 months after participant's premature termination from the Program or participant's completion of service obligation, whichever is applicable. (N1-015-02-006, Item 2b)

c. Electronic Copies. Electronic version of records created by electronic mail and/or word processing applications for Items 3200.1a and/or 3200.1b.

- (1) Copies that have no further administrative value after the recordkeeping copy is made. This includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Temporary; delete within 180 days after the recordkeeping copy has been produced. (N1-015-02-006, Item 3a)

- (2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary; delete when dissemination, revision, or updating is complete. (N1-015-02-006, Item 3b)

### 3300

#### Employee Separation Records (GRS-2.5)

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

##### **3300.1. Separation program management records.**

Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:

- registers of separation or transfers such as SF-2807, SF-3103, or similar records
- retention registers and related records
- reports, correspondence, and control documents
- exit interview compilations identifying and tracking trends

a. Records not specific to an agency separation initiative.

**Temporary.** Destroy when no longer required for business use. (GRS 2.5 Item 010, DAA-GRS-2014-0004-0001)

b. Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.

**Temporary.** Destroy 2 years after date of program closure, but longer retention is authorized if required for business use. (GRS 2.5 Item 011, DAA-GRS-2014-0004-0002)

##### **3300.2. Individual employee separation case files.**

Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:

- records of counseling activities and outplacement services
- exit interview records
- exit clearances
- checklists of returned property

- certifications of removal/non-removal of government records
- records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation
- records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance)
- records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement)
- copy of leave record (see “Record of employee leave,” item 040 of this schedule, for record copy) retained for agency use.

**Temporary.** Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use. (GRS 2.5, Item 020, DAA-GRS-2014-0004-0003)

**Exclusion:** Records required to be filed in employee’s OPF are excluded from this item.

**3300.3. Records documenting capture of institutional and specialized knowledge.** Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.

**Temporary.** Destroy when no longer required for business use. (GRS 2.5, item 030, DAA-GRS-2014-0004-0004)

**Exclusion:** Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.

**3300.4. Individual employee separation records required to be placed in separating employee’s OPF.** As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:

- resignation letter
- reason for separation (such as reduction in force)
- documentation of retirement-option elections and coverage
- documentation of indebtedness
- documentation of payment or repayment to, or refund from FERS or CSRS
- record of employee leave prepared upon transfer or separation
- records of most recent performance ratings
- designation of beneficiary

File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate. (GRS 2.5, item 040)

### **3300.5 Phased retirement administrative records.**

#### **Records related to managing the program including:**

- procedural guidance on program administration
- information/marketing/publicizing materials
- general correspondence
- reports to OPM
- memoranda of understanding (MOU) and significant documentation of bargaining unit negotiation
- documentation of program structure and details as uniquely instituted by agency.

**Temporary:** Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer retention is authorized if required for business use. (GRS 2.5, Item 50, DAA-GRS-2016-0007-0001)

**Exclusion:** This item does not cover records held at the OPM office overseeing the phased retirement program for the entire government

### **3300.6 Phased retirement individual case file. Case files of individual employee participation in phased retirement, such as.**

- application for immediate retirement
- evidence of eligibility
- review/recommendations by supervisor and others
- notice of approval or disapproval
- retirement benefits estimates
- annuity calculations
- phased retirement agreement
- records documentation knowledge transfer activities
- action/project plan and logs
- correspondence

**Temporary:** Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.

**Note:** Agencies may choose to file these records with the employee’s retirement file, in which case the agency should retain them according to retention period file per GRS 2.5, item 020. See 3300.2. Individual employee separation case files.

**Exclusion:** This item does not cover records held at OPM concerning staff at other agencies.

: Employee Training Records  
(GRS 2.6)

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

3400.1 Non-mission employee training program records.

- plans, reports and program evaluations
- organizational and occupational needs assessments
- employee skills assessments
- employee training statistics
- notices about training opportunities, schedules, or courses
- mandatory training tracking and reporting files
- logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- registration forms, employee attendance records
- syllabi, presentations, instructor guides, handbooks, and lesson plans
- reference and working files on course content
- other course materials, such as presentations and videos
- student, class, or instructor evaluations

Temporary: Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use. (DAA-GRS-20160014-0001 GRS 2.6 item 010)

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

3400.2 Ethics training records. Records include but are not limited to:

- administration of new employee ethics orientations, annual, and other types of ethics training
- agency's annual written plans
- notices about training requirements and course offerings
- rosters of employees required to attend and verification of training completed
- instructor guides, handbooks, handouts and other materials

Temporary: Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use. (DAA-GRS-20160014-0002 GRS 2.6 Item 020)

3400.3 Individual employee training records. Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:

- completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors)
- Individual Development Plans (IDPs)
- mentoring or coaching agreements

Temporary: Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use. (DAA-GRS-20160014-0003 GRS 2.6, Item 030)

Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.

3400.4: Senior Executive Service Candidate Development Program (SESCDP). SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.

a. Program records. Records documenting program scope, policies, planning, budget, and curriculum planning.

Temporary: Destroy when no longer needed for business use. DAA-GRS-20160014-0004. GRS 2.6 Item 040

b. Case records on SESCDP participants. Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.

Temporary. Destroy upon certification by OPM's Qualifications Review Board (ORB) or 1 year after separation from SESCDP, but longer retention is

authorized if required for business use. (DAA-GRS-  
20160014-0005, GRS 2.6, Item 041)



## CHAPTER 4

## FINANCE MANAGEMENT

4000-49994000Financial Management and Reporting Records  
(GRS 1.1)

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

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

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

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

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

**4000.1 Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.**

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

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

the following definitions.

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

- Contracts
- Requisitions
- Purchase orders
- Interagency agreements
- Military Interdepartmental Purchase Requests (MIPRs)
- Printing requisitions to the Government Printing Office
- Memoranda of agreement specifying a financial obligation
- Solicitations/requests for bids, quotations or proposals for contracts and competitive grants
- Proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- Contingent fee justifications
- Legal and financial instruments such as bond and surety records
- Data submitted to the Federal Procurement Data System (FPDS)
- FAIR Act (A-76) records linked directly to specific procurement actions
- Credit card/purchase card/charge card statements and supporting documentation
- Vendor tax exemption records
- Invoices
- Leases
- Recurring financial transactions such as utility and communications invoices
- Documentation of contractual administrative requirements submitted by contractors such as status reports
- Correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- Records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional

appropriation, such as:

- Records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
  - Cash register transaction records
  - Credit card and charge cards receipts
  - Records documenting deposits
  - Records documenting allocation of fees to funds/accounts
  - Deposit lists and logs
  - Customer orders
  - Revolving fund records
- Fee and fine collection records
- Garnishments
- Sale of excess and surplus personal property
- Fee or rate schedules and supporting documentation
- Out-leases of Federal property
- Debt collection files and cash receipts
- Write-offs
- Copies of checks
- Payment billing coupons
- Letters from lenders
- Payment records
- Money orders
- Journal vouchers
- Collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:

- Accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
  - Statements of transactions
  - Statements of accountability
  - Collection schedules and vouchers
  - Disbursement schedules and vouchers
- Vouchers

- Certificates of closed accounts
- Certificates of periodic settlements
- General funds files
- General accounting ledgers
- Appropriation, apportionment, and allotment files
- Posting and control files
- Bills of lading
- Transportation and travel requests, authorizations, and vouchers
- Commercial freight vouchers
- Unused ticket redemption forms

a. Official record held in the office of record.

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2016-0001-0002)

b. All Other copies

**Temporary; destroy or delete when 6 years old, but longer retention is authorized if required for business use. (GRS 1.1 item 013) (DAA-GRS-2016-0001-0002)**

[NOTE 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.]

[NOTE 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.]

[NOTE 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.]

**c. Bids and neither solicited nor accepted. Bids and proposals that are both unsolicited and the subject of no further agency action.**

**Temporary; destroy when no longer required for business use. (GRS 1.1 item 012) (DAA-GRS-2016-0001-0001)**

**d. Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by**

**fiscal year, containing unclassified records of procurement information the agency transfer to the FPDS.**

**Temporary; destroy or delete when 6 years old, but longer retention is authorized if required for business use. (GRS 1.1 item 013) (DAA-GRS-2016-0001-0002)**

**Exclusion: This item does not cover data contained in the Federal Procurement Data System (FPDS) which is scheduled by GSA. (not media-neutral, applies to electronic records only.**

#### **4000.2. Records supporting compilation of agency financial statements and related audit, and all records of all other reports.**

Includes records such as:

- Schedules and reconciliations prepared to support financial statements
- Documentation of decisions re-accounting treatments and issue resolutions
- Audit reports, management letters, notifications of findings, and recommendations
- Documentation of legal and management representations and negotiations
- Correspondence and work papers
- Interim, quarterly and other reports

Temporary; destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use. (GRS 1.1, Item 020) (DAA-GRS-2013-0003-0011)

#### **4000.3. Property, plant and equipment (PP&E) and other asset accounting.**

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

- Purchase orders and contracts
- Invoices
- Appraisals
- Costing and pricing data
- Transactional schedules
- Titles
- Transfer, acceptance and inspection records

- Asset retirement, excess and disposal records
- Plant account cards and ledgers pertaining to structures
- Correspondence and work papers

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

Temporary; destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use. (GRS 1.1, Item 030) (DAA-GRS-2013-0003-0004)

#### **4000.4. Cost accounting for stores, inventory, and materials.**

Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:

- Invoices or equivalent papers used for inventory accounting purposes
- Inventory accounting returns and reports
- Working files used in accumulating inventory accounting data
- Plant account cards and ledgers, other than those pertaining to structures
- Cost accounting reports and data
- Depreciation lists/costs
- Contractor cost reports re contractor-held-government-owned materials and parts
- Receiving, inspection, and acceptance documentation

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, Item 040) (DAA-GRS-2013-0003-0012)

#### **4000.5. Construction Contractors' Payroll Files.**

Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.

Temporary; destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use. (GRS 1.1, Item 050) (DAA-GRS-2013-0003-0003)

**4000.6. Accounting Administrative Files.** (GRS 6, Item 5)

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.

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

- b. All other files.

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

**4000.7. Administrative Claims Files.** (GRS 6, Item 10)

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

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

- b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1). Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

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

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

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

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

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

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

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

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

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

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

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

**4000.8. Waiver of Claims Files.** (GRS 6, Item 11)

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

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

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

- b. Denied waivers.

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

**4000.9. Expenditure Accounting General Correspondence and Subject Files.**

Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

Temporary; destroy when 3 years old. (GRS 1.1, Item 001) (DAA-GRS-2016-0013-0001)

**Note 1; Outpatient Fee Basis files;** schedule is rescinded and replaced by 4000, item 9 (GRS 7, Item 1)

**4000.10. Contract appeals case files. Records of contract appeals arising under the contract dispute Act.**

**Includes:**

- **Notice of appeal**
- **Acknowledgement of notice**
- **Correspondence**
- **Copies of contracts, plans, specifications, exhibits, change orders and amendments**
- **Hearing transcripts**
- **Documents received from concern parties**
- **Final decisions**
- **Other related papers.**

**Temporary; destroy 1 year after final resolution, but longer retention is authorized if required for business use. (GRS 1.1 item 60) (DAA-GRS-2016-0001-0003**

**4000.11. Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.**

**a. Records of suspensions and debarments for violation of the Drug-Free Workplace Act.**

**Temporary; destroy 5 years after removal from approved status, but longer retention is authorized if required for business use. (GRS 1.1 item 070) (DAA-GRS-2016-0001-0004)**

**b. Records of all other suspensions and debarments and all approved vendors and bidders.**

**Temporary; destroy 3 years after removal from approved status, but longer retention is authorized if required for business use. (GRS 1, item 071) (DAA-GRS-2016-0001-0005)**

**4100**

**Budget Preparation, Presentation, and Apportionment Records. (GRS-5)**

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB,

usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

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

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

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

**4100.1. Budget Correspondence Files.**

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

Temporary; destroy when 2 years old. (GRS 5, 1952, items 1 and 3)

**4100.2. Budget Background Records.**

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

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

**4100.3. Budget Reports Files.**

Periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of fiscal year).

Temporary; destroy when 5 years old. (GRS 5, 1952, item 5a)

b. All other reports.

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

**4100.4. Budget Apportionment Files.** [See note after this item.]

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

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

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

\* Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.

\* Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher

organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA. (GRS 5, 1952, items 1 and 2)]

**CHAPTER 5****LOGISTICS AND FACILITIES****5000-5999****5000****Procurement and Supply Records****(GRS-3)**

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

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

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

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

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

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

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

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

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

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects

contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

Note: Many of the record disposition schedules in GRS-3 have been changed by the GRS record disposition schedules in GRS 1.1 in chapter 4 of this manual.

#### **5000.1. Real Property Files. [See note after Item 1b]**

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

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

**Superseded; (GRS 5.4, Item 020) (DAA-GRS-2016-0011-0002) (Subject code; 5020.2)**

- b. **Abstract or certificate of title.**

**Superseded; (GRS 5.4, Item 020) (DAA-GRS-2016-0011-0002) (Subject code; 5020.2)**

#### **5000.2. General Correspondence Files.**

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

**Temporary; destroy when 3 years old. (GRS 1.1, item 001) (DAA-GRS-2016-0013-0001)**

#### **5000.3. Routine Procurement Files. [see note below 3c]**

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

**Superseded; by (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)**

- b. Other copies of records described above used by component elements of a procurement office for administrative purposes.

**Superseded; by (GRS 1.1, Item 011) (DAA-GRS-2013-0003-0002)**

- c. **Data Submitted to the Federal Procurement Data System (FPDS).**

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required

for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

#### **5000.4. Supply Management Files.**

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

- a. **Copies received from other units for internal purposes or for transmission to staff agencies.**

**Temporary; destroy when 3 years old. (GRS 1.1, item 0001) (DAA-GRS-2016-0013-0001)**

- b. **Copies in other reporting units and related working documents.**

**Temporary; destroy when 3 years old. (GRS 1.1, item 0001) (DAA-GRS-2016-0013-0001)**

#### **5000.5. Solicited and Unsolicited Bids and Proposals Files. [see note below 5c]**

- a. **Successful bids and proposals.**

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

- b. **Solicited and unsolicited unsuccessful bids and proposals.**

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

- c. **Canceled solicitations files.**

#### **c. Canceled Solicitations Files.**

- (1) Formal Solicitations of offers to provide products or services.



**Superseded;** by (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

(2) Unopened bids.

**Superseded;** by (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

**d. Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders**

**(1) Records of suspensions and debarments for violation of the Drug-Free Workplace Act.**

**Temporary; Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use (GRS 1.1, item 070) (DAA-GRS-0001-0004)**

**(2) Records of all other suspensions and debarments and all approved vendors and bidders.**

**Temporary. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use. (GRS 1.1, item 071) (DAA-GRS-2016-0001-0005)**

**5000.6. Public Printer Files.** [see note below]

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

**Superseded;** by (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

**5000.7. Non-personnel Requisition File.** [see note below]

Requisitions for non-personnel services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).

**Superseded;** (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

**5000.8. Inventory Requisition File.**

**Requisitions for supplies and equipment for current inventory.**

**a. Stockroom copy.**

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

**b. All other copies.**

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

**5000.9. Inventory Files.**

**a. Inventory lists.**

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

**b. Inventory cards.**

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

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

**Superseded;** (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)

**5000.10. Telephone Records.** [see note below]

Telephone statements and toll slips.

**Superseded;** (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

**5000.11. Contractors' Payroll Files.** [see note below]

Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers.

**Superseded;** by (GRS 1.1, Item 050) (DAA-GRS-2013-0003-0003)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.5 of this manual for more information.]

**5000.12. Tax Exemption Files.** [see note below]

Tax exemption certificates and related papers.

**Superseded;** by (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See 4000.1 of this manual for more information.]

**5000.13. Unsuccessful Grant Application Files.**

**Superseded;** by (GRS 1.1, Item 21) (DAA-GRS-2013-0008-0006)

**5000.14. Grant Administration Files.**

**Superseded;** by (GRS 1.1, Item 10) (DAA-GRS-2013-0008-0007)

**5000.15. Contract Appeals Case Files.**

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

**Temporary; destroy 1 year after final action on decision. (GRS 1.1, item 060) (DAA-GRS-2016-0001-0003)**

**5000.16. Small and Disadvantaged Business Utilization Files.**

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

Temporary; destroy when 3 years old. (N1-GRS-87-14 item 1)

**5000.17. Federal Activities Inventory Reform (FAIR) Act Records** (created under OMB Circular A-76, Performance of Commercial Activities)

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

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

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

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

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

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

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

**5020****Facility, Equipment, Vehicle, Property, and Supply Records****(GRS 5.2)**

**This schedule covers records Federal agencies create and receive while managing, operating and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal**

property, and supplies. This includes allocating space and managing supply stock.

5020.1. Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes: • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence

Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use. (DAA-GRS-2016-00110001 GRS 5.2, Item 010)

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

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

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

5020.1. Real property ownership records. Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise.

Temporary. Transfer to new owner after unconditional sale or Government release of conditions, restrictions, mortgages, or other liens. (DAA-GRS2016-00110002, GRS 5.4 Item 020)

Exclusion 1: Records relating to property acquired prior to January 1, 1921 (agencies must schedule these separately). Exclusion 2: Reports of Excess Real Property (Standard Form 118) and associated real property case files (agencies must schedule these separately).

5020.3 Vehicle and equipment ownership records and operation manuals. Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.

Temporary. Transfer with vehicle or item to new owner or destroy when item is excessed, as appropriate. (DAA-GRS2016-00110003, GRS 5.4 Item 030)

5020.4 Excess personal property, equipment, and vehicle records. Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:

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

Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (DAA-GRS2016-00110004, GRS 5.4 Item 040)

5020.5 Facility design, engineering, and construction records. Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes:

- site maps and surveys
- plot plans
- structural drawings
- architectural renderings
- electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings
- exterior delivery of utilities drawings
- materials plans and drawings
- minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams
- construction progress photographs
- construction inspection reports • equipment location plans
- paint plans and samples
- furniture design and layout drawings and plans
- space occupancy plans

a. Draft, preliminary, intermediate, working, and contract negotiation drawings.

Temporary. Destroy when superseded, or when project terminates, as appropriate. (DAA-GRS2016-00110005, GRS 5.4 Item 051)

b. Final and as-built drawings, plans, and designs; and all other records.

Temporary. Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate. (DAA-GRS2016-00110006, Item 051)

5020.6. Facility design, engineering, and construction operations records. Records documenting operational support of facility design, engineering, and construction projects. Includes:

- project requests and approvals
- meeting agendas, minutes, and other records
- budget and cost working files
- task, punch, and action item lists
- work logs • progress reports and presentation materials
- related correspondence and notes

Temporary. Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use. (DAA-GRS2016-00110007, GRS 5.4 Item 060)

5020.7. Facility, space, and equipment inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:

- repair and maintenance work orders, requisitions, and related papers
- maintenance and inspection logs and reports
- job orders, service call records, action sheets, and repair logs
- work, shop, or job schedules

**a. Records documenting facility structure and long-term maintenance.**

Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (DAA-GRS2016-00110008, GRS 5.4 Item 070)

**b. Records tracking completion of custodial and minor repair work.**

Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use. (DAA-GRS2016-00110009, GRS 5.4 Item 071)

5020.8. Housing rental and lease records. Applications, leases, renewals, assignments, termination notices, and related documents regarding Federally owned and operated housing facilities.

Temporary. Destroy 3 years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as

applicable. (DAA-GRS2016-00110010, GRS 5.4, Item 080)

5020.9. Land vehicle and water vessel inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes: • work orders, service and repair requisitions, and logs • descriptions of provided service and repair, and related papers

Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (DAA-GRS2016-00110011, GRS 5.2, Item 090)

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

5020.10. Aircraft inspection, maintenance, and modification records. Records documenting general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding:

- servicing, manufacturing, rebuilding and testing equipment
- classifying material's condition status
- preventive maintenance
- aircraft or equipment configuration and material alteration
- logistics services Includes records such as:
- technical and non-technical correspondence
- maintenance manuals
- documentation of mechanical defects and evidence of repair
- annotated manuals or manuals different from those the manufacturer issued
- bulletins directing specific inspections and records of action
- logbooks
- diagnostic checkouts
- spot check inspections
- maintenance requests

Temporary. Destroy 6 years after disposing of aircraft or removing equipment from inventory, but longer retention is authorized if required for business use. (DAA-GRS2016-00110013, GRS 5.4 Item 100)

5020.11. Vehicle and heavy equipment operator records. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.

Temporary. Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner. (DAA-GRS2016-00110014, GRS 5.4 Item 110)

**5020.12 Aircraft flight operations records. Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs, destinations, and passengers; flight orders; flight plans; load manifests; dispatch releases; flight logs; and similar records.**

**Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (DAA-GRS2016-00110015, GRS 5.4, Item 120)**

**5020.13. Aircraft operational support records. Records documenting logistical support to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes: • comments on regulations • directives and other records regarding logistics • management improvement reports • cost reduction reports • requests for substantive information regarding logistics • aircraft inventories**

**Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use. (DAA-GRS2016-00110016, GRS 5.4, Item 130)**

**5020.14. Vehicle and vessel accident and incident records. Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including: • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • copies of investigative reports (see Exclusion for original investigative reports)**

**Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use. (DAA-GRS2016-00110017, GRS 5.4, Item 140)**

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

## **5050**

### **Property Disposal Records (GRS-4)**

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

Treasury in 1933 must be offered to the NARA for appraisal before applying these disposition instructions.

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

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

- Standard Form (SF) 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.
- SF 120, Report of Excess Personal Property, and SF 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

#### **5050.1. Property Disposal Correspondence Files.**

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

**Superseded; (GRS 5.4, Item 040) (DAA-GRS-2016-0011-0011) (Subject code; 5020.4)**

#### **5050.2. Excess Personal Property Reports.**

**Superseded; (GRS 5.4, Item 040) (DAA-GRS-2016-0011-0011) (Subject code; 5020.4)**

#### **5050.3. Surplus Property Case Files. [see note below]**

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

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

**5050.4. Real Property Files** [see note after this item].

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is re-leased for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

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

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

**5070****Stores, Plant, and Cost Accounting Records**  
**(GRS-8)**

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

a. *Stores Accounting.* These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency Central Office. There the information is used for procurement planning, budget, and

other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. *Plant Accounting.* These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. *Cost Accounting.* These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

**5070.1. Plant, Cost, and Stores General Correspondence Files.****Correspondence files of units responsible for plant, cost, and stores accounting operations.****Temporary; destroy when 3 years old. (GRS 1.1, item 001) (DAA-GRS-2016-0013-0001)****5070.2. Stores Invoice Files.** [see note below]

Invoices or equivalent papers used for stores accounting purposes.

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, item 040) (DAA-GRS-2013-0003-0012)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.4 of this manual for more information.]

**5070.3. Stores Accounting Files.**

Stores accounting returns and reports.

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, item 040) (DAA-GRS-2013-0003-0012)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.4 of this manual for more information.]

**5070.4. Stores Accounting Background Files.** [see note below]

Working files used in accumulating stores accounting data.

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, item 040) (DAA-GRS-2013-0003-0012)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.4 of this manual for more information.]

**5070.5. Plant Accounting Files.** [see note below]

Plant account cards and ledgers, other than those pertaining to structures.

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, item 040) (DAA-GRS-2013-0003-0012)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.4 of this manual for more information.]

**5070.6. Cost Accounting Reports.** [see note below]

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, item 040) (DAA-GRS-2013-0003-0012)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.4 of this manual for more information.]

**5070.7. Cost Report Data Files.** [see note below]

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

Temporary; destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 1.1, item 040) (DAA-GRS-2013-0003-0012)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.4 of this manual for more information.]

