

Revised on 9/22/2022 to incorporate changes transmitted under NARA transmittal 32 to the General Records Schedules (GRS) item tem 207, Email Managed Under a Capstone Approach and Updates to 205-11, Automatic and Systematic Declassification Review Program Records,

Revised on 06/2020 to incorporate changes transmitted under NARA transmittal 31 to the General Records Schedules (GRS),

Revised on 04/2020 to incorporate changes transmitted under NARA transmittal 30 to the General Records Schedules (GRS), and

Revised on 4/2018 to include Updates to 201, Agency Accountability Records; 202, Budgeting Records; and 203-04, Training and Workshop Records.

NOAA Records Schedules

Chapter 200

Administrative and Housekeeping Records

Chapter 200

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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
200	Administrative Management and Housekeeping Records.	This Chapter lists the most common administrative and housekeeping records that are maintained in all levels of NOAA offices. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions. These functions are already scheduled in the General Records Schedule (GRS) , issued and approved by the National Archives and Records Administration (NARA) , or by a SF-115 approved and signed by the Archivist of the United States at NARA.		
200-01	Administrative Records Maintained in any Agency Office.	Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:	DAA-GRS- 2016-0016-0001 (GRS 5.1, item 010) <i>Supersedes NOAA Series Item: 201-01, Office Administrative Files</i>	TEMPORARY. Destroy when business use ceases.

		<ul style="list-style-type: none"> • staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1) • office-level administrative policies and procedures and files related to their development (see Note 1) • calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level) • informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182) • internal office activity and workload reports • studies and analyses of office administrative functions and activities • non-mission related management reviews and surveys • minutes of meetings related to administrative activities <p>Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the</p>	<p><i>(GRS 23, item 1)</i></p>	
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		<p>office. Agencies must schedule those records on an agency-specific schedule.</p> <p>Note 1: <i>This item covers administrative policies and procedures at the office/unit level. See NOAA Series 100-03 for agency-level administrative issuances; directives, bulletins, organization manuals and charts, functional statements, delegations of authority, and similar administrative issuances and manuals.</i></p>		
200-02	Files Planning, Organization, and Maintenance: Designating Files Stations	<p>An office file plan must be created for each file location. The file plan lists each record series maintained by the office, the disposition instruction for the series, and its location. A copy of the plan should be filed in the front of the first drawer of the first cabinet at each file location. Copies of the plan, or consolidated plans, may be kept at other file locations - higher level offices, or individual desks, if such reference needs exist. Each office must have its file plan approved by the proper Records Liaison Officer/and Records Officer.</p> <p>Note 1: <i>There must be an active file plan before a superseded file plan can be destroyed.</i></p>	<p>DAA-GRS-2013-0002-0016 (GRS 4.1, Item 010)</p> <p><i>Previously, filed as NOAA Series Item 200-47, Files Planning, Organization, and Maintenance: Designating Files Stations (N1-74-228, item 1).</i></p>	<p>TEMPORARY. Destroy when no longer needed.</p>

		<p>Note 2: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</p> <p>NEW</p>		
200-03	Transitory Records	<p>Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision making. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • messages coordinating schedules, appointments, and events • transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments • received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees • messages received from agency distribution lists or listservs • “to-do” or task lists and assignments 	<p>DAA-GRS-2017-0003- 0001 (GRS 5.2, item, 010)</p> <p><i>Supersedes NOAA Series Items:</i></p> <p><i>200-03a Suspense Logs – a note or other reminder to take action (GRS 23, item 6a);</i></p> <p><i>200-03b Suspense Logs – The record copy or outgoing communication (GRS 23, item 6b);</i></p> <p><i>200-04a, Schedules of Daily Activities – that have not been incorporated into official records, at the division level and below. (GRS 23, item 5a);</i></p> <p><i>200-04b, Schedule of Daily Activities – documenting</i></p>	<p>TEMPORARY. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>

			<p><i>routine activities containing no substantive information (GRS 23, item 5);</i></p> <p><i>200-05 Transitory Records (GRS 23, item 7), Previously filed as NOAA Records Series 200-07</i></p>	
200-04	Library Records.	<p>Documents made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications.</p> <p>Note: Does not include Library Program Records.</p>	<p>Nonrecord, authorized disposition is not required.</p> <p><i>Previously filed as NOAA Records Series Item 200-21, Library and Nonrecord Documents</i></p>	Discard when superseded or no longer needed, upon approval of supervisor.
200-05	Technical Reference Materials	<p>Publications, phone books, extra copies of administrative or procedure manuals, and directives acquired and preserved solely for reference, or stocked for general distribution or handout.</p>	<p>Nonrecord, authorized disposition is not required.</p> <p><i>Previously filed as NOAA Records Series Item 200-07 and 200-30.</i></p>	TEMPORARY. Discard when superseded or no longer needed.
200-06	Non-Recordkeeping Copies of Electronic Records.	<p>Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:</p>	<p>DAA-GRS-2016-0016- 0002 (GRS 5.1, item 020) <i>Supersedes GRS 4.3, 040.</i></p> <p><i>Supersedes NOAA Series Items:</i></p> <p><i>2300-08a, When used to</i></p>	TEMPORARY. Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is

		<ul style="list-style-type: none"> • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments • electronic spreadsheets • digital still pictures or posters • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves <p>Note 1: <i>Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such</i></p>	<p><i>produce hard copy that is maintained in organized files (GRS 4.3, item 040);</i></p> <p><i>2300-08b, When maintained only in electronic form (GRS 4.3, item 040);</i></p> <p><i>2300-09, Electronic Copies (GRS 4.3, item 040); and</i></p> <p><i>2300-10a and 2300-10b, Electronic Mail and Word Processing System Copies (GRS 4.3, item 040)</i></p>	<p>authorized if required for business use.</p>
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		<p><i>business purposes, but are not recordkeeping copies of those records.</i></p> <p>Note 2: <i>For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</i></p>		
200-07	Intermediary Records.	<p>Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:</p> <ul style="list-style-type: none"> • non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, 	<p>DAA-GRS-2017-0003- 0002 (GRS 5.2, item 020)</p> <p><i>Supersedes GRS 4.3, item 01; 4.3, item 010; 4.3, item 011; 4.3, item 012; 4.3, item 020; 4.3, item 030; and 4.4, item 031); GRS21, item 22; and GRS 21, item 23.</i></p> <p><i>Supersedes NOAA Series Items:</i></p> <p><i>2300-07a, Input Source Records - Hardcopy or analog input/source records</i></p>	<p>TEMPORARY. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.</p>

		<p>reference, or consultation, and associated transmittals, notes, reference, and background materials.</p> <ul style="list-style-type: none"> • audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • dictation recordings • input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction: <ul style="list-style-type: none"> o hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1) o electronic input source records such as transaction files or intermediate input/output files • ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report • data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2) 	<p><i>previously scheduled as temporary (GRS 4.3, item 010);</i></p> <p><i>2300-07b, Hardcopy or analog input/source records previously scheduled as permanent (GRS 4.3, item 011);</i></p> <p><i>2300-07c, Hardcopy or input/source records not previously scheduled (GRS 4.3, item 012);</i></p> <p><i>2300-07d, Electronic input/source records (GRS 4.3, item 020);</i></p> <p><i>2300-07e, Output records and Ad hoc reports (GRS 4.3, item 030); and</i></p> <p><i>2300-07f, Data file outputs (GRS 4.3, item 031)</i></p>	
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		<p>Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.</p> <p>Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):</p> <ul style="list-style-type: none">• files created only for public access purposes• summarized information from unscheduled electronic records or inaccessible permanent records• data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original• data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under		
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		<p>GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)</p> <p>Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.</p> <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>		
200-08	Records of Non-Mission Related Internal Agency Committees.	<p>Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include:</p> <ul style="list-style-type: none"> • meeting minutes, summaries, agendas, and transcripts • reports and studies • membership records • correspondence, mailing, and distribution records 	<p>DAA-GRS-2016-0016-0003 (GRS 5.1, item 030)</p> <p><i>Supersedes NOAA Series Item 100-17, N1-370-90-3 (12/9/92) and GRS 26, item 1a</i></p>	<p>TEMPORARY. Destroy when business use ceases.</p>

		<p>Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records.</p> <p>Note: Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.</p>		
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
201	Management Control Records.			
201-01	Audits and Investigation Case Files.	<p>The NOAA Office of Audits provides direction and guidance to NOAA offices on the development of responses to the Department of Commerce, (DOC), Office of Inspector General (OIG) and Government Accountability Office (GAO) regarding audits and investigations. In addition, the NOAA Office of Audits assists in negotiation and resolution of disputed findings and recommendations and ensures that responses to the OIG reflect the NOAA perspective. The Final Reports of Audits and Investigations are issued and maintained by the Department of Commerce (DOC), Office of the Inspector General; however the NOAA Office of Audits retains a copy of the Report of Findings, and background and supporting material accumulated to document the audit or investigation. NOAA Office of Audits follows the guidance, policies, manuals and operating procedures issued by the DOC, Office of Inspector General.</p>	<p>DAA-0370-2015-0006 (03/04/16)</p> <p>Supersedes NOAA Schedule Item N1-370-99-6.</p> <p><i>Previously filed as NOAA Records Series Item 200-02.</i></p>	