**5100****Space and Maintenance Records**  
**(GRS-11)**

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

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

**5100.1. Space and Maintenance General**  
**Correspondence Files.**

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

**5100.2. Agency Space Files.**

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

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

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

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

### **5100.3. Directory Service Files.**

Correspondence, forms, and other records relating to the compilation of directory service listings.

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

### **5100.4. Credentials Files.**

Identification credentials and related papers.

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

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

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

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

### **5100.5. Building and Equipment Service Files.**

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

**Superseded; (GRS 5.4, Item 071) (DAA-GRS-2016-0011-0009) (Subject code; 5020.7b)**

## **5150**

### **Housing Records** **(GRS-15)**

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

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

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

#### **5150.1. Housing General Correspondence Files.**

Correspondence files pertaining to the maintenance and management of housing projects.

Temporary; destroy when 2 years old. (GRS 15, 1953, item 1)

#### **5150.2. Housing Maintenance and Repair Files.**

##### **Maintenance and repair records for individual units.**

- a. Summary card or ledger record.

**Superseded; (GRS 5.4, Item 070) (DAA-GRS-2016-0011-0008) (Subject code; 5020.7a)**



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

Superseded; (GRS 5.4, Item 070) (DAA-GRS-2016-0011-0008) (Subject code; 5020.7a)

### 5150.3. Housing Management Files.

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

Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)

### 5150.4. Housing Lease Files.

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

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

Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.8)

### 5150.5. Housing Assignment and Vacancy Card Files.

- a. Individual tenant cards.

Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.8)

- b. Individual housing unit cards.

Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.8)

### 5150.6. Housing Inventory Files.

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

Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)

### 5150.7. Housing Application Files (other than copies in lease files).

- a. Rejected application files.

Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.8)

- b. All others.

Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.8)

## 5200

### Cartographic, Aerial Photographic, Architectural, and Engineering Records (GRS-17)

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the NARA before applying the disposition instructions in this schedule.

#### 5200.1. Cartographic Records Prepared During Intermediate Stages of Publication.

Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items

whose informational content is duplicated by the final published map.

Superseded by; Transmittal 27, dated Jan 17, (GRS 6.4 DAA-GRS-2016-0003, item 30) (see 1900.19) .

**5200.2. Reserved.**

**5200.3. Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.**

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

Superseded; (GRS 5.4, Item 051) (DAA-GRS-2016-0011-0006) (Subject code; 5020.5b)

**5200.4. Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.**

Superseded; (GRS 5.4, Item 051) (DAA-GRS-2016-0011-0006) (Subject code; 5020.5b)

**5200.5. Contract Negotiation Drawings.**

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

Superseded; (GRS 5.4, Item 050) (DAA-GRS-2016-0011-0005) (Subject code; 5020.5a)

**5200.6. Space Assignment Plans.**

**Outline floor plans indicating occupancy of a building.**

Superseded; (GRS 5.4, Item 051) (DAA-GRS-2016-0011-0006) (Subject code; 5020.5b)

**5200.7. Reserved.**

**5200.8. Engineering Drawings of Routine Minor Parts.**

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.

Superseded; (GRS 5.4, Item 051) (DAA-GRS-2016-0011-0006) (Subject code; 5020.5b)

**5200.9. Drawings Reflecting Minor Modifications.**

**Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.**

Superseded; (GRS 5.4, Item 051) (DAA-GRS-2016-0011-0006) (Subject code; 5020.5b)

**5200.10. Paint Plans and Samples. [See note after this item.]**

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Superseded; (GRS 5.4, Item 051) (DAA-GRS-2016-0011-0006) (Subject code; 5020.5b)

## **5250-5255**

### **Police Service, Physical Security and Protective Services Records (GRS-18)**

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agency-wide responsibility for Law enforcement and protective services programs. Also included are files of police services and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agency-wide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for police services, physical security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be

offered to the NARA before applying these disposition instructions.

## **5251**

### **Classified Information Accounting and Control Records**

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.

#### **5251.1. Classified Documents Administrative Correspondence Files.** [See note after this item.]

Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

Temporary; destroy when 2 years old. (GRS 18, 1960, item 2)

**Superseded;** (GRS 18, 1960 Item 2) is superseded by (GRS 4.2 item 0010, DAA-GRS-2016-0013-0003) per NARA transmittal #27, August 2017

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

#### **5251.2. Document Receipt Files.**

Records documenting the receipt and issuance of classified documents.

**Superseded;** (GRS 18, 1960, item 3) is superseded by (GRS 4.2 item 030, DAA-GRS-2013-0007-0003) per NARA Transmittal #24, August 2015

#### **5251.3. Destruction Certificates Files.**

Certificates relating to the destruction of classified documents.

**Superseded;** (GRS 18, 1960, item 4) is superseded by (GRS 4.2 item 030, DAA-GRS-2013-0007-0003) per NARA Transmittal #24, August 2015

#### **5251.4. Classified Document Inventory Files.**

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

**Superseded;** (GRS 18, 1960, item 5) is superseded by (GRS 4.2 item 030, DAA-GRS-2013-0007-0003) per NARA Transmittal #24, August 2015

#### **5251.5. Top Secret Accounting and Control Files.**

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

**Superseded;** (GRS 18, 1960, item 6a) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA Transmittal #24, August 2015

- b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

**Superseded;** (GRS 18, 1960, item 6b) is superseded by (GRS 4.2 item 040, DAA-GRS-2013-0007-0004) per NARA Transmittal #24, August 2015

[NOTE: Master files and data bases created to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on a Standard Form (SF) 115.]

#### **5251.6. Access Request Files.**

Requests and authorizations for individuals to have access to classified files.

**Superseded;** (GRS 18, 1960, item 7) is superseded by (GRS 4.2 item 030, DAA-GRS-2013-0007-0003) per NARA Transmittal #24, August 2015

#### **5251.7. Classified Document Container Security Files.**

[See note after item 7b.]

- a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

**Superseded;** (GRS 18, 1960, item 8) is superseded by (GRS 4.2 item 031, DAA-GRS-2013-0007-0003) per NARA Transmittal #24, August 2015

- b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and

windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.

**Superseded;** (GRS 18, 1960, item 7b) is superseded by (GRS 4.2 item 032, DAA-GRS-2013-0007-0003) per NARA Transmittal #24, August 2015

Temporary; destroy 3 months following the last entry on the form (see note). (N1-GRS-93-1 item 7b)

[NOTE: Forms involved in investigations will be retained until completion of the investigation. (N1-GRS-93-1 item 7b Note)]

## **5252**

### **Police Service, Physical 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.

**5252.1. Police Services and Protective Services Administrative Correspondence Files.** [See note after this item.]

Correspondence files relating to administration and operation of the police services, physical security and protective services programs, not covered elsewhere in this schedule.

Temporary; destroy when 2 years old. (GRS 18, 1960, item 9)

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

### **5252.2. Survey and Inspection Files. (Government-owned facilities)**

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Temporary; destroy when 3 years old or upon discontinuance of facility, whichever is sooner. (GRS 18, 1960, item 10)

### **5252.3. Survey and Inspection Files. (privately owned facilities)**

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.

Temporary; destroy when 4 years old or when security cognizance is terminated, whichever is sooner. (GRS 18, 1960, item 11)

### **5252.4. Investigative Files.**

Investigative files accumulating from investigations of criminal, 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.

Temporary; destroy when 2 years old. (GRS 18, 1960, item 11)

### **5252.5. Property Pass Files.**

Property pass files, authorizing removal of property or materials.

Temporary; destroy 3 months after expiration or revocation. (GRS 18, 1960, item 13)

### **5252.6. Police Services Assignment Files.**

Files relating to guard assignments and strength.

#### **a. Ledger records.**

Temporary; destroy 3 years after final entry. (GRS 18, 1960, item 14a)

#### **b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.**

Temporary; destroy when 2 years old. (GRS 18, 1960, item 14b)

### **5252.7. Police Functions Files.**

Files relating to exercise of police functions.

#### **a. Ledger records of arrest, cars ticketed, and outside police contacts.**

Temporary; destroy 3 years after final entry. (GRS 18, 1960, item 15a)

- b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.

Temporary; destroy when 2 years old. (GRS 18, 1960, item 15b)

- c. Reports on contact of outside police with building occupants.

Temporary; destroy when 1 year old. (GRS 18, 1960, item 15c)

#### **5252.8. Personal Property Accountability Files.**

Files relating to accountability for personal property lost or stolen.

- a. Ledger files.

Temporary; destroy 3 years after final entry. (GRS 18, 1960, item 16a)

- b. Reports, loss statements, receipts, and other documents relating to lost and found articles.

Temporary; destroy when 1 year old. (GRS 18, 1960, item 16b)

#### **5252.9. Key Accountability Files.**

Files relating to accountability for keys issued.

- a. For areas under maximum security.

Temporary; destroy 3 years after turn-in of key. (GRS 18, 1960, item 16)

- b. For other areas.

Temporary; destroy 6 months after turn-in of key. (GRS 18, 1960, item 16)

#### **5252.10. 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.

Temporary; destroy 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18, 1960, item 17)

- b. For other areas.

Temporary; destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, 1960, item 17)

#### **5252.11. Facilities Checks Files.**

Files relating to periodic police service facility checks.

- a. Data sheets, door slip summaries, check sheets, and reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule).

Temporary; destroy when 1 year old. (GRS 18, 1960, item 19a)

- b. Reports of routine after-hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule.

Temporary; destroy when 1 month old. (GRS 18, 1960, item 19b)

#### **5252.12. Police Service Control Files.**

- a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Temporary; destroy when superseded or obsolete. (GRS 18, 1960, item 20a)

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

Temporary; destroy when 1 year old. (GRS 18, 1960, item 20b)

- c. Automatic machine patrol charts and registers of patrol and alarm services.

Temporary; destroy when 1 year old. (GRS 18, 1960, item 20c)

- d. Firearms and less than lethal weapons distribution sheets, charge records, and receipts.

Temporary; destroy 3 months after return of arms. (GRS 18, 1960, item 20d)

#### **5252.13. Logs and Registers.**

Police logs and registers not covered elsewhere in this schedule.

- a. Dispatch Officer Notebooks, and other police service or physical security logs..

Temporary; destroy 2 years after final entry. (GRS 18, 1960, item 21a)

- b. Individual police service-post logs of occurrences entered in master logs.

Temporary; destroy 1 year after final entry. (GRS 18, 1960, item 21b)

#### **5252.14. Police Service Daily Journal File.**

Chronological records of daily activities, including arrests and outside police contacts.

Temporary; destroy 3 years after final entry (GRS 18, item 14a)

#### **5252.15. Offense File.**

Results of preliminary and all investigative material concerning complaints from specific offenses committed

Temporary; destroy when 3 years old. (N1-15-02-2)

#### **5252.16. Property Custody Receipt File.**

A record of property found, turn-in, surrendered to, or confiscated by police.

Temporary; destroy 3 years after entry. (GRS 18, item 15a)

#### **5252.17. U.S. District Court File.**

Issuing agency copy of U.S. Court Violation Notices issued, consecutive copies of notices to clerk, U.S. District Court, forwarding court copies of violation notices.

Temporary; destroy 3 years after final entry. (GRS 18, item 15b)

#### **5252.18. Courtesy Violation File.**

Records of posted traffic infractions resulting in courtesy warning issued.

Temporary; destroy after 2 years. (GRS 18, item 14b)

#### **5252.19. Investigative Report File.**

Monthly record of crime and misconduct incidents, property loss and damage occurrences and traffic infractions.

Temporary; destroy card 3 months after return to issuing office. (GRS 11, item 4b)

#### **5252.20. Vehicle Registration Files.**

Card file containing privately owned vehicle registrations.

Temporary; destroy card 3 months after return to issuing office. (GRS 11, item 4a)

#### **5252.21. Motor Vehicle Accident Reports Files.**

Investigation report of motor vehicle accidents and related material. Accidents of non-government vehicles.

Temporary; destroy after case is closed (GRS 10, item 5)

[NOTE: for government vehicles, use schedule 5300.5 *Motor Vehicle Accident Files.*]

### **5253**

#### **Personnel Security Clearance Records**

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

#### **5253.1. 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.

Temporary; destroy when 2 years old. (NC1-GRS-80-1 item 22)

#### **5253.2. 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.

Temporary; destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. (NC1-GRS-80-1 item 23a)

- b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Temporary; destroy in accordance with the investigating agency instructions. (NC1-GRS-80-1 item 23b)

- c. Index to the Personnel Security Case Files.

Temporary; destroy with related case file. (NC1-GRS-80-1 item 23c)

#### **5253.3. Personnel Security Clearance Status Files.**

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

Temporary; destroy when superseded or obsolete. (NC1-GRS-80-1 item 24)

#### **5253.4. Security Violations Files.**

Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.

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

Temporary; destroy 5 years after close of case. (NC1-GRS-81-8 item 1a)

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

Temporary; destroy 2 years after completion of final action. (N1-GRS-98-2 item 31)

#### **5253.5. Classified Information Nondisclosure Agreements.**

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

Temporary; destroy when 70 years old. (N1-GRS-95-1 item 1a)

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

**(Rescinded)** GRS 18, item 25b, by GRS Transmittal 24 August 2015. folder. (N1-GRS-95-1 item 1b)

### **5254**

#### **Continuity and Emergency Planning Records**

##### **GRS 5.3**

**This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed. This schedule does not include the following:**

**Note: records related to a national disaster or incident response These records may be of permanent value and must be scheduled on an agency-specific records schedule.**

**5254.1 Continuity planning and related emergency planning files Records may include: records on continuity and emergency planning administrative and operational activities:**

- briefing materials and presentations
  - status reports o informational papers
  - files documenting policy or plan development, including policy studies
  - procedures, operational manuals, and related development records
  - implementation guidance o related correspondence
  - Memorandum (s) of Understanding
  - Delegations of Authority/Orders of Succession
- Continuity plans or directives and supporting documentation, including but not limited to:**
- Continuity of Operations (COOP) plans

- Devolution Plans o Occupant Emergency Plans (OEP)
- Emergency Action Plans (EAP)
- Facility Emergency Action Plans (FEAPS)

**Temporary: Destroy when 3 years old or 3 years after superseded or obsolete, which is applicable. But longer retention is authorized if required for business use. (DAA-GRS-2016-0004-0001, GRS 5.3, Item 010)**

**Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.**

**Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.**

**Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.**

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

**Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.**

**5254.2 Employee emergency contact information: Records use to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone number or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during emergency situations.**

**Temporary: Destroy when superseded or obsolete, or upon separation or transfer of employee. (DAA-GRS-2016-0004-0002 GRS 5.3, Item 020)**

**5244.3 (reserved)**

#### **5254.4. 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.

Temporary; destroy 5 years after termination from NDER program. (NC1-GRS-87-10 item 1a)

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

Temporary; destroy when 5 years old. (NC1-GRS-87-10 item 1b)

### **5300**

#### **Motor Vehicle and Aircraft Maintenance and Operation Records (GRS-10)**

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

Motor vehicles. Items 1 through 7 pertain to motor vehicles used by agencies. 41 CFR 101-34 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Acquisition Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This portion of the schedule covers agency records pertaining to the daily use and operation of the vehicles. In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Acquisition Service (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

Aircraft. Items 9 through 13 pertain to the management, maintenance, and operation of aircraft used by Federal agencies. 41 CFR 102-33 prescribes policies and procedures. These items include Federal records accumulated in connection with the use of leased aircraft as



well as records provided by contractors for government agencies. Specifically excluded from this schedule are previously approved records series from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

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

#### **5300.1. Motor Vehicle Correspondence Files.**

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

#### **5300.2. Motor Vehicle Operating and Maintenance Files.**

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

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

**Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.9)**

#### **5300.3. Motor Vehicle Cost Files.**

**Motor vehicle ledger and worksheets providing cost and expense data.**

**Superseded; (GRS 5.4, Item 080) (DAA-GRS-2016-0011-0010) (Subject code; 5020.9)**

#### **5300.4. Motor Vehicle Report Files.**

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

**Superseded; (GRS 5.4, Item 010) (DAA-GRS-2016-0011-0001) (Subject code; 5020.1)**

#### **5300.5. Motor Vehicle Accident Files.**

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

**Superseded; (GRS 5.4, Item 140) (DAA-GRS-2016-0011-0017) (Subject code; 5020.14)**

#### **5300.6. Motor Vehicle Release Files.**

Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle. . (NARA memo 10/20/1955)

**Superseded; (GRS 5.4, Item 040) (DAA-GRS-2016-0011-0004) (Subject code; 5020.4)**

#### **5300.7. Motor Vehicle Operator Files.**

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

**Superseded; (GRS 5.4, Item 110) (DAA-GRS-2016-0011-0014) (Subject code; 5020.11)**

#### **5300.8. Reserved.**

#### **5300.9. Routine Aircraft Operations.**

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

**Superseded; (GRS 5.4, Item 120) (DAA-GRS-2016-0011-0015) (Subject code; 5020.12)**

#### **5300.10. Logistical Support for Flight Operations.**

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

requests for substantive information that relate to logistics matters.

**Superseded; (GRS 5.4, Item 130) (DAA-GRS-2016-0011-0016) (Subject code; 5020.13)**

#### **5300.11. General Aircraft Maintenance and Modifications Records.**

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

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

**PERMANENT:** Transfer to the NARA in 5-year blocks after they become superseded or obsolete. (N1-GRS-04-6, item 3a)

- b. All other records.

**Superseded by( GRS 5.4, item 130, DAA-GRS-2016-0011-0016) (Subject code; 5020.13) and ( GRS 5.4, item 100, DAA-GRS-2016-0011-0013) Subject code 5020.10)**

#### **5300.12. Individual Aircraft Maintenance and Airframe Modifications Records.**

**Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic**

**checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.**

**Superseded; (GRS 5.4, Item 100) (DAA-GRS-2016-0011-0013) (Subject code; 5020.10)**

#### **5300.13. Records Required for Accident/Incident Reports.**

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

**Superseded; (GRS 5.4, Item 140) (DAA-GRS-2016-0011-0017) (Subject code; 5020.14)**

### **5400**

#### **Engineering Service**

##### **5400.1. Building, Grounds and Equipment File Plan.**

Blueprints, drawing, maps, photographs, plans, specifications, tracings and related material.

Temporary; dispose of equipment and utility plant blueprints, drawings, etc., that have not been transferred to new custodians upon removal, sale, or replacement of the equipment or utility plant. (II-NN-3270)

Transfer to the Office of director for construction, upon deactivation of the facility, all maps, plans blueprints, drawings etc. pertaining to building and land.

[NOTE: see also 5050.4 *Real Property Files*]

##### **5400.2. Morgue Inspection Files.**

Morgue inspections, daily records of morgue refrigeration temperature; temperature charts or graphs, weekly morgue inspection reports and related material.

Temporary; destroy after 3 months. (II-NN-3270)

##### **5400.3. Quarters Appraisal File.**

Quarters appraisal records and related material.

Temporary; destroy 1 year after quarters have been reappraised. (II-NN-3270)

**5400.4. Construction Contract Files (Copies).**

Abstracts of bids opened, applications for construction projects, award memorandums, change orders, contract information sheets, final inspection reports, final settlement recommendations, letters of acceptance, miscellaneous memorandums regarding modifications, shop drawings, specifications, delays, extension of time, final settlement guarantee expiration date, notice to proceed, photographs, progress reports and charts, requests for determination of wage rates, schedule of cost, etc. Official facility contract records are maintained in supply Service.

Temporary; destroy 3 years after the close of the fiscal year in which terminated. (NC1-15-76-25)

[NOTE: see also 5000.11 *Contractors' Payroll Files*]

**5400.5. Maintenance and Repair Contract Files.**

Abstracts of bids opened, award memorandum, change orders, contract, contract information reports, final settlements recommendations, letter of acceptance, miscellaneous letters and memorandums regarding modification and specifications, delays, extensions of time, final settlement, guaranty expiration dates, notice to proceed, photographs, progress reports and charts, reports of guaranty inspections, request for determination of wage rates, schedule of costs, specifications and related material.

Temporary; destroy 3 years after the close of the fiscal year in which terminated. (NC1-15-76-25)

**5400.6. Maintenance and Repair Work Order File.**

Maintenance and repair log books, work orders, job performance records and related material.

Temporary; destroy 1 year after the close of the fiscal year in which the project was completed. (II-NN-3270)

**5400.7. Service Contract File.**

Abstract of bids opened, award memorandums, change orders, contract information sheet, report year in which inspected, and related material.

Temporary; destroy 3 years after the close of the fiscal year in which terminated. (NC1-15-76-25)

**5400.8. Safety and Fire Prevention File.**

Minutes of safety meetings, reports of unhealthy and unsafe conditions, reports of periodic fire drills, reports of training activities, facility safety and fire protection inspection

report, test of fire alarm circuits, device and equipment and related material.

Temporary; destroy after 3 years old or upon discontinuance of facility, whichever is sooner. (NC1-15-76-25)

[NOTE: see 5252. 2, *Survey and Inspection Files* (government-owned facilities) and 5252.4, *Investigative Files*.]

**5400.9. Federal Occupational Injuries and Illness File.**

Federal occupational injuries and illnesses log.

Temporary; destroy after 5 years following the year to which they relate. (NC-15-76-9)

**5400.10. Accident Injury, Occupational Illness or File Reports File.**

Reports of accident, injury, occupational illness, or fire. Summary reports or logs of Federal occupational injuries or illness. Employees request for workplace inspection, occupational safety and health inspection reports and related material. Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Temporary; destroy when 5 years old. (GRS 1, Item 34)

[NOTE: see GRS 1, Item 34 of this manual in the Personnel Management chapter (3000.34).]

**5400.11. Inspection Report and Test File.**

Inspection of emergency lighting equipment, batteries and charging equipment, laundry washers service test for facility laundry, machine and/or equipment inspection sheets, refrigeration and air conditioning plant inspection report, report of lubricating, inspections of cleaning and adjusting elevators, tests of flame failure controls, boiler records and other inspection reports and tests.

Temporary; destroy after 1 year. (II-NN-3270)

**5400.12. Laundry Machine Maintenance Record File.**

Laundry machine maintenance records.

Temporary; forward card to receiving facility when equipment is transferred. Forward card to Central Office when equipment is turned in as partial payment on new equipment, sold or disposed of in any other manner. (II-NN-3270)

**5400.13. Operating Log File.**

Boiler water treatment logs, daily boiler plant log sheet, daily operation logs of swimming pool and other equipment.

Temporary; destroy after 1 year. (II-NN-3270)

**5400.14. Physical Record Card File.**

Boiler plant equipment record card, electrical distribution and equipment records, emergency stand by light and power out records, mechanical equipment records for main generating plant, miscellaneous boiler plant equipment records card and continuation sheet, motor generator and transformer records, records of hot water storage tanks, shop equipment record card, and other equipment.

Temporary; destroy cards that have been replaced by new cards. Destroy cards on equipment plants that have been removed, sold, or misplaced. (II-NN-3270)

**5400.15. Physical Records Information File.**

Records of air conditioning plants and room coolers, records of refrigerator plants, records of sewage disposal, records of swimming pools, records of water supply and treatment and other equipment.

Temporary; destroy records that have been replaced by new records. Destroy records of equipment and utility plants that have been removed, sold, or misplaced. (II-NN-3270)

**5400.16. Recording Charts Files.**

Recording charts used to record and measure temperature, humidity, steam flow, efficiency of combustion, etc.

Temporary; destroy after 1 year. (II-NN-3270)

**5400.17. Motor Vehicle Inspection File.**

Temporary; cutoff after disposition of motor vehicle. Destroy 1 year after cutoff. (II-NN-3270)

**Environmental Management Services****5500.1. Contract File Related to Environmental Services.**

Copies of contract of items or services procured for environmental Management services.

Temporary; destroy one year after expiration of contract. (II-NN-3416)

[NOTE: this is a copy of the official file maintained in the office of Acquisition and Material Management.]

**5500.2. Pest Management Plan Files.**

Copy of pest management plan, attachment and related materials.

Nonrecord; destroy after replacement with new plan.

**5500.3. Pest Management Certification File.**

Copy of pest management plan, attachment and related materials.

Nonrecord; destroy replacement with new certifications or after reassignment of individual.

**5500.4. Pest Management Record File.**

Copies of VA form 10-9020 and VA form 10-9021 on pesticide usage.

Nonrecord; destroy after 2 years.

**5500.5. Grounds Management File.**

Nonrecord; destroy after 1 year or being replaced by new procedures.

**5500.6. Sanitation Procedures Files.**

Sanitation procedure, clearing and maintaining special area, such as operating rooms, isolation ward, etc., and related material.

Temporary; destroy after 1 year or being replaced by new procedures. (II-NN-3416)

**5500.7. Sanitation Standards File.**

Quality stands for sanitation work rate standards by method and procedure; time studies of various methods of accomplishments; i.e., machine versus hand methods, etc., and related filed material.

Temporary; destroy after being displaced by new standards. (II-NN-3416)

**5500.8. Sanitation Maintenance File.**

Copies of records of draperies cleaned, floor stripped and refinished, etc., and related material.

Temporary; destroy after 2 years. (II-NN-3416)

**5500.9. Bed Service Operations Files.**

Copies of schedules, procedures and methods of bed services, records of services performed and related material.

Nonrecord; destroy after 1 year or being replaced by new procedures.

**5500.10. Glazing Maintenance Operation File.**

Copies of schedules, procedures and methods of grounds maintenance activities and related material.

Nonrecord; destroy after 1 year or being replaced by new procedures.

**5500.11. Waste Management Operation File.**

Copies of schedules, procedures and methods of grounds maintenance activities and related material.

Nonrecord; destroy after 1 year or being replaced by new procedures.

**5500.12. Laundry Operations File.**

Copies of laundry agreements; production requirements, schedules and related material.

Nonrecord; destroy after 1 year or being replaced by new procedures.

**5500.13. Linen Quota File.**

Record of the linen quotas for each using element, and related material.

Temporary; destroy after being replaced by new quota information. (II-NN-3416)

**5500.14. Linen Inventory File.**

Record of linens on hand by type, number and related material

Temporary; destroy after being replaced by current inventory. (II-NN-3416)

**5500.15. Linen Replacement File.**

Records of salvaged linens, copies of requisitions for replacement and related material.

Temporary; destroy after 1 year. (II-NN-3416)

**5500.16. Uniform Record File.**

Record of uniforms issued to employees and related material.

Temporary; destroy employee relinquishes property. (II-NN-3416)

**5500.17. Patient's Valuable Records File.**

Valuables inventory envelope. Patient's effects inventory, temporary withdrawals, disposition actions and related materials.

Temporary; destroy 6 months after discharge of patient and after accountability of all items. (II-NN-170-133)

**5500.18. Beneficiaries Effects and Valuables Audit File.**

Records of audits of effects, valuables, Government issue clothing and incidentals and related material.

Temporary; destroy after completion of subsequent audit and after discrepancies have been resolved. (II-NN-166-127)

**5500.19. Locker Assignment File.**

Records of locker assignments showing location by building, room, locker number and related material.

Temporary; destroy when locker is relinquished. (II-NN-3416)

**5500.20. Space Specification File.**

Record of furniture, draperies, floor and wall coverings, color scheme, accessories, location, size and functional use of room/corridor and related materials.

Temporary; destroy after being replaced by new specifications. (II-NN-3416)

**5500.21. Signage Specification File.**

Record of signage/graphics, both interior and exterior and related materials.

Temporary; destroy after being replaced by new specification. (II-NN-3416)

**5500.22. Interior Design Plan File.**

Copy of design/signage plan, schedules and related materials. (II-NN-3416)

[NOTE: a number of items within this section are copies, with originals are held in the Office of Acquisition and Material Management. These copies are convenience copies and therefore nonrecords. The original copies that are stored elsewhere are the NARA-approved, dispositioned records.]

**5550****Canteen Services****5550.1. Canteen Operation Budget File.**

Operating budget and related material.

Temporary; destroy 1 year after close of FY covered by budget. (GRS 5, item 2)

**5550.2. Vending and Service Contract Files.**

Contracts for bottled beverages vending machines, contract renewals for bottled beverage vending machines, purchase orders, and related material.

Temporary; destroy 1 year after termination of agreement (II-NN-163-47)

**5550.3. Price Agreement Change Notice File.**

Price agreements change notices.

Nonrecord; destroy after posting agreement list.

**5550.4. Price Agreement List File.**

Price agreement lists, seasonal price agreement list, and related material.

Nonrecord; destroy after list have been cancelled or superseded.

**5550.5. Equipment Inventory (Canteen).**

Equipment inventory and related material.

Temporary; destroy after replacement by new inventory and audit by VCS auditors or verification by Canteen Officer. (II-NN-163-47)

**5550.6. Equipment Transfer File (Canteen)**

Equipment transfers and related material.

Temporary destroy after verification of equipment records by VCS auditors. (II-NN-163-47)

**5550.7. (Reserved)****5550.8. (Reserved)****5550.9. Consolidated Inventory (Canteen) Summary File.**

Consolidated inventory summary, inventory sheet, inventory recapitulation sheet, price inventory sheet, and related material.

Temporary; destroy after 6 months and after audit by VCS auditors. (349-S173)

**5550.10. Food Department Cost and Inventory Control File.**

Food department cost control worksheets, food department inventories, and related material.

Temporary; destroy after 6 months and audit by VCS auditors. (349-S173)

**5550.11. Overstock List File.**

Consolidated overstock lists; overstock lists and related material

Temporary, destroy after 6 months. (349-S173)

**5550.12. Receiving Register File.**

Receiving register.

Nonrecord; destroy after 1 year and after audit by VCS auditors.

**5550.13. Stock Check Sheet File.**

Stock check sheets or equivalent material.

Nonrecord; destroy 1 year after being replaced by a new check sheet.

**5550.14. (Reserved)**

**5550.15. Employee Work Schedule File.**

Employee work schedules and related material.

Temporary; destroy 2 weeks after new schedule is submitted to the VCS field office. (352-S253)

**5550.16. Wage Schedule Files.**

Nonrecord; destroy after a new schedule is received.

**5550.17. Employee Compensation File (Copies).**

Copies of claim compensation on account of death, claim for continuance of compensation on account of disability, employee notice of injury or occupational disease, report of hernia, report of termination of total or partial disability, request for treatment of injury under the United States Employees Compensation Act when cause of injury is in doubt, tuberculosis report, and related material.

Temporary; destroy after 3 months. (350-S247)

**5550.18. Exit Interview File.**

Exit interviews related material.

Temporary; destroy 1 year after close of calendar year involved. (II-NN-3395)

**5550.19. Notification of Personnel Action Files.**

Standard Form 50 documenting initial employment, promotion, transfers in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.

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

Temporary; destroy when two years old. (GRS 1 item 14a)

- b. All other copies maintained in personnel offices.

Temporary; destroy when 1 year old. (GRS 1 Item 14b)

**5550.20. Petty Cash or Change Fund Receipt File.**

Petty cash or change fund receipts and related material.

Temporary; destroy when replaced by a new receipt. (350-S227)

**5550.21. Financial Statement File.**

Income and expense statement, retail analysis, food department income and expense analysis related and supporting material.

Temporary; destroy 3 years after the final year in which prepared. (NN-163-47)

**5550.22. Monthly Statement Files.**

Monthly statement and related material

Temporary; destroy after 1 year (350-S227)

**5550.23. Cash Register Tape File.**

Cash register tapes.

Nonrecord; destroy after 30 days, unless latest accountability is more than 1 percent short, and then retain for 6 months. (Ref; VSC-I, Part IV, Para 4.01)

**5550.24. Coupon Book Register File.**

Coupon book register.

Temporary; destroy 1 year after last entry. (NN-163-47)

**5550.25. Payroll Deduction Receipt File (Canteen) (formerly Customer Receipt File).**

Signed receipt for purchases exceeding \$25.

Nonrecords; destroy 1 year after purchase, unless they are needed as evidence in any claim action against the Veteran Canteen Service.

**5550.26. ARS Document File (Formerly Sales Journal File).**

Supporting document for entry into ASR.

- a. Duplicate bank deposit slips.

Temporary; destroy after 6 months. (349-S173)

- b. Cash register reports.

Temporary; destroy after 6 months. (349-S173)

- c. Daily Cash Count Sheets.

Temporary; destroy after 6 months. (349-S173)

- d. Cash register voids.

Temporary; destroy after 6 months (349-S173)

- e. Merchandise refund vouchers.

Temporary; destroy after 6 months (349-S173)

- f. Receipt for miscellaneous collections for any transaction not rung on cash register.

Temporary; destroy after 6 months (349-S173)

- g. Promotional fund checks.

Temporary; destroy after 6 months (349-S173)

**5550.27. POMS support Documents (Canteen) (formerly Daily Transmittal Records).**

Daily Transmittal record and supporting documents. The supporting documents will be arranged in the following order;

- a. Packing slips or related freight records for deliveries.

Temporary; destroy after 6 months. (349-S173)

- b. Worksheets for receiving report entry into POWS.

Temporary; destroy after 6 months. (349-S173)

- c. Invoices of continuing delivery retail purchase, food and vending purchases, or any other item purchased.

Temporary; destroy after 6 months. (349-S173)

- d. Worksheets or back-up documentation for inter and intra canteen transfers.

Temporary; destroy after 6 months. (349-S173)

- e. Documentation such as credit memos to support preparation of chargebacks.

Temporary; destroy after 6 months. (349-S173)

**5550.28. (Reserved)**

**5550.29. Price Adjustment Voucher Worksheet File.**

Worksheet for preparation and entry into POWS for price adjustment vouchers, selling price adjustment voucher.

Temporary; dispose of 1 fiscal year after the close of the fiscal years in which prepared and after audit by GAO. (349-S173)

**5550.30. (Reserved).**

**5550.31. Vendors Purchase Order File.**

Temporary, destroy after 1 year and after audit by VCS audit. (NN-163-47)

**5550.32. Bank Reconciliation File.**

Bank debit memoranda, bank draft, bank statement, deposit draft, bank statement, deposit slip, and related material.

Temporary; destroy after 10 years. (NN-163-49)

**5550.33. Equipment Voucher File.**

Equipment record card, equipment summary, depreciation and retirement summary, including documentation in which payment is made to vendors.

Temporary; destroy summary cards after 6 fiscal years. Equipment record cards will become part of distribution ticket file after equipment is removed, sold or replaced. (NN-163-149)

**5550.34. Equipment Inventory File (Finance Center).**

Temporary; destroy after replacement and after audit by GAO. (NN-163-149)

**5550.35. Equipment Transfer File (Finance Center).**

Equipment transfer and related material.

Temporary; destroy 1 year after close of fiscal year in which prepared and after audit by GAO. (350-S173)

**5550.36. Credit Card Receipt File (Finance Center) (Formerly Canteen Ledger File).**

Temporary; destroy after 3 fiscal years. (NN-168-65)

**5550.37. General Ledger File.**

General ledger or equivalent.

Temporary; destroy when 25 years old. (NC-15-76-11)

**5550.38. Journal Voucher File.**

Journal vouchers and related material.

Temporary; destroy after 4 years. (NN-163-49)

**5550.39. Consolidated Inventory Summary File (Finance Office).**

Consolidated inventory summary, food department cost control worksheets, food department inventories, inventory



sheets. Inventory recapitulation sheets, price inventory sheets and related material.

Temporary; destroy 1 year after close of fiscal year in which prepared and after audit by GAO. (349-S113)

#### **5550.40. Voucher Stock File.**

Documentation on which payment is made to vender.

Temporary; destroy after 3 years. (352-S185)

#### **5550.41. Travel Voucher File.**

Documentation on which payment is made to travelers.

[NOTE: superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001). Disposition schedule can be found on 4000.1a of this manual.]

#### **5550.42. Purchase Card File.**

Documentation purchase made via purchase cards.

[NOTE: superseded by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002). Disposition schedule can be found on 4000.1b of this manual.]

### **5700**

#### **Office of Acquisition and Materiel Management**

##### **5700.1. Purchase Order Register.**

Temporary; destroy 2 years from date of register. (GRS 3, item 8)

##### **5700.2. Schedule File.**

Schedule of contracts, amendments, changes, etc.

Temporary; destroy 3 months after expiration or cancellation of contract. (II-NNA-2540)

##### **5700.3. Contract File (On Site Audit).** [see note below 3d.]

Contract records of agreements entered into between the VA and an individual firm, corporation, institution, state or local government, or another Federal agency, under which monies are disbursed for construction, supplies, equipment or services. These records include but are not limited to the following:

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

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

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

- b. Obligation Copy. [rescinded per GRS Transmittal 23]
- c. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Temporary; destroy when business use ceases. (GRS 1.1, Item 011) (DAA-GRS-2013-0003-0002)

- d. Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR4.601 for transfer to FPDS.

**Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 013) (DAA-GRS-2016-0001-0002)**

[NOTE 1: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

[NOTE 2: Unique procurement files are not covered. With the standardization of the government-wide procurement process under FAR, such files are unlikely to exist. However, if an agency believes that a procurement file has long-term research value, the department's records officer should submit an SF 115.]

##### **5700.4. Vendor Performance File.**

Record of vendor performance containing purchase document number with data relating to follow-up or delinquent deliveries, rejections, declaration of intent to default, and default by contractor.

Temporary; destroy after 2 years from completion of contract, or 2 years after vendor becomes inactive in bidding (whichever comes first). (NN-170-44, Item 1)

**5700.5. Form/Form Letter/Publication File.**

Advisory and Procurement Card, back orders, stock control card, title insert, local or equivalent forms used for the same purpose.

Temporary; destroy 1 year after supersession or deletion. (11-NNA-1192, Item 14)

**5700.6. Forms and Publications Requests File.** [see note below.]

Requisition for administrative forms, requisition for publications and related material.

Temporary; destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010) (DAA-GRS-2013-0003-0001)

[NOTE: Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.]

**5700.7. Shipments Not Covered by Bill of Lading Register.**

Temporary; destroy 2 years after date of final entry on register. (II-NN-169-48, Item 1a)

**5700.8. Supply Processing and Distribution (SPD) Requisition File.**

SPD computer generated requisitions (Secondary Pick Tickets) or written requests for supplies from clinical areas.

Temporary; destroy after 30 days. (II-NN-3426, Item 1)

**5700.9. Master Item List File.**

Records indicating types of stock items maintained in SPD (Primary) and identification numbers (item Master Number) for each.

Temporary; destroy when replaced by new master item list. (II-NN-3246, Item 2)

**5700.10. Sterilization Record File.**

Charts/printouts recording sterilization of items in SPD, lab reports of sterilized cultures (Biological Indicators), sterilization registers and related material.

Temporary; destroy after 36 months. (II-NCI-15- 81-7, Item 1)

**5700.11. Tray Layout Card File.**

Cards/instrument sheets indicating names and numbers of each SPD tray or set of items. The name and number of each item in the tray or set and photographs or each complete tray or set.

Temporary; destroy when replaced by card and photograph or when the tray or set is discontinued. (II-NN-3426, Item 4)

**5700.12. Tax Exemption Certification File.**

U.S. Government Tax Exemption Certificate Accountable (voided copies), U.S. Government Tax Exemption Certificate (Tabulation Exemption Certificate (Tabulation Sheet), U.S. Government Tax Exemption Identification Card.

Temporary; destroy tax certificate books, including voided certificates, 3 years after the period covered by the related account. Destroy U.S. Government Tax Exemption ID card 3 years after period covered by the related account.

**5700.13. Catalog Listing File.**

Temporary; destroy when superseded by new listing. (II-NNA-2540, Item 40)

**5700.14. Equipment Inventory List. (formerly Consolidated Memorandum Receipt File)**

Adjustment voucher, certification as to condition of equipment in Personnel Quarters, consolidated memorandum receipt, list of personally owned property placed in official use, loaned property, request, turn-in, and/or receipt of property or services and related material.

Temporary; destroy the list 1 fiscal year after transfer of balances to new form. Destroy all other accountability records after inventory and final adjustments have been made and the balance brought up to date on the consolidated memorandum receipt. (NN-169-48, Item 1f1)

**5700.15. Excess Property File.**

Authority to dispose of surplus property, circulation route sheets, combination requisition and shipping ticket and continuation sheet, excess property list, motor vehicle inspection, notification of excess serviceable stock, report

of excess personal property, report of utilization disposal of personal property, and related material.

Temporary; destroy 1 fiscal year after disposition action has been completed. (NN-169-48, Item 1h)

**5700.16. Gas Cylinder Register.**

Temporary; destroy after 30 days registers that have been completely used and after all cylinders listed have been returned to the contractor. (II-NNA-2540 Item 44)

**5700.17. Property Accountability File.**

Adjustment Voucher, Consolidated Memorandum Receipt, Reports of Survey, Request, Turn-in and/or Receipts for Property or Services, and related material.

Temporary; destroy after final entry and after adjustments have been made and the balance brought up to date. (NN-169-48, Item 1f2)

**5700.18. Property Voucher File.**

Adjustment Voucher, Application for United States Flag for Burial Purposes Bill for Collection (memorandum), Book Purchase Notice and Receipt, Credit Issue Voucher, Debit Voucher, Excess Property List, Issue Lists and Supporting Papers, Issue Request, Subsistence Supplies, Monthly Summary of Departmental Issues, Over, Short, and Damaged Periodical Notification Lists, Receipt Document, and Credit Issue Voucher (VCS).

Temporary; remove to the records storage area after 1 fiscal year. Destroy after 2 years in the records storage area. (NN-169-48, Item 1)

**5700.19. Property Voucher Register.**

Temporary; remove to the records storage area 1 fiscal year after date of final entry. Destroy 2 fiscal years after date of final entry. (NN-169-48, Item 1j)

**5700.20. Transaction Register.**

Temporary; remove to the records storage area 1 fiscal year after date of final entry. Destroy 4 fiscal years after transfer to the records storage area. (NN-169-48, Item 1k)

**5700.21. Reserved.**

**5700.22. Total Control Register File.**

Temporary; destroy after 1 fiscal year. (NN-169-48, Item 1m)

**5700.23. Requisition Register.**

Temporary; destroy 2 fiscal years after date of final entry. (NN-169-48, Item 1n)

**5700.24. Supply Requisition File.**

Combination Requisition and Shipping Ticket, and Continuation Sheet, Report of Survey, Request for Initial Equipment, Request Turn-in, and/or Receipt for Property or Services, Requisition for Detergent Item, Shipping Document, and related material (Requirements Analysis Listing).

Temporary; destroy 2 fiscal years after completion or cancellation of requisitions. (NN-169-48, Item 1o)

**5700.25. Equipment and Testing File.**

Testing reports of equipment, products, and related material.

Temporary; destroy after 3 years, original and/or copies in the VA Marketing Center and CO, Office of Acquisition and Materiel Management. Destroy field facility copies after 1 year. (No.II-NN-169- 55, Item 1)

**5700.26. Reserved.**

**5700.27. Reserved.**

**5700.28. Hearing Aid and Stump Sock Record File (Denver Distribution Center)**

Stump sock records, hearing aid repair and battery records or equivalent.

Temporary; retain the current and immediate prior-completed cards. Dispose of all other completed cards. Dispose of immediately cards of deceased beneficiaries, after termination of eligibility, and when items are no longer medically indicated. Dispose of card or delete information after 3 continuous years of inactivity. (NN-166-74)

**PART THREE**

**CHAPTER 6**  
**HEALTHCARE RECORDS**  
**6000-6999**

**6000****Health Information Management (HIM) Service**

**6000.1. Health Records Folder File or CHR**  
**(Consolidated Health Record).**

This records series contain all professional and administrative material necessary to document the episodes of medical care and benefits provided to individuals by the VA health care system.

- a. **Health Records Folder.** This file constitutes the active medical or clinical records segment of the Consolidated Health Record. It completely documents diagnostic examinations and definitive medical, surgical, psychiatric, and dental care or treatment rendered a patient at a VA health care facility or at VA expense. It contains in written and graphic form the diagnostic; treatment and sociological information compiled by various members of the medical care team who participated in the care of a patient during one or more courses of treatment. In addition, it is intended to meet the legal, administrative, teaching and research needs of the VA medical staff, and provides a means of studying and evaluating the type of care rendered. VA and other monetary benefits are sometimes decided by use of information from the Health Records Folder.

Temporary; retain in VA health care facility until 3 years after last episode of care, and then convert to an inactive medical record. (N1-15-91-6, Item 1a)

- b. **Administrative Records Folder (Correspondence Folder).** This file constitutes the active administrative records segment of the Consolidated Health Records. It contains documentation of the patient's legal eligibility for VA medical benefits and the administrative documents relating to various episodes of hospital, nursing home, domiciliary, or outpatient care furnished at VA health care facilities.

Retain in VA health care facility along with the Health Records Folder until 3 years after the last episode of care, and then convert to an inactive Medical record. (N1-15-91-6, Item 1b)

- c. **Perpetual Medical Record.** This record was created by extracting certain documents from the Consolidated Health Record (clinical and administrative segments) after a 3-year period of inactivity from the date of discharge or release of patient from the last episode of care. It contains the following basic medical and administrative records for each episode of care:

Application for medical benefits, narrative treatment summary (or equivalent), record of hospitalization (or equivalent), operation report and tissue examination report for each episode of care (if applicable). It also contains records relating to release of information, requests to amend records, records of denied access or disputes as required under the Privacy Act of 1974, and certain Ionizing Radiation and Agent Orange records.

Temporary; retire to records storage facility for storage. Retain at facility for the remainder of their respective retention period, then destroy at facility if not recalled along with the Inactive Health Record counterpart. If recalled, the Inactive Health Record counterpart must be recalled also so that the records can be converted into a Health Records Folder File. If the records are recalled, the retention period begins anew. (N1-15-91-7, Item 1)

[NOTE: This series has been phased out as a records series. Disposition schedule is for existing perpetual medical records. (N1-15-91-6, Item 1c)]

- d. **Inactive Health Record.** This record contains all material relating to various episodes of hospital, nursing home, domiciliary, or outpatient care provided by VA health care facilities. It also consists of an application for medical benefits, narrative treatment summary (or equivalent), record of hospitalization (or equivalent), operation report, tissue examination report, electroencephalograph reports, electrocardiograph reports, autopsy report (if applicable), FOIA and PA related records, certain Ionization Radiation and Agent Orange records, and other related administrative and medical records.

Temporary; retire annually to the records storage facility. If not recalled by the accessioning facility for reactivation, destroy by WITNESS DISPOSAL 72 years after retirement (75 after the last episode of care). (N1-15-91-6, Item 1d)

**6000.2. Electronic Health Record (EHR).**a. Input.

## (1) Paper Source Documents.

- (a) Hardcopy version of information manually inputted into the Electronic Health Record System (EHRS).

Temporary; destroy after verification of accurate entry of information into EHRS. (N1-15-02-3, Item 1a)

- (b) Hardcopy version of information scanned onto optical disk or other magnetic media.

Temporary; destroy after verification of accurate scan onto optical disk or other magnetic media. (N1-15-02-3, Item 1b)

- (2) Interim Electronic Source Information. Electronic version of source information obtained from other electronic databases, optical disk, or other magnetic media not considered as part of the consolidated patient medical record. May include information generated electronically by medical equipment.

Temporary; destroy/delete after migration of information to another electronic medium. Destruction of interim version of information is not to occur until it has been determined that the migrated information represents an exact duplicate of the previous version of the migrated information. (N1-15-02-3, Item 2)

- b. Electronic Final Version of Health Record. Final, consolidated, electronic version of a Patient Medical Record. Includes information migrated from interim electronic information systems, electronic medical equipment, or information entered directly into the patient medical record information system. May be stored on optical disks or other magnetic media.