		The following records series are created and maintained by the Office of Audits to support its programmatic and recordkeeping responsibilities. The records series cited in this schedule are media neutral.		
		<p>a. Audit Case Files.</p> <p>Case files of internal and external audits of agency programs, operations, and procedures, including contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.</p>	<i>Supersedes N1-370-99-06, item 1, Audit Case Files.</i>	
		a (1). Records Maintained by NOAA Office of Audits.	DAA-370-2015-0006-0001 (03/04/16)	TEMPORARY. Cut off at the end of FY in which case is closed Destroy 8 year(s) after cutoff.
		a (2). Records Maintained by NOAA Line and Staff Offices	DAA-370-2015-0006-0002 (03/04/16)	TEMPORARY. Cut off at the end of FY. Destroy 8 year(s) after cutoff.
		<p>b. Inspector General Complaint Case Files.</p> <p>Record documents NOAA Office of Audits investigations of allegations of known or alleged fraud and abuse, irregularities and violations of laws and regulations, mismanagement, gross waste of funds, abuse of authority or a substantial and</p>		

		<p>specific danger to the public health and safety involving NOAA. These cases are initiated through a referral from the DOC, Office of Inspector General requesting the NOAA Office of Audits to investigate a specific matter. These cases may relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency.</p> <p>At the conclusion of the internal investigation, the NOAA Office of Audits responds to the DOC, Office of the Inspector General with a report of its finding. The NOAA Office of Audits retains a copy of the Report of Findings and internal investigative reports, correspondence, notes, attachments, and working papers which are collected or created to document their review, investigation of an activity or complaint. The NOAA program office that is the subject to the inquiry or allegation also establishes and maintains a record of the inquiry or allegation which may include, but not limited to, preliminary drafts, working files, meeting notes and other information supporting their review and response to the allegation.</p>		
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		<p>b (1). Records Maintained by NOAA Office of Audits.</p>	<p>DAA-0370-2015-0006-0003 (03/04/16)</p>	<p>TEMPORARY. Cut off at the end FY in which case is closed. Destroy 10 year(s) after cutoff or when no longer needed for research and investigative purposes occurs, whichever is later.</p>
		<p>b (2). Records Maintained by NOAA Line and Staff Offices.</p>	<p>DAA-0370-2015-0006-0004 (03/04/16)</p>	<p>TEMPORARY. Cut off at the end FY in which case is closed. Destroy 10 year(s) after cutoff or when no longer needed for research or investigative purposes occurs, whichever is later.</p>
		<p>c. Files Containing Information or Allegations Which are of an Investigative Nature but do not Relate to a Specific Investigation.</p> <p>These records include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing</p>		

		general information that may prove useful in Inspector General Investigations.		
		c (1). Records Maintained by NOAA Office of Audits.	DAA-0370-2015-0006-0005 (03/04/16)	TEMPORARY. Cut off at the end FY in which case is closed. Destroy 5 year(s) after cutoff.
		c (2). Records Maintained by NOAA Line and Staff Offices.	DAA-0370-2015-0006-0006 (03/04/16)	TEMPORARY. Cut off at the end FY in which case is closed. Destroy 5 year(s) after cutoff.
201-02	Deemed Export Program Records.	Records derived from any release of source code subject to the Export Administration Regulations (EAR) to a foreign national within the United States. Such a release is deemed to be an export to the home country or countries of the foreign national. All records are media neutral.	<i>Previously filed as NOAA Records Series Item 200-23.</i>	
		1. Records Maintained by the Chief Administrator		
		a. Controlled Technology Inventory This record captures data including, but not limited to, the name of the equipment/technology/item, the Export Control Number (ECCN), the description and location of the equipment, and the responsible NOAA manager, and whether or not access to the controlled	DAA-0370-2013-0001-0001 (Sequence No. 1.1)	TEMPORARY. Cut off list at the end of FY and destroy 5 year(s) after cutoff.