Temporary; destroy/delete 75 years after the last episode of patient care. (N1-15-02-3, Item 3)

c. Output.

- (1) Output in Electronic Form may include electronic display versions of patient orders, operation reports, health summaries, etc., and other documents associated with patient medical records.

Temporary; destroy/delete when no longer needed for administrative or clinical operations. (N1-15-02-3, Item 4)

- (2) Output in Paper or other Hard Copy Form (may include output consisting of printed hardcopy patient medical records).

Temporary; destroy when no longer needed for administrative or clinical operations. (N1-15-02-3, Item 5)

- d. Documentation. May include data dictionaries, field layouts, data entry instructions, and other manuals in paper and electronic form.

Temporary; destroy/delete when superseded or obsolete. (N1-15-02-3, Item 6)

e. Word Processing and Electronic Records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items listed under XLIII-2. Also, includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- (1) Copies that have no further administrative value after the record-keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record-keeping copy.

Temporary; destroy/delete within 180 days after the recordkeeping has been produced. (N1-15-02-3, Item 7)

- (2) Copies used for disseminations, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary; destroy/delete when dissemination, revision, or updating is completed. (N1-15-02-3, Item 7)

Note; any item, scanned into the Patient Electronic Health Record regardless of origination will take on the records disposal schedule of the electronic record. Examples are; immunization or other healthcare treatment from non-Veterans Health Administration provider after review of relevance's by a HA provider.

**6000.3. Application for Medical Benefits (Applicants Not in Need of Care File).**

- Rejected applications for hospital treatment, domiciliary care, and related material not resulting in a treatment or member status.
- Rejected applications for outpatient dental treatment and found not to be in need of care.
- Rejected applications for outpatient treatment and found not to be in need of care.

Temporary; destroy after 2 years applications dated prior to September 24, 1969. Rejected applications initiated after September 24, 1969, will be filed in the patient's health records folder, if one exists within the facility or a health records folder will be created. (II-NN-3293, Item 1)

**6000.4. Application for Medical Benefits (Transfer-Out File).**

Record of applications for medical benefits transferred to other VA facilities.

Nonrecord; destroy after 1 year.

**6000.5. Privacy Complaint Files.**

Records relating to the general agency implementation of HIPAA and, the Privacy Act, including notices, memoranda, routine correspondence, and related records. The files consist of complaints, concerns, and issues alleging a violation of the Privacy Act.

Temporary; cut off closed files at the end of the fiscal year. Destroy 6 years after cut off. (N1-015-08-1)

**6000.6. Electronic Tracking System Files.**

Electronic complaint files created to produce a tracking system such as the Privacy Violation Tracking System (PVTs) which is retrievable by a number. The files are used to track any grievance concerning an actual or suspected breach of privacy of personal information.

Temporary; delete files 6 years after corresponding case file is closed. (N1-015-08-1)

**6000.7. Domiciliary Members Treatment Folder.**

Type J medical and dental treatment records, which document services rendered to a domiciliary member during his/her stay at a domiciliary. This records folder series was discontinued at domiciliary on May 15, 1971, and was replaced by the Health Records Folder Series.

- a. Domiciliary Members Treatment Folders on hand at domiciliary on or after May 15, 1971.

Temporary; convert to Health Records Folder and follow disposition requirements of that file series. (NI-15-87-4, Item 2a)

- b. Domiciliary Members Treatment Folders retired to Federal and Records Centers (FARCs) on or after June 20, 1968.

Temporary; detain at records storage facility until recalled for reactivation and subsequently converted to a Health Records Folder, or destroy by WITNESS DISPOSAL 75 years from date of separation or release of members from domiciliary. (NI-15-87-4, Item 2a)

[NOTE 1: Folders have been transferred to the VA Records Center.]

[NOTE 2: Folders retired for 1963 records and prior years records are eligible for destruction in the year 2039.]

**6000.8. Domiciliary Members Correspondence Folder.**

All essential administrative records accumulated during member's stay at the domiciliary which document member's admission, maintenance, activities, development, treatment rehabilitation, separation or discharge. Also included are records related to disciplinary actions, leaves of absence or furloughs, correspondence between the domiciliary and welfare agencies, service groups and public officials; reports of previous hospitalization or domiciliary care, etc. This records series was discontinued at domiciliary and was replaced by the Health Records Folder series.

- a. Domiciliary Members Correspondence Folders on hand at domiciliaries on or after May 15, 1971.

Temporary; convert to Administrative Records Folder (Correspondence Folder) and follow disposition requirements of that file series. (NI-15-87-4, Item 3a)

- b. Domiciliary Members Correspondence Folders retired to Federal Archives and Records Centers (FARCs) on or after June 20, 1968.

Temporary; retain at records storage facility until recalled for reactivation and subsequently converted to a Health Records Folder, or destroy by WITNESS DISPOSAL 75 years from the date of separation or release of member from domiciliary. (NI-15-87-4, Item 3b)

[NOTE 1: Folders have been transferred to the VA Records Center.]

[NOTE 2: Folders retired for 1963 records and prior years' records are eligible for destruction in the year 2039.]

#### **6000.9. Outpatient Treatment Folder File.**

Folders under this record series have been established only for veterans treated for service connected and/or adjunct conditions on an outpatient basis. The file contains medical histories and physical examinations, VA treatment and progress records, fee basis reports of medical care, VA and non-VA hospital summaries, and other medical records, including dental treatment records, mental hygiene, prosthetic and sensory aid, and similar records. This folder contains professional and administrative records pertaining to outpatient services rendered and are designed to give the professional staff as complete a clinical background as is possible upon which to base conclusions and determine courses of outpatient treatment and to take action and properly document such administrative actions as are necessary and required.

This records series has been phased out as a separate folder file, and new folders have not been established since October 1, 1983. The information formerly maintained under this series is now being maintained in the two active segments of the Health Records Folder File or Consolidated Health Record (CHR), Item XLIII-1.

- a. Outpatient Treatment Folders currently on hand at VA medical facilities.

Temporary; transfer to Health Record File or CHR and retain in VA health care facility until 3 years after last episode of care, then convert to a Perpetual Medical Record and an Inactive Medical Record. (NI-15-87-4, Item 4a)

[NOTE: Disposition of Dental X Ray Film which may be filed in this folder is in accordance with item 6600.6 page III-6-8]

- b. Outpatient Treatment Folders (OTFs) retired to Federal Records Centers (FRCs) on or after June 20, 1968.

Temporary; retain at records storage facility until recalled for reactivation and subsequently converted to a Health Records Folder, or destroy by WITNESS DISPOSAL 75 years from date of separation or release of members from domiciliary.

[NOTE 1: OTFs were transferred from FRCs to the VA Records Center in 2004.]

[NOTE 2: Folders retired for 1963 records and prior years records are eligible for destruction in the year 2039.]

#### **6000.10. Hospital Counseling Resources File.**

Information concerning local community hospital costs, local charges for physicians' services, hospitalization, insurance benefits, and related material used to counsel NSC veterans.

Nonrecord; destroy when replaced by more current information.

### **6050**

#### **Vet (Outreach) Center Records**

##### **6050.1. Outreach Counseling Folder File.**

- a. Psychological Counseling. Records consisting of important counseling-related material from the counseling staff and significant psychological testing documents.

Temporary; retain in Vet Center until 5 years after the last episode of care, then retire to FRC. Destroy at FRC after 45 years.

- b. General Administration. Records consisting of General Administration Processing records, such as referrals, notes, and similar material where non-counseling services were provided.

Temporary; destroy when no longer needed.

### **6100**

#### **Nursing Service**

##### **6100.1. Twenty Four (24) Hour Report File.**

Twenty Four (24) Hour reports of patient's condition and nursing unit activities.

Temporary; destroy after 45 days. (II-NN-3426)

##### **6100.2. Alcohol and Narcotics Record File.**

Alcohol and narcotics record where all items were dispensed on the ward. Alcohol and narcotics inventory and certification records.

Temporary; destroy after 2 years. (II-NN-3426)

[NOTE: After completion of the monthly alcohol and narcotics ward inspection, these records may be sent to the inactive records storage area pending expiration of the retention period.]

**6100.3. Community Nursing Program File.**

Copies of nursing care referral forms, copies of requests for community home nursing care, service connected (SC), copies of requests for community home nursing care non-service connected (NSC), and related material.

Temporary; destroy after 30 days. (II-NN-3426)

[NOTE: The copy returned from the community-nursing agency is filed in the patient's medical record.]

**6100.4. Detail Sheet File.**

Detail sheets for identifying closed ward patients upon departure and return to ward.

Temporary; destroy after all listed patients have been returned to the ward or otherwise accounted for. (II-NN-3225)

**6100.5. Medication Card File.**

Cards indicating types of medicines ordered by physicians and used by nurses for reference in preparation, administration, and recording of the medication.

Temporary; destroy after medicine was discontinued. (II-NN-3426)

**6100.6. Patient Count File.**

Patient count forms used to identify closed ward patients at change of tour of duty.

Temporary; destroy 30 days after form is completed. (II-NN-3426)

**6100.7. Procedure Card File.**

Cards outlining care and treatment for certain diseases and conditions.

Temporary; destroy when superseded by a new procedure. (II-NN-3426)

**6100.8. Daily Assignment File.**

Daily assignments of Nursing Service personnel.

Temporary; destroy after 14 days. (II-NN-3426)

**6100.9. Fee Basis Nurses File.**

Copies of authorizations and invoices for medical service, individual record of visiting staff, visit record, applications for nurses in VHA, and related material.

Temporary; destroy 3 months after termination of service. (II-NN-3426)

**6100.10. Volunteer Worker File.**

Volunteer worker information card.

Temporary; destroy 6 months after volunteer ceases to work for Nursing Service and after and after report has been made as to the number of hours worked. (II-NN-3426)

**6100.11. Tour of Duty Record File.**

Tour of duty records of Nursing Service personnel.

Temporary; destroy after 30 days. (II-NN-3426)

**6100.12. Monthly Report of Restraint and Seclusion.**

Information such as the patient's name, name of physician who ordered the type of restraint or seclusion action, type of restraint or seclusion, time of action, description of patient's behavior, etc.

Temporary; destroy after 2 years or after purpose has been served, whichever is sooner. (N1-15-95-3, Item 1)

**6110****Social Work Service****6110.1. Patient Index File.**

Social Work Service Data Cards or other automated Data Processing (ADP) generated listings of individual veterans, including basic identifying data.

Temporary;

- a. Transfer active cards to inactive section after case is closed.
- b. Destroy inactive cards after 6 years of social work inactivity and after discharge of patient.  
[NOTE: When a case is reopened before the end of 6 years, the information on the old cards will be brought forward to the new card and the old card(s) destroyed immediately.]
- c. Destroy no activity cards immediately upon discharge of patient. (II-NN-3270)



**6110.2. Social Work Clinical Working File.**

Copies of social work reports, working papers, treatment and progress notes and related material

Non-record; destroy after purpose has been served.

**6110.3. Social Worker Index File.**

Copies of Social Work Service Data cards used as an index to the social work cases including ADP generated listings and/or Patient Data Code Sheets.

Temporary; destroy after case is closed and after preparation of necessary reports and summaries. (II-NN-3270)

**6110.4. Community Placement (Foster Home) Facilities File.**

Application for participation in Community Placement Program, Correspondence to and from VA and Community placement facilities and related material.

Temporary; destroy approved applications 1 year after home withdraws from program. Destroy disapproved applications after 5 years. (II-NN-3270)

**6110.5. General Resource File.**

Records of information of health, welfare, legal, and financial resources for veterans and their dependents. Brochures, pamphlets, etc., and related material.

Temporary; destroy when obsolete or rescinded. (II-NN-3270)

**6120****Rehabilitation Medicine Service****6120.1. Patient Index Card and Attendance Record File.**

Index card and attendance records indicating patient's name, diagnosis, treatment and record of attendance in Physical Medicine and Rehabilitation Service by patients treated. Information is used for readmission purposes in the event the patient returns for treatment, and for administrative and reporting purposes.

Temporary; destroy 2 years after discharge patient. (NI-15-87-4, Item 9)

**6120.2. Rehabilitation Medicine Patient Folder File.**

Copies of various clinical records and related documents used to record treatment and services provided to patients are combined in this file upon completion of treatment.

Temporary; destroy 2 years after discharge of patient, or when no longer needed by Chief, Physical Medicine and Rehabilitation Service (unusual or exceptional cases only), whichever is later, and after record of treatment has been filed in the Health Records Folder File (or Consolidated Health Record). (NI-15-87-4, Item 10)

**6120.3. Volunteer Workers Record File.**

Volunteer workers information card.

Temporary; destroy 6 months after volunteer ceases to work for the service. (II-NN-3270, Item 26)

**6200****Surgical Service****6200.1. Operation Log File.**

Operation logs, which indicate type of operation, date, patient's name, surgeon, assistant scrub nurse, sponge count, anesthetist, agent, method, pre operation and post operation diagnoses, complications, and other information.

Temporary; destroy after 20 years. (N1-015-94-2, Item 1)

**6200.2. Schedule of Operation File.**

Workload data consisting of the date the surgery was performed, members of the surgical and nursing teams, and other information pertaining to the surgery of a patient.

Temporary; destroy after 3 years. (N1-015-94-2, Item 2)

[NOTE: Duplicate files are destroyed when no longer needed for reference purpose.]

**6200.3: Mechanical Circulatory Assist Device (MCAD) Tracker; The MCAD tracker enables the National Surgery Office to fulfill the following responsibilities stipulated in VHA Directive 2012-033 Heart Failure Treatment Utilizing a Ventricular Assist Device or Total Artificial Heart: Patient Selection and Funding:**

- **Establishing a database for tracking Veterans who underwent the implantation of a mechanical circulatory assist device (either a ventricular assist device [VAD] or a total artificial heart [TAH]).**
- **Monitoring patient outcomes**
- **Administering and providing timely distribution of VHA Central Office special**

purpose funds to an approved in-house VHA cardiac surgery program or an approved VHA heart transplantation program for the care and treatment of Veterans receiving a VAD or TAH.

Temporary; cutoff at end of CY. Destroy 20 years after cutoff. DAA-0015-2016-0006-0001

#### 6200.4; Transplant Referral and Cost

Evaluation/Reimbursement (TRACER) TRACER is a web-based application that enables (a) VA medical centers to enter referrals for Veterans who may require a solid organ or bone marrow transplant (b) VA transplant centers to review referrals and enter decisions regarding the Veteran's eligibility for further transplant evaluation; (c) enter transplant procedures and Veteran lodging costs for reimbursement by the National Surgery Office.

#### Referral Process: VA medical centers

- Provide information about the Veteran being referred for transplant evaluation (e.g., demographics, type of transplant desired, VA transplant center desired, names of referring physician, and date of VACO Transplant Referral Note" in CPRS).
- Complete the electronic organ-specific transplant checklist
  - After referral is submitted in TRACER, the VA transplant center of choice receives an email notification of the referral.
  - The VA transplant centers reviews the referral in TRACER and the VACO Transplant Referral Progress Note in CPRS using VistA Web
  - The VA transplant center enters a decision (regarding the Veteran's eligibility for further transplant evaluation) into TRACER
    - VATC referral decisions are expected within 5 business days for stable patients, 48 hours for emergency patients.

After the VATC enters the decision, the referral submitter and members of the Referring Center Notification Group receive an email notification with link to the referral decision and next steps. TRACER also enables VA medical centers to re-submit referrals, request a second opinion by a different VA transplant center, and submit an "Appeal" to the Transplant Surgical Advisory Board. TRACER enables VA transplant centers to electronically transfer patients from one transplant center to another.

Temporary; cutoff at end of CY. Destroy 20 years after cutoff. DAA-0015-2016-0006-0002

6200.5 Referral Review Process: VA Transplant Center. After referral is submitted in TRACER, the VA transplant center of choice receives an email notification of the referral. 3. The VA transplant centers reviews the referral in TRACER and the VACO Transplant Referral Progress Note in CPRS using VistA Web 3. The VA transplant center enters a decision (regarding the Veteran's eligibility for further transplant evaluation) into TRACER a. VATC referral decisions are expected within 5 business days for stable patients, 48 hours for emergency patients After the VATC enters the decision, the referral submitter and members of the Referring Center Notification Group receive an email notification with link to the referral decision and next steps. TRACER also enables VA medical centers to re-submit referrals, request a second opinion by a different VA transplant center, and submit an "Appeal" to the Transplant Surgical Advisory Board. TRACER enables VA transplant centers to electronically transfer patients from one transplant center to another.

Temporary; cutoff at end of CY. Destroy 20 years after cutoff. DAA-0015-2016-0006-0003

#### 6200.6; Pre-Operative Case Management Tool.

Before a provider can determine whether a patient is a candidate for surgery, the patient often needs a series of preoperative assessments and procedures. Because VA facility staff are discouraged from using independent mechanisms to track patients, as these may be perceived as unauthorized waitlists, the National Surgery Office (NSO) developed the Pre-Operative Case Management (POCM) tool to track patients' required pre-operative consults, diagnostic tests, and procedures before a determination of surgical candidacy can be made. The POCM tool is not a waitlist nor intended to be a system of record, and it does not replace existing VA scheduling or medical record systems. Use of this tool is optional.

POCM coordinators and/or providers at a facility enter patients and workups ordered by the clinician that they anticipate may delay the determination of surgical candidacy. Once all workup items are completed, POCM alerts designated personnel the patient information is ready for review. If no additional workups are necessary, surgical candidacy determination is noted and the patient status is set to Complete.

Patient workup information is maintained in a SharePoint list for presentation to POCM users while workups are pending. All patient and workup

information is also written to a SQL database to provide PHI blinded reporting capabilities. After 30 days, patient data with a Complete status is removed from the SharePoint view.

Temporary; cutoff at end of CY. Destroy 10 years after cutoff. DAA-0015-2016-0006-0004

6200.7; Continuous Improvement in Cardiac Surgery Program (CISCP) Database. Monitor and report cardiac surgical procedures performed in any VHA cardiac surgical program using unadjusted and risk-adjusted outcomes data.

Temporary; cutoff at end of CY. Destroy 20 years after cutoff. DAA-0015-2016-0006-0005

Note: In 2009, NSQIP and CICSP were combined to form the VA Surgical Quality Improvement Program (VASQIP) (see VASQIP below)

6200.8 National Surgical Quality Improvement Program (NSQIP) Database

Purpose: To monitor and report non-cardiac surgical procedures performed in any VHA surgical program using unadjusted and risk-adjusted outcomes data.

Temporary; cutoff at end of CY. Destroy 20 years after cutoff. DAA-0015-2016-0006-0006

6200.9; VA Surgical Quality Improvement Program (VASQIP) Database Monitors and reports risk-adjusted (O/E) surgical outcomes and actual (unadjusted) mortality for major surgical procedures performed at each VA medical center for all operations combined and for each surgical specialty on a quarterly basis and for the rolling year. An analysis and review of the VA medical center structure and process will be prompted based upon the reporting of a statistically high O/E ratio.

The VASQIP uses logistic regression analysis to calculate the probability of death or complication for each patient in the database, based on the patient's preoperative risk factors. These probabilities can then be summed for all surgical procedures performed by the VHA surgical programs to arrive at an expected number of events (mortality, morbidity) for all operations including the following surgical specialties: cardiac surgery, general surgery, neurosurgery, orthopedic surgery, otolaryngology, plastic surgery, thoracic surgery, urology, and vascular surgery. The observed number of events (O)

divided by the expected number of events (E) produces the O/E ratio for the procedures performed at any single VA medical center. As reference, an O/E ratio of 1.0 indicates that the observed number of events is equal to the number of events expected based upon the patient mix in a given specialty at that VA medical center.

Temporary; cutoff at end of CY. Destroy 20 years after cutoff. DAA-0015-2016-0006-0007

6200.10 Ophthalmic Surgical Outcome (OSOD) Database. Monitor and report ophthalmic procedures performed in a 5-site pilot group of VHA surgical programs to evaluate functional outcomes and assess feasibility of data capture at all VHA surgical programs.

Temporary; cutoff at end of CY. Destroy 7 years after cutoff. DAA-0015-2016-0006-0008

Note: Data within the OSOD database reflect cataract surgeries for April 2009 through September 2011 at 5 pilot sites.

## 6270

### Spinal Cord Injury Service

#### 6270.1. Spinal Cord Dysfunction Registry.

Information collected includes patients' names, social security numbers, dates of birth, registration dates, information about whether patients are receiving services from VA's spinal cord system of care, neurologic level of injury, etiology, and other related spinal cord injury information.

- a. Master Files (centralized database).

Temporary; cutoff at the last unique patient entry or the death of a particular patient. Delete 75 years after cutoff. (N1-015-05-1, Item 1)

- b. Local Files (SCI centers and clinics).

**Temporary;** delete when replaced by a subsequent file or 75 years after date of last activity for a particular patient. (N1-015-05-1, Item 2)

- c. Backup Files.

Temporary; delete when master files have been deleted or replaced with a subsequent backup file. (N1-015-05-1, Item 3)

d. Input Records.

Temporary; destroy after data have been entered into local files. (N1-015-05-1, Item 4)

e. Output Records.

Temporary; destroy when no longer needed for administrative, legal, audit, or other operational purposes. (N1-015-05-1, Item 5)

f. Documentations.

Temporary; destroy or delete when replaced or superseded. (N1-015-05-1, Item 6)

g. Electronic copies of mail and word processing applications.

- (1) Copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Temporary; destroy or delete within 180 days after the recordkeeping copy has been produced. (N1-015-05-1, Item 7a)

- (2) Copies used for dissemination, revision, or updating.

Temporary; destroy or delete when dissemination, revision, or updating is completed. (N1-015-05-1, Item 7b)

**6270.2. Report of Patients with Spinal Cord Injury or Disease – Patient's File.** (see note below)

Quarterly reports of admission and discharge data used to project workload trends monitor and compare workloads of hospitals designated as spinal cord injury centers.

Temporary; destroy after 5 calendar years. (NCI-15-85-3, Item 2)

[NOTE: Report discontinued on October 1, 2001]

**6270.3. Spinal Cord Injury Home Care Unit Quarterly Activity Report File.** (see note below)

Quarterly activity reports used to project workload trends monitor and compare workloads of home care units.

Temporary; destroy after 5 calendar years. (NCI-15-85-3, Item 3)

[NOTE: Report discontinued on October 1, 2001]

**6300****Neurology Service****6300.1. Electroencephalograph (EEG) Records File.**

A typical EEG detects electrical impulses of the brain and records them on long sheets of graph paper (tracings). A single EEG procedure can consists of at least 120 sheets of graph paper. VA form 10-2614's, Electroencephalographic Request and Report (interpretation), is used to record the results of a tracing.

## a. Electroencephalograph Tracing.

Temporary; cutoff at the end of calendar year in which EEG record was created, destroy 7 years after cutoff. (N1-15-97-1, item 1)

- b. Electroencephalograph Request and Report (interpretation). VA Form 10-2614, Electroencephalograph Request and Report, used to record the results of an EEG tracing.

Temporary; cutoff at end of calendar year in which VA form 10-2614 was interpreted by provider, destroy 30 years after cut off. This schedule **only** applies to VA form 10-2614 maintained in EEG Office. (N1-15-98-01, item 1)

Note; Most EEG are scanned into VistA/CPRS as a complete Electronic Health Records (EHR). Once the VA form 10-2614 is placed into VistA/CPRS it takes on the record retention schedule of the (EHR) of 75 yrs. after last episode of care series 6000.2 of this manual.

**6400****Mental Health and Behavioral Sciences Service****6400.1. Clinical Psychology Folder File.**

Notes, psychological evaluations, recording sheets, psychological test material, and related material.

- a. Clinical psychology folders used in research projects after discharge of the patient.

**Unscheduled** do not destroy SF-115 pending from NARA.

- b. Clinical psychology folders NOT used in research projects after discharge of patient.

**Unscheduled** do not destroy SF-115 pending

**6400.2. Mental Hygiene Folder File.**

Detailed working noted on the clinic therapist, records of therapy sessions, psychological test books, protocols and other psychological data, trail visits notes, psychological evaluations, treatment and progress notes, neurological examinations, physical therapy examinations, hospital reports of examination, release of information documents, correspondence, and copies of initial, periodic, and closing reports which are files in the patients' medical record folder file.

**Unscheduled** do not destroy SF-115 pending with NARA.

Note: In 1985 it was determined that the Mental Hygiene Folder become part of the patient paper Health Record. Legacy Mental Hygiene folders were inner-filed with the paper Health Records. When the Patient Electronic Health Records was created the Mental Hygiene folders were already part of this record. The pending record schedule with NARA is for the Legacy Mental Hygiene folders that are found without a paper or electronic health record.

**6400.3. Psychology Test Data and Worksheet File.**

Psychological test material, notes worksheets, and related materials.

**Unscheduled** do not destroy SF-115 pending with NARA.

**6400.4. Homeless Providers Grant and Per Diem Files.**

Applications (initial and second), site designation, schematics drawings, data relating to homeless demographics, payment documents to grant recipients, supporting letters, general correspondence, and correspondence relating to inspections drawings.

a. Files relating to applications who were awarded vans.

Temporary; destroy after 5 years. (N1-15-98-04, item 1a)

b. files relating to applicants who were awarded grants to construct, renovate, or acquire buildings for supportive housing or supportive services.

Temporary; destroy 10 years after the last grant payment has been issues. (N1-15-98-04, item 1b)

c. files relating to applicants who receive per diem payment.

Temporary; destroy 10 years after last per diem payment has been issued. (N1-15-98-04, item 1c)

d. electronic version of record created by electronic mail and word processing application.

Temporary; delete when recordkeeping copy is generated. (N1-15-98-04, item 1d)

**6400.5. Unsuccessful Grant Application File.**

a. applications, correspondence, and other documents pertaining to unsuccessful applications.

Temporary; destroy 2 years after the disapproval or withdrawal of the application. (N1-15-98-04, item 2a)

b. electronic version of records created by electronic mail and word processing application.

Temporary; delete when recordkeeping copy is generated. (N1-15-98-04, item 2b)

**6500****Geriatrics and Extended Care****6500.1. Unsuccessful Grant Application Files.**

Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications for State Home Construction Grants.

Temporary; destroy 3 years after rejection or withdrawal. (I1-15-91-5, Item 1)

**6500.2. Reserved.****6500.3. State Home Construction Grant Files.**

Pre-applications, applications (SF 424s), technical reviews of design documents, environmental assessments, clearances for historic preservation requirements, and certifications of compliance with numerous Federal laws (Davis-Bacon Act, Rehabilitation Act, Civil Rights Act, etc.), bid tabulations, revised budgets based on bids, memoranda of agreements, substantive correspondence and other related documents

a. Hardcopy.

Temporary; destroy after microfilming and after the microfilm has been verified as an adequate substitute for the hardcopy (paper) files.

b. Master and Two Reference Copies.

Temporary; master and one reference copy maintained by the Office of Geriatrics and Extended Care are to be destroyed 20 years after completion of project. Reference

copy transferred to the Office of Facilities will be destroyed 20 years after completion of project.

## **6600**

### **Dental Service**

#### **6600.1. Beneficiaries Ledger Record File.**

Ledger used to identify the removal of dental appliances when removed from mouths of NP patients at time of admission and to indicate beneficiary's name, number and type of appliance.

Nonrecord; destroy 1 year after date of last entry.

#### **6600.2. Dental Appointment Record File.**

Ledger or book indicating daily appointments for patients for dental treatment and showing patient's name, time of appointment and type of work to be performed.

Nonrecord; destroy 1 year after last entry.

#### **6600.3. Dental Laboratory Requisition and Work Record File.**

Copies of instruction sheets to obtain fabrication of dental appliances from central dental laboratory and related material.

Nonrecord; destroy after patient's case is completed.

#### **6600.4. Dental Card Index.**

Dental Service index cards indicating patient's name, diagnoses, treatment, condition, etc., on current or recent patients receiving dental treatment.

Nonrecord; destroy after discharge if patient was not examined OR 6 months after discharge if patient was examined but not treated OR after 3 years if patient was treated or received x-rays.

#### **6600.5. Dental Master Card File.**

Detailed summary of dental services rendered to a patient in a VA health care facility; used as a ready reference on veterans treated in the dental clinic, for budget purposes, and for compiling statistics on patients treated.

Temporary; destroy 3 years after date of last activity. (NI-15-87-4, Item 7)

#### **6600.6. Dental X-Ray Film File.**

Dental x-ray film, exposed.

- a. Dental x-rays filed in the Outpatient Treatment Folder or in the Health Records Folder.

Temporary; retain until folder is converted to an Inactive Medical Record (3 years after last episode of care) then destroy. (NI-15-87-4, Item 8a)

- b. Dental x-rays used for research and teaching purposes which are not filed in the patient's medical record.

Temporary; retain until purpose has been served or 3 years after last exposure, whichever is longer, and then destroy. (NI-15-87-4, Item 8b)

- c. All other original dental x-rays maintained at VA health care facilities.

Temporary; retain until 3 years after the date of last exposure, and then destroy. (NI-15-87-4, Item 8c)

- d. Facsimile reproduction of dental x-rays.

Temporary; destroy when purpose has been served. (NI-15-87-4, Item 8d)

[NOTE 1: VA x-ray films are currently disposed of by salvaging at the VA Supply Depot under the VA Precious Metals Recovery Program.]

[NOTE 2: Certain dental x-rays taken at VA health care facilities in support of veterans benefits claims are disposed of in accordance with the Veterans Benefits Administration RCS VB-1.]

#### **6600.7. Laboratory Case Load Ledger File.**

Ledger used to record all cases handled by the dental laboratory and to indicate date of receipt, name of patient, referring facility, laboratory case number, and description of case.

Nonrecord; destroy 1 year after date of last entry.

#### **6600.8. Precious Metals Ledger File.**

Ledgers containing a record of date's precious metals were received from Supply Service and the combined gross troy weight of all gold received (excluding fabricated bars). Number of prefabricated gold bars received. Date, name of patient and description of each appliance fabricated. Weight of platinum received, gross weight of all gold turned over to Supply Service. Unserviceable gold appliances retained by patients along with their signature.

Temporary; destroy 3 years after date of last entry. (350-S-61, Item 2)

(including that from private sources), and related material. This file is used for treatment purpose as well as research.

**6600.9. Precious Metals Issue Slip.**

Temporary; destroy 75 years after date of last activity (N1-15-87-4 item 6)

Copies of memorandums indicating amount of gold turned-in to Supply Service.

Temporary; destroy after 1 year. (350-S-247)

**6600.10. Old Gold Turn-in File.**

Correspondence and related papers on old gold turn-in.

Nonrecord; destroy after 1 year.

**6600.11. Precious Metals Record Card File.**

Cards indicating a running record of each type of precious metal on hand and showing the amount issued and the balance on hand at all times

Nonrecord; destroy 1 year card has been filed and the balance brought forward to a new card.

**6650  
Medical video**

**6650.1. Medical Video Record;**

Records such as; EEG video, Range of motion /physical Therapy, Endoscopy, or other video not scheduled elsewhere in the manual. The exception is where a NARA approved records control schedule already exists in RCS 10-1.

Destroy when 2 years old. GRS 21, item 19 (N1-GRS-98-2, item 40)

Note; Cardiac Catheterization Film (Motion Picture) see (7000, item 3) (N1-015-96-3)/ Echocardiogram Video Cassette Recording Tapes (7000, item 4) (N1-015-07-1)

Note; If the 2 year record schedule above does not meet the record disposition needs then the VHA Program Office responsible for the video's shall contact the VHA Records Officer, to submit a new records schedule to NARA for approval.

**6675**

**6675.1. Tumor Registry File Index Card and Folder File.**

This file contains information on patients treated for tumors. It contains abstracts, inpatient information from the Medical Records Folder File, subsequent follow-up data

**CHAPTER 7****ANCILLARY SERVICES****7000-7999****7000****Medical Service****7000.1. Electrocardiograph Tracing File.**

Includes Phonocardiograms, Echocardiograms, Nuclear Cardiac Scans and Vecto-cardiograms. This series of records consists of EKG tracings maintained in the patient's health records folder file. The tracings maintained in the patient's health records consist of cut-out portions of the original tracings which are filed with the Electrocardiograph Report, Standard Form 520. Clinic copies consist of reproductions or photocopies of the original tracings.

**Superseded;** by series 6000 item 2 the electronic Health Records (EHR)

Note; if EKG is imported into VistA/CPRS the EKG will take on the records schedule of the Electronic Health Records (EHR). Otherwise the paper tracing not in the (EHR) is unscheduled.

**7000.2. Tuberculosis Case Register Card File.**

Temporary; destroy inactive cards after 2 years. (NN-169-55)

**7000.3. Cardiac Catheterization Film (Motion Picture).**

Original film of the images of the heart, including a visual record of the insertion and passage of a catheter (thin flexible tube) through an artery into the heart.

Temporary; destroy 20 years after the last episode of patient care. (N1-015-96-3)

[NOTE: Films required for research, legal, and clinical purposes may be retained for a longer period of time.]

**7000.4. Echocardiogram Video Cassette Recording Tapes.**

Echocardiogram recording tapes captures video images of the position and motion of the heart by ultrasound waves directed through the chest. It specifically contains video images showing the position and motion of the heart.

Temporary; cut-off at the end of the year in which the last image has been captured and a report filed in the patient's health record. Destroy 5 years after cut-off. (N1-015-07-1)

**7000.5. Emergency Room Register (Log).**

This file is used to record basic information relating to patient visits to VA emergency rooms. It contains information such as patients' names and addresses, last four digits of Social Security Numbers, time and date of admittances, service of doctor, mode of arrival, i.e., ambulance or personal or public transportation, dates(s) of arrival and departure, and any fees or charges related to the emergency medical care. This file is media neutral.

Temporary; destroy or delete when 1 year old, or 1 year after date of the latest entry, whichever is appropriate. (NN-169-55)

**7100****Laboratory Service**

**\*Note: Non-record Lab slides are not to be stored with Federal Records, nor can they be stored in VA RC&V or Federal Record Centers.**

**7100.1. Autopsy Protocol File.**

Temporary; destroy after 25 years. (NN-15-76-4, Item 1)

**7100.2. Blood Bank Monitoring File (Card).**

Cards indicating daily records of blood inspections, daily records of refrigerator temperatures, records of bacteriologic studies, and records of disposition of unused blood.

Temporary; destroy after 5 years. (NN-171-54, Item 1)

**7100.3. Blood Donor File.**

Blood donor registration cards and related cross-index cards as to blood group and type.

Temporary; destroy 5 years after last donation. (NN-171-54, Item 2)

**7100.4. Blood Issue File.**

Log book containing names of authorized persons to which blood was issued and a record of reissued blood.

Temporary; destroy 5 years after date of last donation. (NN-171-54, Item 2)



**7100.5. Blood Source File.**

Log book indicating source from which blood was received; i.e., donor, Red Cross, contract blood bank, etc.

Temporary; destroy 10 years after last date of entry. (NN-166-139, Item 3)

**7100.6. Blood Transfusion Request and Record File.**

Copies of the Clinical Record-Blood Transfusion indicating blood grouping, typing and compatibility tests.

Temporary; destroy after 5 years and after information has been recorded in the patient's Medical Records Folder File (or Consolidated Health Record). (NI-15-87-4, Item 20)

**7100.7. Laboratory Examinations File.**

Copies of laboratory reports on examinations of milk, cream, ice cream; frozen products; water and sewage effluent; and reports on bacterial counts on dishes, flatware, and equipment or on utensils used in preparation of food and supplying of bedside drinking water.

**Non-record;** destroy after 6 months.

**7100.8. Laboratory Methods File.**

Cards indicating approved methods and procedures for conducting various laboratory tests.

**Non-record;** dispose of after becoming obsolete or when replaced by a new card.

**7100.9. Laboratory Reports File.**

- a. Patient Section. Copies of clinical record-laboratory reports on patients.

Temporary; destroy 30 days after the end of the reporting period and after original report has been filed in the patient's Health Records Folder File or CHR. (NI-15-87-4, Item 21a)

- b. Other than Patient Section. Original and copies of clinical record-laboratory reports used for examination of individuals other than patients, such as blood donors.

Temporary; destroy after 6 months. (NI-15-87-4, Item 21b)

**7100.10. Morgue Record File.**

Daily record of refrigerator temperature and copies of reports of inspection of morgues.

**Nonrecord;** destroy after 3 months.

**7100.11. Tissue Examination Record File.**

Copies of tissue examinations maintained in numerical order.

Temporary; destroy when 25 years old and after report has been filed in the patient's Health Records Folder Files (or Consolidated Health Record). (NI-15-87-4, Item 22)

**7100.12. Test Requisition File.**

Requisitions and related documents used by the provider to request that the laboratory perform certain tests on a patient.

Temporary; destroy after 2 years. (NI-15-99-2, Item 1)

**7100.13. Test Record File.**

Documents that record the results of the test, the date, the name of the individual who performed the test, and the name of the individual who verified the test.

Temporary; destroy after 2 years. (NI-15-99-2, Item 2)

**7100.14. Laboratory Copies Test Reports (Preliminary, Final, Corrected).**

Reports that provide results of a particular test on a particular patient, the identification of the laboratory performing the test and the reference range of values.

Temporary; destroy 2 years after date of the report. (NI-15-99-2, Item 3)

**7100.15. Pathology Test Reports.**

Pathologist's reports including supporting documents.

Temporary; destroy 25 years after date of the report. (NI-15-99-2, Item 4)

**7100.16. General Laboratory Quality Control Records and Proficiency Test Surveys.**

Records that document the results of control testing performed on a equipment, the validation testing of a equipment, the monitoring of the temperature in an incubator or refrigerator or other indicators to ensure that the laboratory is performing quality work.

Temporary; destroy after 2 years. (NI-15-02-04, Item 1)

**7100.17. Test Procedures File.**

Files consist of documents that instruct an individual how to perform a laboratory test.

Temporary; destroy 2 years after the procedures have been discontinued. (N1-15-99-2, Item 6)

**7100.18. Proficiency Testing Records.**

Documents that record the date of the proficiency test, type of test, instrument used, if appropriate, results and individual performing the test.

Temporary; destroy after 2 years. (N1-15-99-2, Item 7)

**7100.19. Records of Remedial Action after Proficiency Testing (PT) Failure.**

Records that document the corrective action taken by the laboratory that fails a particular proficiency sample.

Temporary; destroy after 2 years. (N1-15-99-2, Item 8)

**7100.20. Instrument Maintenance Records.**

Records that document the date and type of preventive maintenance performed on laboratory equipment.

Temporary; destroy after 2 years. (N1-15-99-2, Item 9)

**7100.21. Instrument Maintenance Records (repairs, parts, replacement records).**

Records that record repairs made, who performed the repairs, and the date the repairs were made.

Temporary; destroy after instrument is no longer utilized and is removed from service. (N1-15-02-04, Item 2)

**7100.22. Personnel Records.**

- a. Records consist of correspondence, forms and other records duplicated in the individual's official personnel folder (OFP).

Temporary; destroy after 30 years. (N1-15-02-04, Item 3)

- b. Records contain competency assessments and proficiency training documents.

Temporary; destroy after 5 years. (N1-15-02-04, Item 3)

**7100.23. Body Fluids. (Rescinded, non-record)****7100.24. Peripheral Blood Smears, Body Fluids Smears. (Rescinded, non-record)****7100.25. Bone Marrow Smears. (Rescinded, non-record)****7100.26. Permanently Stained Slides for Microbiology (e.g. gram, triochrome). (Rescinded, non-record)****7100.27. Specimens from Blood Bank Donors and Recipients. (Rescinded, non-record)****7100.28. Donor and Recipient Record.**

Records contain vital information on individuals who donate blood and patients who receive blood or blood products.

Temporary; destroy after 75 years. (N1-15-99-2, Item 17)

**7100.29. Records of Employee Signatures, Initials, Identification Codes.**

Records record the names, signatures, initials, and codes used to identify which employee performed either the complete test or a particular part of a test.

Temporary; destroy after 75 years. (N1-15-99-2, Item 18)

**7100.30. Test Procedures (Transfusion Medicine) Manual.**

Manual describes how to perform the various procedures that are used in Transfusion Medicine.

Temporary; destroy after 5 years. (N1-15-02-04, Item 4)

**7100.31. Blood Bank Test Records and Reports.**

Results of tests performed in Blood Bank.

Temporary; destroy after 5 years. (N1-15-02-04, Item 5)

**7100.32. Quality Control Records and Proficiency Test Surveys.**

Documentation of the results of quality control testing and any corrective actions that are taken, results of the proficiency testing and, if the test results are wrong, corrective actions that are taken.

Temporary; destroy after 5 years. (N1-15-02-04, Item 6, 12/19/02)

**7100.33. Blood and Blood Products Quality Control Records.**

Documentation of the quality control testing performed on blood and blood products.

Temporary; destroy after 5 years. (N1-15-99-2, Item 22, 8/11/00)

**7100.34. Records of Permanently Deferred Donor.**

Donor records of individuals who may never donate blood.

Temporary; destroy after 75 years. (N1-15-99-2, Item 23)

**7100.35. Infectious Disease Records.**

Documentation concerning infectious diseases identified in blood of donors or recipients.

Temporary; destroy after 75 years. (N1-15-99-2, Item 24)

**7100.36. Tissue Banking Records for Transplantation.**

Quality control records, tissue collection, transplant, or discard records, donor/recipient tracking records, infectious disease testing and type of processing, quarantine, labeling, superseded procedures, and manuals. May be in paper or electronic format.

Temporary; destroy or delete 10 years beyond the date of distribution, transplantation, or expiration of tissue or longer if required by Federal law. (N1-015-12-1)

**7100.37. Histopathology Stained Slides. (Rescinded, non-record)****7100.38. Histopathology Blocks. (Rescinded, non-record)****7100.39. Wet Tissue. (Rescinded, non-records)****7100.40. Reports (Surgical Pathology).**

Reports contain results of the review of tissue by pathologists. They include a diagnosis of the patient's health status.

Temporary; destroy after 25 years. (N1-15-99-2, Item 29)

**7100.41. Accession Logs (Surgical Pathology).**

This log contains the list of tissues received, the patient identification and the laboratory number assigned to the specimen.

Temporary; destroy after 5 years. (N1-15-99-2, Item 30)

**7100.42. Surgical Pathology Maintenance Records.**

Records that document the date and type of preventive maintenance performed on laboratory equipment.

Temporary; destroy after 2 years. (N1-15-02-04, Item 8)

**7100.43. Cytology Slides (Rescinded, non-records)****7100.44. Cytology (Rescinded, non-records)****7100.45. Cytology Fine Needle Aspiration Slides (Rescinded, non-records)****7100.46. Reports (Cytology).**

Official findings of the pathologist who reviewed the cytology slides.

Temporary; destroy after 25 years. (N1-15-99-2, Item 35)

**7100.47. Accession Log Reports (Cytology).**

Reports contain the list of specimens received for cytology examination, the patient identification and the laboratory number assigned to the specimen.

Temporary; destroy after 5 years. (N1-15-99-2, Item 36)

**7100.48. Wet Tissue (Rescinded, non-records).****7100.49. Paraffin Blocks. (Rescinded, non-records).****7100.50. Slides (Rescinded, non-records).****7100.51. Reports (Autopsy).**

Official findings of the pathologist after the performance of the autopsy and the review of the autopsy slides.

Temporary; destroy 25 years after date of final report. (N1-15-99-2, Item 40)

**7100.52. Accession Logs (Autopsy).**

List of specimens received from autopsies for examination; the patient identification and the laboratory number assigned to the specimen.

Temporary; destroy 5 years after date of final report. (N1-15-99-2, Item 41)

**7100.53. Electronic Mail Records and Word Processing Files.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by other items in this section. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal email directories on hard disk or network drives and copies on shared network drives that are used only to produce the record-keeping copy.

Temporary; destroy/delete within 180 days after the recordkeeping copy has been produced. (N1-15-99-2, Item 3, 8/11/00)

- b. Copies used for dissemination, revision, or updating that is maintained in addition to the recordkeeping copy.

Temporary; destroy when dissemination, revision, or updating is completed. (N1-15-02-04, Item 10)

**7100.54. Tissue Banking Donor and Recipient Records for Transplantation.**

Records include documents of source facility (original numeric or alphanumeric donor or lot identification and recipients or other final disposition of each tissue).

Temporary; destroy after 75 years. (N1-15-02-04, Item 9)

**\*Note: Nonrecord Lab slides are not to be stored with Federal Record, nor can they be stored in VA RC&V or Federal Record Centers.**

**7200****Radiology Service****7200.1. X-ray Film Inventory File.**

Stock control records showing by size the number of x-ray films received, used, and current balance on hand.

Temporary; destroy after 1 year and after films have been accounted for. (NN-350-S20, Item 2)

**7200.2. Radiation Monitoring File.**

Reports of findings, tests reports and analyses, film badge reports, protection surveys, radiation exposure reports, reports of meter monitoring, related and similar material properly filed.

Temporary; destroy employee's records 1 year after separation or transfer of employee. Destroy general subjective records after 5 years. (NN-163-96, Item 1)

**7200.3. Radiation Protection Instruction File.**

Radiation protection rules, procedures and instructions.

Nonrecord; destroy when obsolete, rescinded or replaced by current information.

**7200.4. Radium and Radon Control File.**

Shipment control records of radioactive substances and related materials.

Temporary; destroy after 2 years. (NN-163-96, Item 2)

**7200.5. Patient Therapy File (Radiology Service).**

Copies of treatment course records, therapy summaries, progress notes, technical factors applied and related material.

Temporary; destroy 10 years after last date of activity and after record of treatment has been filed in the Health Records Folder File or CHR. (N1-15-87-4, Item 11)

**7200.6. X-ray Film File (General).**

Exposed x-ray films other than military entrance and separation x-rays, copies of interpretations filed with the x-ray films, and facsimile reproductions of x-rays maintained at VA health care facilities, except those requested by the Medical Executive Committee for use in research, teaching, special studies, etc.

- a. Veterans' x-rays.

Temporary; destroy 5 years after date of last exposure or 10 years after separation from military service, whichever is later, and after a report has been filed in the Health Records Folder File or CHR. (NI-15-87-4, Item 13a)

- b. Non-veteran VA beneficiary x-rays.

Temporary; destroy 5 years after date of last exposure. (NI-15-87-4, Item 13b)

- c. VA employee x-rays showing no active disease, to include the original copy of the interpretation.

Temporary; retain as part of the Employee Medical Folder as defined in the Federal Personnel Manual (FPM), Chapter 293, Subpart # for instructions. (GRS 1, Items 21a and 21b)

- d. VA employee x-rays showing active disease.

Temporary; retain as part of the Employee Medical Folder as defined in the Federal Personnel Manual (FPM), Chapter 293, Subpart # for instructions. (GRS 1, Items 21a and 21b)

[NOTE: While Employee Medical Folders are transferred to the NPRC, Civilian Personnel Records Center, St. Louis, MO., oversized x-rays should not be transferred to the NPRC. Only X-rays that fit inside the Employee Medical Folder without folding will be accepted by the NPRC.]

- e. X-rays of non-VA beneficiaries who are not VA employees ("good Samaritan" cases).