		technology is required by a foreign national and, if so, whether or not a license would be required for access.		
		<p>b. Deemed Export Licenses</p> <p>Record that identifies the foreign national and the controlled technology which licenses have been obtained. A record of any licenses issued by BIS is also maintained.</p>	DAA-0370-2013-0001-0002 (Sequence No. 1.2)	TEMPORARY. Cut off list at the end of FY and destroy 5 year(s) after cutoff.
		<p>c. Foreign National List</p> <p>This record captures data including, but not limited to, the name of the foreign national as well as their county or citizenship, home country, duty station, description of work, and Federal employee sponsor. This record also identifies whether or not the foreign national requires access to controlled technology and whether or not a license would be required for such access.</p>	DAA-0370-2013-0001-0003 (Sequence No. 1.3)	TEMPORARY. Cut off list at the end of FY and destroy 5 years after cutoff.
		2. Records Maintained in the Line Offices (LOs) and Staff Offices (SOs)		
		<p>a. Access Control Plans</p> <p>Records containing sufficient measures, safeguards, and procedures to ensure full EAR/ITA compliance to protect against</p>	DAA-0370-2013-0001-0004 (Sequence No. 2.1)	TEMPORARY. Destroy 5 years after plan is superseded.

		unauthorized release of controlled technology to foreign nationals, at each facility/lab/program office. Each piece of controlled equipment/technology must have an accompany Access Control Information Sheet that identifies all measures and procedures to control foreign nation access to the controlled technology regulated under EAR/ITAR.		
		<p>b. Certification Statements</p> <p>Annual certification signed by the LO/DAA or SO Director including DAA/SO Director Certification Statement, controlled technology inventory, list of foreign national Guests, Access Control Plans, list of deemed exports censes, and a list of facilities/labs/programs that completed the controlled technology assessment.</p>	DAA-0370-2013-0001-0005 (Sequence No. 2.2)	TEMPORARY. Cut off at the end of the FY, and destroy 5 years after cut off.
		3. NOAA Endorsement Supplement (ESF) for the Line Office (LO)/Staff Office Department Sponsor/NOAA (DSN) and NAO 200-12, Appendix B.		
		a. Records Maintained by the Chief Administrator	DAA-0370-2013-0001-0006 (Sequence No. 3.1)	TEMPORARY. Destroy 5 year(s) after cut off.
		b. Records Maintained in the Line Offices (LOs) and Staff Offices (SOs).	DAA-0370-2013-0001-0007 (Sequence No. 3.2)	TEMPORARY. Destroy 5 year(s) after cut off.

		<p>4. Summary Reports of Department Administrative Order (DAO)/NOAA Administrative Order 207-12 Violations.</p> <p>The report focuses on the circumstances surrounding the violation and actions to prevent future occurrences. The report also addresses the potential of unauthorized release of controlled technology or otherwise sensitive data or information to the subject foreign national.</p>		
		<p>a. Records Maintained by Office of the Chief Administrative Officer (OCAO)</p>	<p>DAA-0370-2013-0001-0008 (Sequence No. 4.1)</p>	<p>TEMPORARY. Destroy 5 year(s) after cut off.</p>
		<p>b. Records Maintained in the Line Offices (LOs) and Staff Offices (SOs)</p>	<p>DAA-0370-2013-0001-0009 (Sequence No. 4.2)</p>	<p>TEMPORARY. Destroy 5 year(s) after cut off.</p>

GENERAL RECORDS SCHEDULE 5.7: Administrative Management and Oversight Records

This schedule covers records about administrative management activities in Federal agencies. It includes activities such as internal controls oversight and reporting, policies and procedures, and results management and reporting, but only when they relate to administrative functions. It also includes some records related to the Federal Register.

Exclusions and Conditions:

1. Excluded from this schedule are records about management and oversight of non-administrative activities, including agency mission-related performance management records, strategic plans, risk management records, audit records, organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories.
2. Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
201-03	Administrative Internal Controls		<i>Updated 9-22</i>	
		<p>a. Administrative internal control management records. Records related to internal evaluations of accounting and administrative controls, mandated or governed by: OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO)</p>	<p>DAA-GRS-2020-0001-0001(GRS 5.7)</p> <p><i>Supersedes NOA A Series Items:</i></p> <p><i>201-03a, (GRS 16, item 14a,</i></p>	<p>TEMPORARY. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for</p>