Temporary; destroy when 1 year old. (NI-15-87-4, Item 13e)

- f. Veterans' "Interim" x-rays which were made by the military service during the former service member's active military service and which were subsequently transferred to VA custody.

Temporary; destroy 5 years after x-ray is transferred to VA custody. (NI-15-87-4, Item 13f)

- g. X-ray facsimile reproductions.

Temporary; destroy after purpose has been served. (NI-15-87-4, Item 13g)

- h. X-rays that are unserviceable, unidentifiable, or otherwise unsuitable for diagnostic purposes because of faulty exposure or processing, cloudiness, discoloration, breaking, general deterioration, or unclear name and/or number of the patient.

Temporary; destroy immediately. (NI-15-87-4, Item 13h)

- i. Copies of x-ray interpretations, which are filed, with the x-rays (Original interpretations are filed in the Health Records Folder File (or Consolidated Health Record).

Temporary; destroy when x-ray is destroyed. (NI-15-87-4, Item 13i)

#### **7200.7. X-ray Film File (Teaching).**

Exposed x-ray films of special interest and those having exceptional teaching value.

Temporary; destroy after 10 years and when no longer of value for teaching and educational purposes. (NI-15-87-4, Item 14)

#### **7200.8. X-ray Pathological Index File.**

Temporary; destroy when no longer of medical reference value or when card is replaced. (NI-15-87-4, Item 15)

#### **7200.9. X-ray Register File.**

Record of x-ray numbers assigned, films used and type of examinations.

Temporary; destroy 10 years after date of last entry in each bound volume. (II-NNA-1308, Item 8)

#### **7200.10. X-ray Film (Entrance and Separation).**

Army, Navy, and Air Force entrance and separation x-rays.

Temporary; after completion of patient's episode of care at the applicable VA health care facility, Army, Navy, and Air Force entrance and separation x-rays should be returned to the NPRC, St. Louis, MO. These x-rays will be disposed of when 65 years old and in accordance with Federal Property Management Regulations and with concurrence of VA on each disposal action. (NCI-15-82-4, Item 1)

#### **7200.11. Mammography X-ray.**

Temporary; destroy 10 years after date of last exposure and after a report has been filed in the patient's medical record folder. (N1-015-96-2)

### **7250**

#### **Nuclear Medicine Service**

##### **7250.1. Nuclear Scan Alphabetical Index File.**

An alphabetical cross index to nuclear scans, which are filed numerically by social security numbers; annotated to reflect removal from Nuclear Scan File - General, and placed in Teaching or Research and Cooperative Studies Files.

Temporary; destroy when scans to which they pertain are destroyed or after they have been transferred to the Nuclear Scan Teaching File. (N1-15-87-4, item 17)

**7250.2. Nuclear Scan Pathological Index File.**

Cards' indexing special interest scans, normal and abnormal, for medical reference purposes.

Temporary; destroy when no longer of medical reference value or when card is replaced. (NC1-15-76-23)

**7250.3. Nuclear Scan File****a. Teaching.**

Nuclear scans and copies of interpretations selected for teaching and educational purposes.

Temporary; destroy when no longer of value for teaching and educational purposes, providing the retention requirements of the Nuclear Scan File have been met. (N1-15-87-4 item 16b)

**b. General**

Nuclear scans and copies of interpretations maintained for treatment purposes and not being used for purposes of teaching, active research or corporation studies.

Temporary; destroy 5 years after date of latest scan, and after report has been filed in health records. (N1-15-87-4 item 16a)

**7250.4. Patient Therapy File.**

Records of course treatment, therapy summaries, and progress notes, therapeutic doses of radiopharmaceuticals received, and technical factors applied.

Temporary; destroy 10 years after last episode of treatment or follow-up care and after report has been filed in health records. (N1-15-87-4, item 19)

**7250.5. Nuclear Scan File - Research and Cooperative Studies.**

Nuclear scans and copies of interpretations selected for research and cooperative studies purposes.

Temporary; Return to Nuclear scan file (general 7250.3(b)) for appropriate disposition when purposes have been served or destroy immediately if file is more than 5 years from date of latest study in health record (N1-15-87-4 Item 16c)

**7250.6. Procedures for Safely Opening Package File.**

This file contains written procedures for safely opening packages in which radioactive material is received by VHA medical facilities (Title 10, Part 20, Sec. 20.1906).

Temporary; cutoff when the NHPP terminates permit. Destroy after cutoff. (N1-15-02-5, Item 1)

**7250.7. Records of Radiation Protection Programs.**

This file contains provisions of the program and audits and audits and other reviews of program content and implementation. (Title 10, Part 20, Sec. 20.2102)

a. Written provisions of the Radiation Protection Program.

Temporary; cutoff when NHPP terminates permit. Destroy after cutoff. (N1-15-02-5, Item 2a)

b. Audits and other reviews of program content and implementation.

Temporary; cutoff after completion of audit. Destroy 3 years after cutoff. (N1-15-02-5, Item 2b)

**7250.8. Results of Surveys and Calibrations.** (see note)

This file consists of results of surveys to determine the dose from external sources, results of measurements and calculations used to determine individual intakes of radioactive material, and records showing the results of air sampling, surveys, and bioassays. (Title 10, Part 20, Sec. 20.2103)

a. Results of surveys and calibrations.

Temporary; destroy 3 years after the record is made. (N1-15-02-5, Item 3a)

b. Results of surveys to determine the dose from external sources and used, in the absence of or in combination with individual monitoring data, in the assessment of individual dose equivalents.

Temporary; destroy after NHPP terminates permit. (N1-15-02-5, Item 3b)

c. Records of the results of measurements and calculations used to determine individual intakes of radioactive material and used in the assessment of internal dose.

Temporary; destroy after NHPP terminates permit. (N1-15-02-5, Item 3c)

- d. Records showing the results of air sampling, surveys, and bioassays.

Temporary; destroy after NHPP terminates permit. (N1-15-02-5, Item 3d)

[NOTE: Where appropriate, exposure records are filed with employee or patient records.]

#### **7250.9. Records of Lifetime Occupational Radiation Dose.**

Title 10, Part 20, Sec. 20.2104.

- a. Records of Lifetime Occupational Radiation Dose on NRC Form 4. This file contains a record of an individual's current and previously accumulated occupational dose. It includes a current NRC Form or equivalent.

Temporary; cutoff when NHPP terminates permit. Destroy 3 years after cutoff. (N1-15-02-5, Item 4a)

- b. Records Used in Preparing NRC Form 4. This file consists of records and reports of the cumulative radiation dose and other related reports of the individual's dose equivalent, which are used to prepare NRC Form 4.

Temporary; destroy 3 years after the record is made. (N1-15-02-5, Item 4b)

#### **7250.10. Records Relating to All Aspects of Planned Special Exposures.**

This file consists of records documenting the conduct of a planned special exposure. The records describe the exceptional circumstances requiring the use of a planned special exposure, the name of the management official who authorized the planned special exposure and a copy of the signed authorization, and other related records. (Title 10, Part 20, Sec. 20.2105)

Temporary; cutoff when NHPP terminates permit. (N1-15-02-5, Item 5)

#### **7250.11. Records of Individual Monitoring Results.**

This file consists of records of doses received by all individuals for whom monitoring was required. It includes records of doses received during planned special exposures,

accidents, and emergency conditions. (Title 10, Part 20, Sec. 20.2106)

Temporary; cutoff when NHPP terminates permit. Destroy after cutoff. (N1-15-02-5, Item 6)

[NOTE: Where appropriate, exposure records are filed with employee or patient records.]

#### **7250.12. Records Demonstrating Compliance with Title 10, CFR 20, Sec. 20.1301, Dose Limits for Individual Members of the Public.**

Temporary; cutoff when NHPP terminates permit. Destroy after cutoff. (N1-15-02-5, Item 7)

#### **7250.13. Records of Waste Disposal.**

This file consists of records of the disposal of certain radioactive waste materials. (Title 10, Part 20, Sec. 20.2108)

Temporary; cutoff when NHPP terminates permit. Destroy after cutoff. (N1-15-02-5, Item 8)

#### **7250.14. Manifest and Acknowledgement of Receipt for Transferred Waste.**

This file consists of the manifest and other records used to track the transfer and disposal of radioactive waste. (Title 10, Part 20, Sec. 26.2006, and Appendix G)

Temporary; cutoff after waste material has been transferred or disposed. Destroy 3 years after cutoff. (N1-15-02-5, Item 9)

#### **7250.15. Records of molybdenum-99, strontium-82, and strontium-85 Concentrations.**

- a. Records of Molybdenum-99/Technetium-99m Generators. Each permittee preparing technetium-99m radiopharmaceuticals from molybdenum-99/technetium-99m generators is required to test the generator eluates for molybdenum-99. This file contains the results of the tests. For each measured elution of technetium-99m, the record must include the ratio of the measures expressed as kilobecquerel of molybdenum-99 per megabecquerel of technetium-99m (or microcuries of molybdenum per millicurie of technetium), the time and date of the measurement, and the name of the individual who made the measurement. (Title 10, Part 35, Sec. 35.2204)

Temporary; cutoff after date of test. Destroy 3 years after cutoff (N1-15-02-5, Item 10a)

- b. Records of Strontium-82/Rubidium-82 Generators.  
Each permittee preparing rubidium-82 radiopharmaceuticals from strontium-82/rubidium-82 generators is required to test the generator eluates for strontium-82 and strontium-85. This file contains the results of the tests. For each measured elution of rubidium-82, the record must include the ratio of the measures expressed as kilobecquerel of strontium-82 per megabecquerel of rubidium-82 (or micro curies of strontium-82 per millicurie of rubidium), kilobecquerel of strontium-85 per megabecquerel of rubidium-82 (or micro curies of strontium-85 per millicurie of rubidium), the time and date of the measurement, and the name of the individual who made the measurement. (Title 10, Part 35, Sec. 35.2204)

Temporary; cutoff after date of test. Destroy 3 years after cutoff (N1-15-02-5, Item 10b)

#### **7250.16. Records of Import to Safe and Effective Decommissioning.**

This file consists of records concerning the decommissioning of a facility as a result of spills or other unusual occurrences involving the spread of contamination in and around the facility or site, as-built drawings and modifications of structures and equipment, etc. Except for specific circumstances, this file includes a list of restricted areas and a list of areas outside of the restricted areas. (Title 10, Part 30, Sec. 30.35)

Temporary; destroy after NHPP terminates permit. (N1-15-02-5, Item 11)

#### **7250.17. Records of Receipt, Transfer, and Disposal.**

This file consists of records showing the receipt, transfer, and disposal of byproduct materials (Title 10, Part 30, Sec. 30.51)

- a. Receipt Records.

Temporary; cutoff after material has been disposed of. Destroy 3 years after cutoff. (N1-15-02-5, Item 12a)

- b. Transfer Records.

Temporary; cutoff after material has been transferred. Destroy 3 years after cutoff. Retain for 3 years after transfer unless specific requirement in Title 10, Chapter 1, NRC, dictates otherwise. (N1-15-02-5, Item 12b)

- c. Disposal Records.

Temporary; destroy after the NHPP terminates permit. (N1-15-02-5, Item 12c)

#### **7250.18. Statements of Authority and Responsibilities File.**

This file consists of written authorities, duties, responsibilities, and radiation safety activities of the Radiation Safety Officer and the Radiation Safety Committee. (Title 10, Part 35, Sec. 35.24 and 35.2024)

- a. Authority and Responsibilities for the Radiation Protection Program.

Temporary; retain records of actions taken by management per 10 CFR 35.24(a) for 5 years. (N1-15-02-5, Item 15a)

- b. Copies of authority, duties, and responsibilities of the Radiation Safety Officer as required by §35.24(e), and a signed copy of each Radiation Safety Officer's agreement to be responsible for implementing the radiation safety program, as required by §35.24(b), for the duration of the permit.

Temporary; destroy after these time periods. Destroy after NHPP terminates license. (N1-15-02-5, Item 15b)

#### **7250.19. Letter of Authorization for Mobile Nuclear Medicine Service File.**

This file consists of letters signed by the management of each client for which services are rendered that authorizes use of byproduct material at the client's address. (Title 10, Part 35 Sec.35.80 and 35.2080)

Temporary; destroy 3 years after the last service is made. (N1-15-02-5, Item 17)

#### **7250.20. Records of Changes to Radiation Protection Program.**

This file consists of minor changes in radiation safety procedures that are not potentially important to safety, i.e., ministerial changes that were described in the application for license, renewal, or amendment. For example, editing of procedures for clarity or conformance with local drafting policy or updating names, telephone numbers, etc. (Title 10, Part 35, Sec. 35.26 and 35.2026)

Temporary; cutoff records based on date created. Destroy 5 years after cutoff. (N1-15-02-5, Item 18)



**7250.21. Written Directives.**

This file consists of written directives for any diagnostic or therapeutic procedure for the administration of the radiopharmaceutical dose; the brachytherapy dose, the gamma stereotactic radiosurgery dose, or the next teletherapy fractional dose. (Title 10, Part 35, Sec. 35.40 and 35.2040)

Temporary; cutoff records based on date created. Destroy 3 years after cutoff. (N1-15-02-5, Item 21)

**7250.22. Records of Medical Events.**

This file consists of a written report that includes the licensee's name; the prescribing physician's name; a brief description of the event; why the event occurred; the effect on the individual who received the misadministration; what improvements are needed to prevent recurrence; actions taken to prevent recurrence; whether the licensee notified the individual (or the individual's responsible relative or guardian), and if not, why not; and if there was notification, what information was provided in the notification. (Title 10, Part 35, Sec. 35.3045)

Temporary; cutoff records based on date created. Destroy 3 years after cutoff. (N1-15-02-5, Item 23)

**7250.23. Records of Calibrations of Instruments Used to Measure the Activity of Unsealed Byproduct Material.**

Title 10, Part 35, Sections 35.60 and 35.2060.

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 24)

**7250.24. Records of Survey Instrument Calibration.**

This file consists of records that document the calibration procedure. It includes the date of the calibration, and the name of the individual who performed the calibration. (Title 10, Part 35, Sec. 35.61 and 35.2061)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 25)

**7250.25. Records of Measurement of Radiopharmaceutical Dosages.**

This file consists of records to document the measurement of radiopharmaceutical dosages. The records contain the radiopharmaceutical, patient's or human research subject's name, and prescribed dosage and activity of the dosage at the time of measurement, and the name of the individual who made the record. (Title 10, Part 35, Sec. 35.2063)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 27)

**7250.26. Records of Leak Tests on Brachytherapy Sources.**

The records contain the model number and serial number (if assigned), of each source tested, the identity of each source radionuclide and its estimated activity, the measure of activity of each test sample, a description of the method used to measure each test sample, the date of the test, and the signature of the Radiation safety Officer. (Title 10, Part 35, Sec. 35.2067)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 28)

**7250.27. Records of Leak Tests and Physical Inventory of Sealed Sources.**

This file consists of records used to document the semiannual leak tests and physical inventory of sealed sources. The records include the model number of each source, and serial number if one has been assigned, the identity of each source and its nominal activity, the location of each source, the result of the leak test, the date of the leak test, and the name of the individual who performed the inventory or leak test (Title 10, Part 35, Sec. 35.67 and 35.2067)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 29)

**7250.28. Records of Ambient Exposure Rates.**

This file consists of records of measurements of ambient exposure rates at the end of each day of use in all areas where unsealed byproduct material requiring a written directive was prepared for use or administered. The records include the date of the survey, the results of the survey, the survey instrument used, and the name of the individual who performed the survey. (Title 10, Part 35, Sec. 35.70 and 35.2070)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 30)

**7250.29. Records of Release of Patients to the Public.**

This file consists of documents authorizing the release of an individual who has been administered radiopharmaceuticals or permanent implants containing radioactive material. (Title 10, Part 35, Sec. 35.2075)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 34)

#### **7250.30. Records of Mobile Nuclear Medicine Services.**

This file consists of the radiation detection survey of mobile nuclear medicine radiopharmaceutical areas. The survey includes the date of the survey, a plan of each area that was surveyed, the measured dose rate, the instrument used to make the survey, and the initials of the individual who performed the survey. (Title 10, Part 35, Sec. 35.2080(b))

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 35)

#### **7250.31. Records of Each Disposal of Byproduct Material as Ordinary Trash.**

This file consists of records of disposal. It includes the date of the disposal, the date on which the byproduct material was placed in storage, the radionuclides disposed, the survey instrument used, the background dose rate, the dose rate measured at the surface of each waste container, and the name of the individual who performed the disposal. (Title 10, Part 35, Sec. 35.2092)

Temporary; cutoff after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 36)

#### **7250.32. Lists of Individuals Receiving Radiation Safety Training.**

This file consists of lists of individuals who have received radiation safety instructions or other related training. It includes a description of the instruction, the date of instruction, and the name of the individual who gave the instruction. (Title 10, Part 35, Sec. 35.2310)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 40)

#### **7250.33. Records of Dosages of Unsealed Byproduct Material for Medical Use.**

Title 10, Part 35, Sec. 35.2063.

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 41)

#### **7250.34. Records of Patients Surveys Following Source Removal.**

This file consists of the radiation survey to confirm that all sources have been removed from the patient or the human

research subject. It includes the date of the survey, the name of the patient or the human research subject, the dose rate from the patient or the human research subject, the survey instrument used, and the initials of the individual who made the survey. (Title 10, Part 35, Sec. 35.2404)

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 43)

#### **7250.35. Records of Brachytherapy Source Accountability.**

Title 10, Part 35, Sec. 35.2406.

Temporary; cutoff records after date of test. Destroy 3 years after cutoff. (N1-15-02-5, Item 44)

#### **7250.36. Records of Calibration, Inter-Comparison of Dosimetry Equipment.**

This file consists of records to document calibration, intercomparison, and comparison of the dosimetry system. It includes the date, the model numbers and serial numbers of the instruments that were calibrated, intercompared, compared, the correction factor that was determined from the calibration or comparison or the apparent correction factor that was determined from an intercomparison, the names of the individuals who performed the calibration, intercomparison, or comparison, and evidence that the intercomparison meeting was sanctioned by a calibration laboratory or radiologic physics center accredited by the American Association of Physicists in Medicine. (Title 10, Part 35, Sec. 35.2630)

Temporary; destroy after the NHPP terminates the permit. (N1-15-02-5, Item 50)

#### **7250.37. Records of Installation, Maintenance, Adjustment, and Repair of Remote After Loader Units.**

This file contains records of the installation, maintenance, adjustment, and repair of remote after loader units. For each installation, maintenance, adjustment and repair, the record must include the date, description of the service, and name(s) of the individual(s) who performed the work (Title 10, Part 35, Sec. 35.2605)

Temporary; cutoff records after date of action. Destroy 3 years after cutoff. (N1-15-02-5, Item 53)

#### **7250.38. Records of Current Training for Each Hazmat Employee.**

This file consists of training records of Hazmat employees. It includes records related to general awareness and

familiarization training, function-specific training, safety training, and other related training. It includes the hazmat employee's name, the most recent training completion date of the hazmat employee's training, a description, copy, or the location of the training materials used, the name and address of the person providing the training, and certification that the hazmat employee has been trained. (Title 49, Part 172, Sec. 172.704)

Temporary; cutoff after date of training. Destroy 3 years after cutoff and retraining is completed or 3 years after employment is terminated.

#### **7400**

##### **Pharmacy Service**

###### **7400.1. Federal Supply Schedule File.**

Informational copies of VA Supply Schedules filed numerically by class to include amendments, changes, price lists, etc.

Temporary; destroy 3 months after expiration or cancellation of contract. (II-NN-3270)

###### **7400.2. Decentralized Contracts File.**

Informational copies of drug contract with each individual firm, changes, amendments, price lists, etc.

Temporary; destroy 3 months after expiration or cancellation of contract. (II-NN-3270)

###### **7400.3. Purchase Order File.**

Informational copies of purchase orders received from Supply Service on drugs ordered directly from contractors.

Temporary; destroy 2 years after date of order. (II-NN-3270)

###### **7400.4. Controlled Substance II Order File.**

Temporary; destroy after 3 years. (NN-167-175)

###### **7400.5. Schedule II and Schedule III Narcotics and Alcohol Register.**

Temporary; destroy after 3 years. (NN-166-175)

###### **7400.6. Excess Alcohol and Narcotics File.**

Alcohol and narcotic orders (turn-in-slip), requests, turn-in and/or receipt for property and services.

Temporary; destroy after 3 years. (NN-166-175)

###### **7400.7. Formula Cards File.**

Manufacturing formula and record card.

Temporary; destroy when replaced by new formula or after becoming obsolete. (II-NN-3270)

###### **7400.8. Inventory File.**

Records indicating items on hand by name, number of units of each item, price per unit, and total inventory value.

Temporary; destroy after 3 years. (II-NN-3270)

###### **7400.9. Investigational Drug File.**

Records indicating the name of new drugs being investigated, manufacturer or other source, amount and date received, expiration date, if any lot or control number, date of authority to use, serial number, date of prescription dispensed, name of prescribing physician or dentist and related material.

Temporary; destroy 3 years after investigation is completed. (NN-166-175)

###### **7400.10. Pharmacy Order File.**

Temporary; destroy after 3 years. (NN-166-175)

###### **7400.11. Prescription File.**

Temporary; destroy after 3 years. (NN-166-175)

###### **7400.12. Standardization Recommendations File.**

Recommendations for standardization of new drugs request, turn-in and/or receipt for property and services.

Temporary; destroy after 6 months or after drug is standardized. (II-NN-3270)

###### **7400.13. Stock Locator Index File.**

Records indicating location of drugs in Pharmacy.

Temporary; destroy when drug is discontinued in stock. (II-NN-3270)

**7400.14. Stock Record Card File.**

Records on unposted drugs ordered and received indicating amount, price, purchase order number, and contractor.

Temporary; destroy when drug is discontinued in stock. (II-NN-3270)

**7500****Nutrition and Food Service****7500.1. Receipt File.**

Field service receipts or equivalent and related material.

Temporary; destroy after close of fiscal year involved. (II-NN-3352)

**7500.2. Cost Accounting File.**

Source documents for dietetic cost accounting of subsistence items including all necessary cost control records to ensure that all transactions affecting the fiscal account are accurately represented in the procedures.

Temporary; destroy after 6 months and when no longer required for reconciliation or informational purposes. (II-NN-3352)

**7500.3. Cost Analyses File.**

Food cost analyses, i.e., analysis of price trends, usage studies, selected food items and any other analytical food cost studies.

Temporary; destroy after 3 fiscal years or when no longer of current value. (II-NN-3352)

**7500.4. Meal Ticket File (Patient).**

Patient meal ticket or equivalent.

Temporary; destroy upon change of diet or discharge of patient. (II-NN-3352)

**7500.5. Meat Ticket File (Employee).**

Employee subsistence passes (full and partial), individual meal authorizations and related material.

Temporary; destroy 30 days after close of issue period and after required reports have been prepared. (II-NN-3352)

**7500.6. Meal Control File.**

Meal control records of meals served (patient, employee, guest, etc.) and costs and related material.

Temporary; destroy after 1 year. (II-NN-3352)

**7500.7. Diet File.**

Records of various diets, i.e., regular, bland, high protein, special, daily routine, etc., and related material.

Temporary; destroy when obsolete or when no longer of value for reference. (II-NN-3352)

**7500.8. Diet Prescription File.**

Diet and equivalent orders issued by physicians.

Temporary; destroy when changed or after patient discharged. (II-NN-3352)

**7500.9. Menu File.**

Menu records and related material issued daily, weekly, routinely, selectively, etc.

Temporary; destroy extra copies after purpose has been served. Dispose of yearly sets after close of next succeeding year. (II-NN-3352)

**7500.10. Recipe File.**

Recipes of all types and kinds; standard, tested, etc., and related materials.

Temporary; destroy when obsolete or when no longer practical for use. (II-NN-3352)

**7500.11. Patient Education File.**

Dietetic training material for patients, diet instructions, diet lists, special instructions for individuals and groups of patients.

Temporary; destroy when obsolete or no longer of training value. (II-NN-3352)

**7600****Recreation Therapy Service****7600.1. Activity Worksheet File.**

Records indicating recreation therapy and activity assignments, number of patients attending activities,

determining monthly activities, number of volunteer workers for the month and related material.

Nonrecord; destroy after 30 days.

#### **7600.2. Clearance Record File.**

Record of clearance for recreation therapy and recreation activities from staff physicians for patient participation.

Nonrecord; destroy after patient is discharged.

#### **7600.3. Equipment Charge-Out File.**

Record of equipment charged out to patients during period of hospitalization.

Nonrecord; destroy when equipment is returned.

#### **7600.4. Patient Record Card File.**

Cards indicating current patient recreation therapy load.

Nonrecord; destroy after patient is discharged.

#### **7600.5. Volunteer Workers Record File.**

Volunteer worker information card.

Temporary; destroy after information has been transferred to volunteer record of continuing service in VAVS. (II-NN-3270)

### **7700**

#### **Prosthetic and Sensory Aids Service**

##### **7700.1. Commercial Source Folder File.**

Copies of invoices filed chronologically by date.

Temporary; destroy after 2 calendar years. (NN-170-65)

##### **7700.2. Record of Prosthetics Service File.**

Record of Prosthetics Services.

Temporary; destroy 90 days after termination or death of beneficiary. Destroy inactive files after one continuous year of inactivity. (NN-170-65)

[NOTE: excluding those filed in the outpatient treatment folder.]

##### **7700.3. Orthopedic and Prosthetics Appliance Clinic Team Folder File.**

Clinic notes, consultation sheets, copies of clinical record, prescription and rating sheet (artificial limbs), narrative report and related material.

Temporary; destroy 90 days after eligibility is terminated or beneficiary is deceased (originals are filed in the patient's Health Records Folder). (NN-170-65)

##### **7700.4. National Prosthetic Patient Database (NPPD) and Related Records.**

NPPD and related records, hardcopy and electronic, document information on veterans who have received prosthetic, orthotic, sensory aids, and rehabilitative and home medical equipment.

###### **a. Master File.**

Temporary; cutoff at the end of fiscal year in which prosthetic procedure was concluded. Delete 3 years after cutoff. (N1-15-01-4, 11/17/03, Item 1)

###### **b. Backup File.**

Temporary; delete when the identical NPPD master file has been deleted or replaced by a subsequent backup file. (N1-15-01-4, 11/17/03, Item 2)

###### **c. Input Records.**

Temporary; destroy after data have been entered into NPPD master file. (N1-15-01-4, 11/17/03, Item 3)

###### **d. Output Records.**

Temporary; destroy when the program official determines that they are no longer needed for administrative, legal, audit, or operational purposes. (N1-15-01-4, 11/17/03, Item 4)

###### **e. Documentation.**

Temporary; destroy or delete when replaced or superseded. (N1-15-01-4, 11/17/03, Item 5)

###### **f. Electronic Mail and Word Processing Applications.**

- (1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or

network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Temporary; delete within 180 days after the recordkeeping copy has been produced. (N1-15-01-4, 11/17/03, Item 6a)

- (2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary; delete when dissemination, revision, or updating is complete. (N1-15-01-4, 11/17/03, Item 6b)

#### **7700.5. Home Improvement Structural Alterations (HISA).**

HISA claim documentation such as floor plans, vendor price estimates, pictures, authorization forms, home inspections, purchase orders, etc. Records are used to monitor HISA grants.

- a. Paper Files. Records used to create and update the electronic files.

Temporary; destroy 6 years, 3 months after the creation date of the purchase order or 6 years, 3 months after the last entry in file. (N1-15-10-4, Item 1a)

- b. Electronic Files. Electronic records located on shared network drives or the local Vista computer system.

Temporary; destroy 6 years, 3 months after the creation date of the purchase order or 6 years, 3 months after the last entry in file. (N1-15-10-4, Item 1b)

#### **7700.6. Automobile Adaptive Equipment (AAE).**

AAE applications, copies of driver's licenses, vehicle registration, vendor estimates, invoices, authorization letters, etc.

Temporary; destroy 6 years, 3 months after payment of the AAE benefit. (N1-15-10-4, Item 2)

#### **7700.7. Home Respiratory Care.**

Copies of oxygen prescriptions, patient education, vendor estimates and vendor respiratory reports.

Temporary; destroy 3 months after patient is discharged from the home respiratory care program or 3 months after the last entry in file. (N1-15-10-4, Item 3)

#### **7700.8. Prosthetic (Amputee).**

Copies of artificial limb prescriptions, Amputee Clinic notes, vendor estimates, authorization letters, purchase orders, etc.

Temporary; destroy 3 months after the last entry in file. (N1-15-10-4, Item 4)

### **7760**

#### **Audiology and Speech Pathology Services**

##### **7760.1. Hearing Aid Loaner File.**

Present hearing aid stock replacement records, loaner aid records by manufacturer and model.

Temporary; destroy after 1 calendar year. (NCI-15-84-14)

##### **7760.2. Hearing Aid Battery Records.**

Dates of requests and receipt of batteries by battery type.

Temporary; destroy after 1 calendar year. (NCI-15-84-14)

##### **7760.3. Equipment Charge-Out File.**

Records of equipment charged out to veterans by dates. Card file maintained by type of equipment.

Temporary; destroy after equipment is returned. (NCI-15-84-14)

##### **7760.4. Clinical Appointment Schedule.**

Daily record of appointment for both Audiology and speech pathology patients.

**Superseded;** series 6000, item 2 Electronic Health Records (EHR) maintains daily appointment schedule for each patient.

##### **7760.5. Hearing Aid Inventory File.**

Complete record of semi-annual hearing aid inventories.

Temporary; destroy after 1 calendar year. (NCI-15-84-14)

**7760.6. Clinical Audiology and Speech Pathology Folder File.**

Case histories, evaluations, recording sheets, reports, treatment and progress and related material properly filed therein. Alphabetically separated into Audiology and Speech, Pathology.

Temporary; destroy after 5 years and after basic have been transferred to the Audiology Accumulative Record File and a summary of the treatment has been filed in the patient's health records folder file. (NCI-15-84-14)

**7760.7. Audiology Accumulative Record File.**

Evaluation results for rating examinations. Alphabetically.

Temporary; destroy after 9 years. (NCI-15-84-14)

**7800****Occupational Health Programs****7800.1. Automated Safety Incident Surveillance and Tracking System (ASISTS).**

The automated Safety Surveillance and Tracking System (ASISTS) is an electronic recordkeeping system used to capture and store VHA employee information pertaining to occupational injuries and illnesses. The system allows occupational health and safety professionals to track employee work-related accidents and includes, including needle stick injuries and cut/lacerations from sharp objects that are contaminated with another person's blood or other potentially infectious material. ASISTS captures and stores specific information on current and former employees, trainees, contractors, contract personnel, maintenance personnel, other individuals who have reported an occupational illness or injury. Information entered into the system consists of name, date of birth, age, sex, social security number, taxpayer identification number, home and or mailing address, home phone number, emergency contact information such as name, address, telephone number and relationship. Employee work-related injuries and illnesses (cause, severity, type of injury, body part affected). Other information related to environmental conditions and epidemiological incidences may be captured electronically or maintained as part of a paper records.

- a. Master Files (National Database). This database contains aggregate data on individuals who have reported an occupational illness or injury.

Temporary; cutoff at the end of calendar year. Destroy or delete 6 years after cutoff. (N1-15-05-3, item 1)

- b. Local Files. This file contains facility specific data on individuals who have reported an occupational illness or injury.

Temporary; cutoff at end of calendar year. Destroy or delete 6 years after cutoff. (N1-15-05-3, item 2)

- c. Office of Public Health and Environmental Hazards Files. This file consists of duplicate data extracted from the master file.

Temporary; destroy or delete when no longer needed for administrative or other operational purposes. . (N1-15-05-3, item 3)

- d. Backup Files. This file consists of duplicate data created for backup purposes.

Temporary; delete when the master files have been deleted or replaced by a subsequent backup file. (N1-15-05-3, Item 4)

- e. Input Source Records.

Temporary; delete after information has been entered into the local or master files and are no longer needed to support those files. (N1-15-05-3, Item 5)

- f. Output Records. Printouts, reports, etc, that are produced from the system.

Temporary; delete when no longer needed for administrative, legal, audit, or other operational purposes. (N1-15-05-3, Item 6)

- g. Documentation. Documentation includes data dictionaries, field layouts, data entry instructions, and other manuals in paper and electronic form.

Temporary; destroy/delete when superseded or obsolete. (N1-15-05-3, Item 7)

**7800.2. Word Processing and Electronic Records.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records. Includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other

directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Temporary; destroy/delete within 180 days after the recordkeeping copy has been produced. (N1-15-05-3, item 8a)

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (N1-15-05-3, item 8b)

Temporary; destroy/delete when dissemination, revision, or updating is completed.

#### **7800.3. Occupational Health Recordkeeping System (OHRs).**

This file consists of occupational and health histories, physical examinations, laboratory tests, imaging studies, and other diagnostic tests and clinical records pertaining to VA employees.

[NOTE: SF-115 submitted to NARA.]

#### **7800.4. Environment of Care (EOC) Master File/Database EOC Assessment and Compliance Tool.**

The EOC master file/database contains all the information/data from each facility's EOC Assessment and Compliance Tool. The master file/database records are in electronic format and stored on VA servers at the Austin Information Technology Center (AITC).

Temporary; cutoff at the end of the calendar year. Destroy 10 years after moved to the master file/database. (DAA-0015-2014-0002)



## CHAPTER 8

### OFFICE OF RESEARCH AND DEVELOPMENT

#### 8000-8999

**The Veterans Health Administration's (VHA) research program is an intramural program administered by the VHA Office of Research and**

**Development (ORD) and conducted at Veterans Administration (VA) medical facilities nationwide under the authority of Title 38 United States Code (U.S.C), 7303. Federal records and copies of working documents are produced within ORD and by all VA medical facilities conducting research. These records relate to the administration of the research programs and the conduct of research.**

#### 8000

##### General Program Records

This section covers records relating to ORD's general administration and operation of VA's intramural research programs and the conduct of research.

##### **8000.1. ORD Subject Files.**

Records generated by ORD related to management functions of organizational planning and structure, general policy and program matters, and informal discussions with Veterans Affairs (VA) officials on issues of concern or special interest. These records contain information on programs, activities, protocols, operations, budgets, position statements and related subject areas.

Temporary; cutoff at the end of the fiscal year after final action. Destroy no sooner than 3 years but no later than 6 years after cutoff. (DAA-0015-2015-0004, item 0001)

##### **8000.2. Program Management Files.**

Records generated by ORD services and programs in the course of ongoing program operations that are not covered elsewhere in the VHA Records Control Schedule. These files relate to program scope and responsibilities; program reviews and evaluations; extra-agency partnerships; scientific achievement award programs; infrastructure support activities; balancing research portfolios and budgets; establishing review boards; conducting staff meetings; and other program management activities.

[NOTE: Excluded are general administrative and routine housekeeping records, which are covered under the General Records Schedule and issued by NARA.]

Temporary; cutoff at the end of the fiscal year after final action. Destroy no sooner than 3 years but no later than 6 years after cutoff. (DAA-0015-2015-0004, item 0002)

##### **8000.3. Congressional Relations Files.**

Official reports prepared by ORD for transmittal to members of Congress, Congressional Committees, or Congressional Staff.

**PERMANENT**: cutoff at the end of the fiscal year after the material is presented to Congress. Transfer to NARA in 10 year blocks when youngest record is 20 years old. (DAA-0015-2015-0004, item 0003)

[NOTE: Transfer electronic records to the NARA for pre-accessioning 10 year(s) after cutoff Transfer to the NARA for accessioning.]

##### **8000.4. Briefing Records.**

Materials prepared by ORD for the Under Secretary for Health, the Secretary of Veterans Affairs, or other VA officials to describe issues of concern or special interest, including materials for face-to-face briefings, presentations, activity reports, and issue briefs.

**PERMANENT**: cutoff at the end of the fiscal year after the material is presented to the Under Secretary of Veterans Affairs or other VA officials. Transfer to NARA in 10 year blocks 20 year(s) after youngest record closes. (DAA-0015-2015-0004, item 0004)

[NOTE: Transfer electronic records to the NARA for pre-accessioning 10 year(s) after cutoff.]

##### **8000.5. Field Correspondence Files.**

Records documenting inquiries from medical field facility research offices, such as formal guidance related to interpretation of policy, required waivers for specific types of research and from specific policy requirements, review of policies or procedures being implemented by facilities, reports from the field on compliance matters that are duplicative of reports received by the Office of Research Oversight (ORO), and related matters.

Temporary; cutoff at the end of the fiscal year when superseded or obsolete. Destroy 1 year(s) after cutoff or when no longer needed for administrative or reference purposes. (DAA-0015-2015-0004, item 0005)

**8000.6. Education, Training and Outreach Files.**

Materials developed by ORD to provide education, training, and information to specific audiences or the general public concerning ORD's areas of responsibility.

Temporary; cutoff at the end of the fiscal year when superseded or obsolete. Destroy 1 year(s) after cutoff or when no longer needed for administrative or reference purposes. (DAA-0015-2015-0004, item 0006)

**8050****Technology Transfer**

**This section covers records relating to ORD's implementation and administration of the Federal Technology Transfer Act of 1986. ORD is responsible for translating the results of worthy discoveries made by employees of VA into practice.**

**8050.1. Invention Disclosure Case Files.**

Case files include a description of the invention, circumstances surrounding the invention, a certification form describing the use of Federal resources and related correspondence.

- a. Invention disclosure for which a patent application was filed and issued.

Temporary; cutoff at the end of the fiscal year upon expiration of the patent. Destroy 2 year(s) after cutoff. (DAA-0015-2015-0004, item 0007)

- b. Invention disclosure for which no patent application was filed or no patent issued.

Temporary; cutoff at the end of the fiscal year upon expiration of the disclosure. Destroy 25 year(s) after cutoff. (DAA-0015-2015-0004, item 0008)

**8050.2. Patent Case Files.**

Case files related to the application of a patent, patent prosecution, patent defense and patent infringement.

Temporary; cutoff at the end of the fiscal year upon expiration or abandonment of the patent. Destroy 5 year(s) after all patents in that patent family expire. (DAA-0015-2015-0004, item 0009)

**8050.3. Cooperative Agreement Files.**

Agreements that address the management of jointly owned inventions, such as Cooperative Technology

Administration Agreements and Inter-institutional Agreements, and related correspondence.

Temporary; cutoff at the end of the fiscal year after final action. Destroy 2 year(s) after cutoff. (DAA-0015-2015-0004, item 0012)

**8050.4. VA Confidential Disclosure Agreements.**

These records consist of documents that address VA providing confidential information to another entity or receiving confidential information from another entity.

Temporary; cutoff at the end of the fiscal year upon expiration of the agreement. Destroy 5 year(s) after cutoff. (DAA-0015-2015-0004, item 0011)

**8050.5. Technology Transfer Agreements.**

Agreements that transfer rights to intellectual property and/or materials to or from VA and to or from third parties, such as license agreements, material transfer agreements, government use licenses and related agreements.

Temporary; cutoff at the end of the fiscal year when the terms of the agreement expire. Destroy 2 year(s) after cutoff. (DAA-0015-2015-0004, item 0012)

**8050.6. License Transmittal Files.**

Transmittals related to licenses including annual reports due under the license, royalty payments to VA, royalty distributions by VA to inventors and others, and all other correspondence connected to licenses.

Temporary; cutoff at the end of the fiscal year after final action. Destroy 2 year(s) after cutoff. (DAA-0015-2015-0004, item 0013)

**8100****Non Profit Research and Education Corporations (NPC)**

**This section covers records relating to ORD's oversight and guidance of Non Profit Research and Education Corporations (NPC) established at VA medical centers. NPCs exist to provide VA medical centers with flexible funding mechanisms to support VA's research program. This funding mechanism is other than those funds received by VA from VA's Congressional appropriation. NPCs associated with the VA are non-government entities created pursuant to title 38 U.S.C. 7361-7366. NPC business records are not subject to disclosure under the Freedom of Information Act (FOIA).**

**8100.1. Annual Reports from NPCs.**

NPCs are required to submit an annual report that details their operations, activities and accomplishments during the previous year. The annual report consists of, but is not limited to, signed certification, independent auditor's report, audited financial statements, IRS Form 990 or 990EZ with schedules, and related revenue and expense information.

Temporary; cutoff at the end of the fiscal year when all annual reports are received from NPCs. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0014)

**8100.2. Audit Case Files.**

Files related to the audit of NPCs by independent auditors and government auditors to ensure internal controls are in place to protect its assets and operate in compliance with all applicable laws and regulations. Records include, but are not limited to, a final review report; on- and off- site reviews; questionnaires; reviews of board minutes, annual reports and any corrective action plans submitted by NPCs; documentation of reportable or significant adverse events; and related correspondence

Temporary; cutoff at the end of the fiscal year when report is completed. 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0015)

**8150****Intramural Research Funding**

**This section covers records relating to ORD's administration and management of VA appropriated funds to promote research, ensure adequate resources, and support other research-related activities connected to VA research programs that benefit Veterans. All requests for research-related awards are submitted by VA facilities to ORD for funding consideration.**

**8150.1. Requests or Solicitations for Research.**

Documents developed by ORD to request proposals or solicitations for scientific research and related program components.

Temporary; cutoff at the end of the fiscal year when the request or solicitation is superseded, obsolete, or withdrawn. Destroy 5 year(s) after cutoff. . (DAA-0015-2015-0004, item 0016)

**8150.2. Approved or Funded Case Files.**

All proposals, applications or nominations submitted by VA facilities that are approved and funded. Records

include, but are not limited to, the original submission with funding requirement; recommendation by the Merit Review Board; approved plans and protocols; clearances and authorizations; progress reports and project modifications; committee reports and site visit reports; and related correspondence and documents as applicable to each funding program.

[NOTE: This schedule superseded the authority of NCI-15-82-7, Item No. 12 A-1]

Temporary; cutoff at the end of the fiscal year the proposed research project is completed. Destroy 6 years after cutoff, may retain longer if necessary. (DAA-0015-2015-0004, item 0017)

**8150.3. Not Approved, Withdrawn or Appealed Case Files.**

All proposals, applications or nominations submitted by VA facilities not approved for funding, withdrawn, or funding decision appealed. Records include, but are not limited to, the original submission, supporting documents, recommendation by the Merit Review Board, evaluation and decision connected to an appeal, and related correspondence with the VA facility.

Temporary; cutoff at the end of the fiscal year after final decision or action. Destroy no sooner than 3 years but no later than 5 years after cutoff. (DAA-0015-2015-0004, item 0018)

**8150.4. Merit Review Federal Advisory Committee Act (FACA) Committee Files.**

Records related to advisory committees established by agency authority and subject to the FACA that engage in scientific peer review of VA research-related activities. Records include, but are not limited to, Federal Register Notices, original and renewed committee charters, nomination packages, conflict of interest statements, membership rosters, meeting agendas and minutes, certificates of appreciation, and related documents. These records are maintained by the individual service areas and programs in ORD.

Temporary; cutoff at the end of the fiscal year when the original, renewed or amended committee charter expires. Destroy 10 year(s) after cutoff. (DAA-0015-2015-0004, item 0019)

[NOTE 1: For advisory committees subject to FACA that do not engage in scientific peer review, please refer to the General Records Schedule issued by NARA.]

[NOTE 2: Request an exception to GRS 26 for the permanent portion of the FACA records.]

### **8200**

#### **VA Central Institutional Review Board (IRB) and VA Central Office (VACO) Human Research Protection Program (HRPP)**

**This section covers records relating to VA's adoption and implementation of the Federal Policy (Common Rule) for the Protection of Human Subjects (1991) that requires assurances and IRB approval of human subjects research conducted**

**by VA to protect the rights and welfare of human research subjects. ORD is responsible for the review, management and oversight of the VA Central IRB and Human Research Protection Program (HRPP) for VA Central Office.**

##### **8200.1. VA Central IRB Protocol Files.**

Files related to the review and oversight of human subjects research protocols submitted by VA investigators to the VA Central IRB. Records include, but are not limited to, the application to the VA Central IRB; research protocol and amendments; case report forms; informed consent template and HIPAA Authorization template; reports of adverse events, complaints and deviations from IRB-approved protocol; data and safety monitoring reports; research findings to date; and all relevant documents and related correspondence between the VA Central IRB and the investigators in the review of an associated protocol.

##### **a. Protocols Approved by VA Central IRB.**

Temporary; cutoff at the end of the fiscal year after the research project has been completed or terminated. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0020)

##### **b. Protocols Disapproved by VA Central IRB or Withdrawn by the Investigator.**

Temporary; cutoff at the end of the fiscal year after the research project has been disapproved or withdrawn. Destroy 3 year(s) after cutoff. (DAA-0015-2015-0004, item 0021)

##### **8200.2. VA Central IRB Operating Files.**

Files related to the ongoing operations of the VA Central IRB.

##### **a. Implementation Records.**

Records include, but are not limited to, agreements by VA facilities to use the VA Central IRB as the IRB of record; standard operating procedures, policies and educational materials; documents assessing the effectiveness of the IRB and compliance with all regulatory requirements; and related correspondence not specific to an individual protocol.

Temporary; cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 3 year(s) after cutoff. (DAA-0015-2015-0004, item 0022)

##### **b. Committee Records.**

Records include, but are not limited to, VA Central IRB membership rosters, appointment letters, committee minutes, curricula vitae, training records and related documentation.

Temporary; cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0023)

##### **8200.3. VACO Human Research Protection Program (HRPP) Files.**

Files related to the operations of the Human Research Protection Program (HRPP) for VA Central Office and its Federal-wide Assurance. Records include, but are not limited to, assurance application submitted to ORO and HHS Office of Human Research Protection (OHRP) for review and approval; documents related to the registration of the VA Central IRB; VACO HRPP site visit reports from entities such as the Food and Drug Administration (FDA), OHRP, Inspector General, and ORO; reports of remedial plans and corrective actions taken to address any deficiencies; and all related documentation that demonstrates efforts to come into compliance with applicable policy and regulations.

Temporary; cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 7 year(s) after cutoff. (DAA-0015-2015-0004, item 0024)

### **8250**

#### **Human Research Protection Program (HRPP) Accreditation**

**This section covers records relating to ORD's oversight of HRPP accreditation activities in VA facilities. Accreditation of a HRPP is obtained through the Accrediting Organization, which is an independent body that has developed standards of performance to assess compliance with the prevailing ethical,**

**professional, and regulatory guidelines for the conduct of human subjects research.**

**8250.1. Accreditation Application Case Files.**

Documents obtained or created by ORD, such as, initial and renewal applications; annual and interim reports; debriefing interview notes, agendas and minutes of meetings with the Accrediting Organization; tracking of accreditation visits and outcomes; and correspondence to/from the Accrediting Organization, HRPPs and affiliated institutions related to obtaining and maintaining HRPP accreditation.

Temporary; cutoff at the end of the fiscal year after accreditation cycle expires. Destroy 3 year(s) after cutoff. (DAA-0015-2015-0004, item 0025)

**8250.2. Accrediting Organization Contract Files.**

Files related to management of the Accrediting Organization under contract with VA to administer HRPP accreditation in VA facilities. Records consist of, but are not limited to, evaluation of contract performance including deliverables, reports, and problems or issues conveyed to the Accrediting Organization regarding their assessment of individual field facility HRPP's; and other correspondence to/from the Accrediting Organization.

Temporary; cutoff at the end of the fiscal year when the contract expires. Destroy 7 years after cutoff. (DAA-0015-2015-0004 Item 0026)

**8300**

**VA Field Facility Research Program**

**This section covers records relating to the administration of intramural research programs and conduct of individual research projects at VA field facilities, some of which are funded by VA research appropriation. The research programs at each VA field facility are a decentralized program under the facility's direction. Policies for the administration of research programs and conduct of research are set by ORD.**

**8300.1. Documentation of Required Activities.**

These files include, but are not limited, to documentation of required education by research staff; protocol activities including documents created or used in submitting protocols for funding, approval status from required research review committees, status (e.g., active or completed) of protocols, and protocol funding source; and research related agreements, such as memorandums of

understanding and Cooperative Research and Development Agreements (CRADAs).

Temporary; cutoff at the end of the fiscal year after final action or when superseded. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004 item 0027)

**8300.2. Research Accreditation.**

Records related to acquiring and maintaining accreditation for components of the facility's research program. The accreditations are for such components as the HRPP and the animal research program. Records include, but are not limited to, initial and renewal applications; annual and interim reports; tracking of accreditation visits and outcomes; and correspondence to/from the Accrediting Organization.

Temporary; cutoff at the end of the fiscal year after accreditation cycle ends. Destroy 2 year(s) after cutoff. (DAA-0015-2015-0004, item 0028)

**8300.3. Research Publications.**

Copies of publications resulting from funded and approved research activities.

Temporary; cutoff at the end of the fiscal year after publication. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0029)

**8300.4. Veterinarian Medical Unit Files.**

Records include, but are not limited to, sanitation records, daily room checks, feed/bedding invoices, temperature tapes (for the cage washes and autoclaves), health surveillance reports, HVAC performance data, cage cards, mortality reports, pest control reports, animal order invoices, quality assurance records (RODAC plates, ADP tests, etc.) and related documentation.

Temporary; cutoff at the end of the fiscal year after final action. Destroy 3 year(s) after cutoff. (DAA-0015-2015-0004, item 0030)

**8300.5. Research Biosafety and Biosecurity Program Files.**

Records related to research laboratory inspections, emergency response planning, information on chemicals or other hazardous substances, inventory of chemicals and other agents in use in research laboratories, and laboratory safety and security policies.

Temporary; cutoff at the end of the fiscal year after final action. Destroy 3 year(s) after cutoff. (DAA-0015-2015-0004, item 0031)

#### **8300.6. Research Investigator Files.**

Research records maintained by the investigator that span the entire lifecycle of the project and the records required by regulations such as the investigator's regulatory file. Records include, but are not limited to:

- Research protocol and all amended versions of the protocol; grant application; review committee correspondence (e.g., Institutional Review Board, Institutional Animal Care and Use Committee, Research & Development Committee) including documents approved by the review committees;
- Correspondence with ORD, regulatory entities, sponsor and/or funding source, correspondence;
- Case report forms and supporting data (including, but not limited to, signed and dated informed consent forms and HIPAA authorization forms);
- Documentation on each subject including informed consent, interactions with subjects by telephone or in person, observations, interventions, and other data relevant to the research study;
- Data collected during the research including photos, video recordings, and voice recording, all derivative data, and derivative databases;
- Lists of all subjects entered in the study and the cross-walk connecting the subjects name with the code used for each subject; subject compensation records;
- Reports of adverse events, complaints and deviations from IRB-approved protocol;
- Data analyses;
- Codes and keys used to de- identify and re-identify subjects' PHI;
- Reports (including, but not limited to, abstracts and other publications);
- Research study correspondence not involving ORD, Office of Research Oversight (ORO), sponsor, or funding source;
- Correspondence and written agreements with the funding source or sponsor, ORD and applicable oversight entities such as IRB, Research and Development (R&D) Committee, VA Office of Research and Oversight (ORO), VA Office of Human Research Protections (OHRP) and FDA;

- Research study correspondence not involving ORD, Office of Research Oversight (ORO), sponsor, or funding source;
- Signed and dated forms submitted to regulatory agencies;
- Investigator's brochure;
- Records related to the investigational drugs such as drug accountability records;
- Monitoring and audit reports such as Data Safety Monitoring Board Reports and audits by oversight entities;
- Documents related to budget and funding;
- Other forms required by policy and regulation.

Temporary; cutoff at the end of the fiscal year after completion of the research project. Destroy 6 years after cutoff, may retain longer if required by other Federal regulations. (DAA-0015-2015-0004, item 0032)

[NOTE: If the investigator leaves VA, all research records are retained by the VA facility where the research was conducted. If the grant is ongoing and the investigator leaves one VA facility to go to another VA facility, the investigator must obtain approval for a copy of relevant materials to be provided to the new VA facility's research office. The investigator is not the grantee, nor does the investigator own the data.]

#### **8300.7. Research Review Committee and Subcommittee Protocol Files.**

Committee and subcommittee files related to the review and oversight of research protocols submitted by VA investigators for research conducted at the field facility. The committees and subcommittees include, but are not limited to, the Research & Development (R&D) Committee, the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), the Subcommittee on Research Safety, and the Institutional Biosafety Committee. Records include, but are not limited to, the application to the VA Central IRB; research protocol and amendments; case report forms; reports of adverse events, complaints and deviations from the approved protocol; data and safety monitoring reports; research findings to date; and all relevant documents and related correspondence between the committee and the investigators in the review of an associated protocol.

##### **a. Protocols Approved by the Committee or Subcommittee.**

Temporary; cutoff at the end of the fiscal year after the research project has been completed or terminated. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0033)

- b. Protocols Disapproved by the Committee or Subcommittee or Withdrawn by the Investigator.

Temporary; cutoff at the end of the fiscal year after the research project has been disapproved or withdrawn. Destroy 3 years after cutoff. (DAA-0015-2015-0004, item 0034)

#### **8300.8. Research Review Committee or Subcommittee Operating Files.**

Files related to the ongoing operations of the review committees or subcommittees.

- a. Implementation Records. Records include, but are not limited to, agreements by VA facilities to use a review committee or subcommittee from the affiliated university or other entity; standard operating procedures, policies and educational materials; documents assessing the effectiveness of the review committees or subcommittees and compliance with all regulatory requirements; and related correspondence not related to specific protocols received or created during the course of VA Central IRB operations.

Temporary; cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 3 year(s) after cutoff. (DAA-0015-2015-0004, item 0035)

- b. Review Committee or Subcommittee Records. Records include, but are not limited to, membership rosters, appointment letters, curricula vitae, training records, meeting minutes and related documentation.

Temporary; cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 6 year(s) after cutoff. (DAA-0015-2015-0004, item 0036)

### **8500**

#### **Office of Research Oversight (ORO)**

Public Law 108-170, Veterans Health Care, Capital Asset, and Business Improvement Act of 2003 established by statute in the Veterans Health Administration an "Office of Research Oversight."

ORO serves as the primary advisor to the Under Secretary for Health on matters of compliance, assurance, and technical assistance in human subject protections, laboratory animal welfare, research safety, research laboratory security, research information security, facility research compliance officer education, research misconduct, and government suspension and debarment for

research impropriety. ORO conducts a variety of oversight activities to fulfill its mandate.

#### **8500.1. Case Records Containing Official Determinations.**

ORO records, including case reports and electronic databases containing official determinations (e.g., findings and required actions) related to ORO's compliance oversight, technical assistance, and quality assurance activities.

**PERMANENT:** cutoff 7 years after relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later. Transfer electronic records to NARA for pre-accessioning 5 year(s) after cutoff. Transfer to NARA 25 year(s) after cutoff. (DAA-0015-2015-0002, item 0001)

[NOTE: This schedule superseded the authority of XLVII-12, NARA job # (N1-0015-07-003, item 4)]

#### **8500.2. Evidential Records.**

Records that provide critical evidence in support of ORO determinations and/or actions that may be disputed or subjected to litigation.

Temporary; destroy 7 years after all relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later. (DAA-0015-2015-0002 item 0002)

#### **8500.3. Policy and Guidance Records.**

Directives, handbooks, guidance, training materials, and standard operating procedures developed by ORO.

Temporary; destroy 7 years after documents are rescinded or superseded or 7 years after all relevant claims for or against VA are finalized, whichever is later. (DAA-0015-2015-0002 item 3)

[NOTE: This schedule superseded the authority of XLVII-13, NARA Job # (N1-015-07-3, item 11)]

#### **8500.4. Formal Briefing Records.**

Materials prepared by ORO for the Under Secretary for Health, the Secretary of Veterans Affairs, or other VA officials to describe issues of concern or special interest, including materials for formal face-to-face briefings, presentations, activity reports, and issue briefs.

**PERMANENT:** cutoff at end of year in which documents are delivered to the relevant official or all relevant claims

for or against VA are finalized, whichever is later. Transfer electronic records to NARA for pre-accessioning 5 year(s) after cutoff. Transfer paper to NARA in 5 year blocks 25 year(s) after youngest record in block is 5 years old (DAA-0015-2015-0002 item 004)

[NOTE: This schedule superseded the authority of XLVII-4 NARA Job# (N1-015-07-3, item 3)]

#### **8500.5. Congressional Relations Records.**

Quarterly and annual reports to Congress as required by statute, special reports created at the request of Congress, written testimony, and supporting materials for face-to-face briefings of Members of Congress and Congressional staff.

**PERMANENT:** cutoff annually after documents are delivered to Congress. Transfer to NARA in 5 year blocks 15 year(s) after closure of youngest record in block. (DAA-0015-2015-0002 item 0005)

[NOTE: This schedule superseded the authority of XLVII 8a/8b NARA Job # (N1-015-07-03, items 6a and 6b)]

#### **8500.6. Transitory Records with Limited Historical Value.**

All records not specifically covered under other subsections of this manual.

Temporary; destroy when no longer needed. (DAA-0015-2015-0002 item 0006)

[NOTE: This schedule superseded the following schedule in the past RCS 10-1; XLVII-3a, XLVII-5a, XLVII-6, XLVII-7a, XLVII-10, XLVII-13a & 13b, XLVII-15a of NARA Job # (N1—15-07-3, items 1a, 3a, 4, 5a, 9, 12a & b and 14a)]

#### **8500.7. Duplicate Records.**

Duplicate copies of records retained by ORO.

Temporary; destroy when no longer needed. (DAA-0015-2015-0002 item 0007)

[NOTE: superseded authority XLVII-17 of old RCS 10-1]

#### **8500.8. Reference Documents.**

Materials retained solely for reference or informational purposes.

Temporary; destroy when no longer needed. (DAA-0015-2015-0002 item 0008)

[NOTE: superseded authority XLVII-14 of old RCS 10-1]

#### **8500.9. Supplemental Records.**

- a. Supplemental Assurance Records. Work papers and other documents related to ORO's Assurance activities.

Temporary; destroy after the Assurance has expired or been superseded. (N1-015-07-3, Item 1b)

- b. Supplemental Case File Records. Supplemental Compliance Support Documents, Supplemental Work Papers, and other Supplemental documents (as defined elsewhere in this schedule) in the course of ORO Compliance Oversight activity.

Temporary; destroy after final resolution of the case. (N1-015-07-3, Item 3b)

- c. Supplemental Compliance Support Documents. Documents not providing direct substantive evidence in support of ORO findings, decisions, or determinations that are likely to require justification or be questioned, disputed, or subjected to litigation.

Temporary; destroy after final resolution of the case. (N1-015-07-3, Item 5b)

- d. Supplemental Work Papers. Work papers that do not constitute Critical Compliance Support Documents, Critical QA Records, or Critical Assurance Records.

Temporary; relate work papers to the appropriate official file and destroy when the case has been resolved or the relevant matter has been completed. (N1-015-07-3, Item 14b)

#### **8500.10. Correspondence.**

Letters and memoranda of a general nature that do not establish a policy or precedent and are not retained elsewhere by ORO. Correspondence includes letters and memoranda responding to requests for information or clarification regarding established policies or precedents.

Temporary; destroy 2 years after date of issuance. (N1-015-07-3, Item 7)

#### **8500.11. Office of Research Compliance and Assurance (ORCA) Records.**

Documents and materials related to the creation of ORCA; the transition of ORCA to ORO; and ORCA activities not carried over to ORO.



Temporary; destroy 7 years after no longer needed. (N1-015-07-3, Item 10)

#### 8500.12. Work Status Records.

Reports of records that summarized the status of ORO Assurance, Compliance, or other activities.

Temporary; destroy 2 years after the records are no longer current. (N1-015-07-3, Item 15)

### 8600

#### VHA Office of Research Oversight Research Case Files

Public Law 108-170, Veterans Health Care, Capital Asset, and Business Improvement Act of 2003 established by statute in the Veterans Health Administration an "Office of Research Oversight." ORO serves as the primary advisor to the Under Secretary for Health on matters of compliance and assurance in human subject protections, laboratory animal welfare, research safety and security, and research impropriety and misconduct. ORO conducts a variety of oversight activities to fulfill its responsibilities and legislative mandate. ORO is organizationally structured under the Office of the Under Secretary for Health, Veterans Health Administration (VHA), VHA Central Office, Department of Veterans Affairs (VA). ORO provides program directions through its Central Office and strategically located Regional Offices. ORO oversees VHA's research misconduct program and is responsible for the oversight of suspensions and Government wide debarments for research impropriety.

#### **8600.1. Research Misconduct Case Records Involving Allegations Referred for an Inquiry and/or Investigation.** (see note below 1c)

- a. Research Misconduct Case Records with Significant Historical Value that are Maintained by ORO Involving Allegations that are Referred for an Inquiry or Investigation. Records with significant historical value that are maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, final (issued) Inquiry and Investigation reports, Inquiry and Investigation report attachments and exhibits that are deemed significant by ORO, final (corrected) transcripts or recordings of interviews conducted during an Inquiry or Investigation, copies of research records

or relevant sections thereof, final (issued) notifications and decisional letters, written appeals, and case information sheets (or equivalent case summary documents).

**PERMANENT:** Transfer to FRC 7 years after the case is closed or 7 years after all claims for or against VA related to the matter are finalized, whichever is later. Transfer to NARA in 5 year blocks 25 year(s) after case closure. (DAA-0015-2014-0001 item 0001)

- b. Research Misconduct Case Records with Minimal Historical Value that are Maintained by ORO Involving Allegations Referred for an Inquiry and/or Investigation. Records with minimal historical value that are maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records not specifically covered by Item XLVII-1a.

Temporary; destroy 7 year(s) after case is closed or after all claims for or against the VA related to this matter are finalized, whichever is later. (DAA-0015-2014-0001 item 0002)

- c. Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO Involving Allegations Referred for an Inquiry and/or Investigation. Records created and maintained in the course of responding to allegations of research misconduct, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, Inquiry and Investigation reports, all Inquiry and Investigation report attachments and exhibits, transcripts or recordings of interviews conducted during an Inquiry or Investigation, case-related evidence, copies of research records, notifications and decisional letters, and written appeals.

Temporary; destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later (DAA-0015-2014-0001 item 0003)

[NOTE: This item has superseded item XLVII-1 in old RCS 10-1 manual, NARA Job # N1-015-06-1, Item 1.]

**8600.2. Research Misconduct Case Records Involving Allegations that are Not Referred for an Inquiry and/or Investigation.**

- a. Research Misconduct Case Records Maintained by ORO. Records maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, copies of research records or relevant section thereof, final (issued) notifications and decisional letters, case information sheets (or equivalent case summary documents), draft versions of documents, e-mail correspondence, telephone logs, notes, and other records.

Temporary; destroy 7 year(s) after case is closed or after all claims for or against VA related to the matter are finalized, whichever is later. (DAA-0015-2014-0001 item 0004)

- b. Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO. Records created and maintained in the course of responding to allegations of research misconduct, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, case-related evidence, copies of research records, and notifications and decisional letters.

Temporary; destroy 7 year(s) after case is closed or after all claims for or against VA related to the matter are finalized, whichever is later. (DAA-0015-2014-0001 item 0005)

**8600.3. Case Records Maintained Throughout VHA for Government-wide Suspensions and Debarments Based on Research Impropriety.**

This item pertains to records that are created and/or used as a result of a recommendation to suspend or debar individuals from participating in Government-wide non-procurement activities based on research impropriety. The records are maintained by various VHA offices and at various locations, including VA medical facilities, VISN offices, ORO Central and Regional Offices, and VA Central Office. NOTE: Where applicable, the records are protected from disclosure by exemptions to the Freedom of Information Act (5 United States Code (U.S.C. 552(b)), the Privacy Act (5 U.S.C. 552a), 38 U.S.C. 5701, 5705, and 7332, and the HIPAA Privacy Rule (45 CFR Parts 160 and 164).

- a. Suspension and Debarment Case Records with Significant Historical Value that are Maintained by ORO. Records with significant historical value that are created or maintained by ORO in the course of ORO's oversight or making of recommendations to institute a Government-wide suspension or debarment based on research impropriety, including, but not limited to, the underlying written recommendation for suspension Electronic Records or debarment, final (issued) reports and other documents resulting from a fact finding process that support the recommendations and decisions, transcripts or recordings of interviews and proceedings; documentary evidence deemed significant for retention by ORO, final (issued) notifications and decisional letters, written requests for reconsideration of decisions, and case information sheets (or equivalent case summary documents).

**PERMANENT:** Transfer to FRC 7 years after the case is closed or 7 years after all claims for or against VA related to the matter are finalized, whichever is later. Transfer to the NARA in 5 year blocks 25 year(s) after case closure. (DAA-0015-2014-0001 item 0006)

- b. Suspension and Debarment Case Records with Minimal Historical Value that are Maintained by ORO. Records with minimal historical value that are maintained by ORO in the course of ORO's oversight or making of recommendations to institute a Government-wide suspension or debarment based on research impropriety, including, but not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records not specifically covered by Item XLVII-18a.

Temporary; destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later. (DAA-0015-2014-0001 item 0007) [NOTE<sup>1</sup>: This item superseded item XLVII-18a.]

- c. Suspension and Debarment Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO. Records created and maintained in the course of recommending or instituting a Government wide suspension or debarment based on research impropriety, including, but not limited to, the underlying written recommendation for suspension or debarment,

reports and other documents resulting from a fact-finding process that support the recommendations and decisions, transcripts or recordings of interviews and proceedings, documentary evidence, notifications and decisional letters, and written requests for reconsideration of decisions.

Temporary; destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later. (DAA-0015-2014-0001 item 0008)

## **Changes to RCS 10-1 this Version**

### **New or Changed Schedules:**

1006.2 1006.3a 1006.3c 1006.4 1006.15 1006.16 a&b 1006.17 1030.1 1030.9 1031.1	Access and Disclosure Request Files (DAA-GRS-2016-0002-0001, item 020) Information Access and Protection Tracking and control Records (DAA-GRS-2016-0002-0002, item 030) Records Relating to classification or Control Unclassified document Containers (DAA-GRS-0002-0003, item 032) Accounting for and Control of Access to Classified and control Unclassified Records and Records Requested Under FOIA, PA and MDR. (DAA-GRS-2016-0002-0004, item 0400) Privacy Act Systems of Records Notice (SORNs) (DAA-GRS-2016-0003-0002, item 150) Records analyzing Personally Identifiable Information (PII) (DAA GRS-0003-0003/0004 items 160/161) Computer Matching Program Notices and Agreements. (DAA-GRS-2016-0003-0005 item 170) Ethics Program Implementation, Interpretation, Counseling, and Development Files. (DAA-GRS-2016-0006-0001, item 010) Ethics Program Procedures Files (DAA-GRS-2016-0006-0001, item 010) General Ethics Program Records (DAA-GRS-2016-0006-0001, item 010)
1140.1 1140.2 1140.3	Application of Individual Not Selected to Receive Awards/1140.1 (DAA-0015-2016-0004 item 2) Health Professional Scholarship Participant Folders/1140.1 (DAA-0015-2016-0004 item 1) Automated Data Processing Participant Files/Deleted
1900 1-16 1900.17 1900.18 1900.19 1900.20 1900.21	Public Affair Records (Reserved for pending NARA records schedules) Public Affairs-related routine operational records. Public correspondence and communication not requirement formal action Public affairs product production files Routine media Relations records Routine audiovisual records
1950.1 1950.2 1950.3	Library Administrative Records Library Operations Records Inter Library-Loan (ILL) Requests
2000.6	Technology management administrative records (DAA-GRS-2016-0013-0002, GRS 3.1, Item 001)
2525.1 2525.2 2525.3 2525.4	Mail, printing and telecommunication services administration and operational records. Mail, printing, and telecommunication services control records Metered mail records Lost, destroyed, or damaged shipment records
3300.5 3300.6 3400.1 3400.2 3400.3	Phased retirement administrative records (DAA-GRS-2016-0007-0001, GRS 2.5 Item 050) Phased retirement individual case file (DAA-GRS-2016-0007-0002, GRS 2.5, item 051) Non-mission employee training program records (DAA-GRS 2016-0014-0001 GRS 2.6, item 010) Ethics training records. (DAA-GRS-2016-0014-0002 GRS 2.6, Item 020) Individual employee training records (DAA-GRS-2016-0014-0002, GRS 2.6, Item 030)

3400.4 a&b	Senior Executive Service Candidate (DAA-GRS-2016-0014-0004/05 GRS 2.6, Item 040/041)
4000.1c 4000.1d 4000.10 4000.11	Bids and Proposals neither solicited nor Accepted (DAA-GRS-0001-0001, item 012) Data submitted to the Federal Procurement Data System (FPDS) (DAA-GRS-0001-0002, item 013) Contract Appeals Case Files (DAA-GRS-2016-0001-0003, item 060) Vendor and Bidder Information (DAA-GRS-0001-0004/0005, items 070 and 071)
5020.1 5020.2 5020.3 5020.4 5020.5 a&b 5020.6	Facility, space, vehicle, equipment, stock, and supply administration and operation records Real property ownership records Vehicle and equipment ownership records and operation manuals Excess personal property, equipment, and operation manuals Facility design, engineering, and construction records Facility design, engineering and construction operations records
6200.3 6200.4 6200.5 6200.6 6200.7 6200.8 6200.9 6200.10	Mechanical Circulatory Assist Device (MCAD Tracker) Transplant Referral and Cost Referral Review Process: VA Transplant Center Pre-Operative Case Management Tool Continuous Improvement in Cardiac Surgery Program (CISCP) Database National Surgical Quality Improvement Program (NSQIP) Database VA Surgical Quality Improvement Program (VASQIP) Database Ophthalmic Surgical Outcome (OSOD) Database
7100.23 7100.24 7100.25 7100.26 7100.27 7100.37 7100.38 7100.39 7100.43 7100.44 7100.45 7100.48 7100.49 7100.50	Body Fluids ( <b>Rescinded, non-record</b> ) Peripheral Blood Smears, Body Fluids Smears ( <b>Rescinded, non-record</b> ) Bone Marrow Smears ( <b>Rescinded, non-record</b> ) Permanently Stained Slides for Microbiology (e.g. gram, triochrome) ( <b>Rescinded, non-record</b> ) Specimens from Blood Bank Donors and Recipients ( <b>Rescinded, non-record</b> ) Histopathology Stained Slides ( <b>Rescinded, non-record</b> ) Histopathology Blocks ( <b>Rescinded, non-record</b> ) Wet Tissue ( <b>Rescinded, non-record</b> ) Cytology Slides ( <b>Rescinded, non-records</b> ) Cytology ( <b>Rescinded, non-record</b> ) Cytology Fine Needle Aspiration Slides ( <b>Rescinded, non-record</b> ) Wet Tissue ( <b>Rescinded, non-record</b> ) Paraffin Blocks ( <b>Rescinded, non-record</b> ) Slides ( <b>Rescinded, non-record</b> )  <b>*Note: Non-record Lab slides are not to be stored with Federal Records, nor can they be stored in VA RC&amp;V or Federal Record Centers.</b>