		<p>Standards for Internal Control in the Federal Government (the “Green Book”); and similar requirements or directives. Includes:</p> <ul style="list-style-type: none"> ● copies of internal and external directives outlining management control policy ● management control plans and records of the planning process ● comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements ● 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 ● feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) ● records tracking assignments, tasks, and responsibilities 	<p><i>Management Control Records)</i></p> <p><i>Previously filed as NOAA Records Series Item 200-39;</i></p> <p><i>201-03b, (GRS 16, item 14b, Management Control Plans);</i></p> <p><i>201-03c, (GRS 16, item 14c, Risk analysis);</i></p> <p><i>201-03d, (GRS 16, item 14d, 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); and</i></p> <p><i>201-03e, (GRS 16, item 14e, Tracking files.)</i></p>	<p>business use.</p>
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		<ul style="list-style-type: none"> ● related correspondence <p>Exclusion 1: Reports related to agency mission activities (agencies schedule these separately)</p> <p>Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p>Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately)</p>		
		<p>b. Internal control review, response, and mitigation management records.</p> <p>Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p>Exclusion: Records held by offices contributing to internal control review, response, and mitigation—but not</p>	<p>DAA-GRS-2017-0008-0002 (GRS 5.7, item 020)</p> <p><i>Supersedes NOAA Series Item:</i></p> <p><i>201-03f,</i> (GRS 16, item 14f(1), <i>Office with responsibility for coordinating internal control functions.); and</i></p> <p><i>201-03, item 14f(2),</i> (GRS 16, item 14(2), <i>Copies maintained by</i></p>	<p>TEMPORARY. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p>

		responsible for overseeing it (GRS 5.1, item 010 covers these).	other offices as internal reviews – RESCINDED per GRS Transmittal 29	
		<p>c. Administrative directives and notices.</p> <p>Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.</p> <p>Exclusion: Documents related to mission activities (agencies schedule these separately).</p>	DAA-GRS-2017-0008-0003 <i>(GRS 5.7, item 030)</i>	TEMPORARY. Follow disposition authority and instruction for Chapter 100-03b. Administrative Issuance, duplicate copies, of this handbook.
		<p>d. Records about authorizing and managing report requirements and parameters.</p> <p>Processing and submission files on reports an agency creates or proposes. Includes copies of authorizing directives; preparation instructions; descriptions of required or standardized formats; clearance forms; and documents on evaluating, continuing, revising, and discontinuing reporting requirements.</p>	<p>DAA-GRS-2017-0008-0004 <i>(GRS 5.7, item 040)</i></p> <p><i>Supersedes NOAA Series Item:</i></p> <p><i>201-06, Reports Control Files (GRS 16, item 6)</i></p>	TEMPORARY. Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use
		<p>e. Mandatory reports to external Federal entities regarding administrative matters.</p> <ul style="list-style-type: none"> Agency-level reports that external federal oversight 	<p>DAA-GRS-2020-0001-0003 <i>(GRS 5.7, item 050)</i></p> <p><i>Supersedes NOAA Series Items:</i></p>	TEMPORARY. Destroy 6 years after report submission or oversight entity

		<p>entities such as the White House, Congress, OMB, the</p> <ul style="list-style-type: none"> • Office of Personnel Management (OPM), and General Services Administration (GSA), require under • authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act • (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on • Printing requirements, and the FAIR Act. Examples include: <ul style="list-style-type: none"> • Agency Financial Report (AFR) • Statement of Assurance (per FMFIA), or equivalent • information collection clearances • report on financial management systems' compliance with requirements (per FMFIA), or equivalent • report on internal controls for corporations covered by the Government Corporation Control Act (per • CFOA) • EEOC reports 	<p><i>302-08, EEO Reports and Employment Statistics Files (GRS .3, item 035);</i></p> <p><i>706-01a, OMB Circular No. A-76 case files/studies maintained by office having primary responsibility</i> (GRS 3, item 18a); and</p> <p><i>706-01b, OMB Circular No. A-76 records maintained by other offices, including information copies and background material</i> (GRS 3, item 18b)</p>	<p>notice of approval, as appropriate, but longer retention is authorized if required for business use.</p>
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		<ul style="list-style-type: none">• Analysis and Action Plans and other reports required by EEOC's MD 715• No FEAR Act reports• service organization auditor report, or equivalent• improper payments report• premium class travel report• report on property provided to non-federal recipients, schools, and nonprofit educational institutions• feeder reports to the Status of Telework in the Federal Government Report to Congress• feeder reports to GSA fleet reports <p>Includes ancillary records such as:</p> <ul style="list-style-type: none">• background and research records• submission packets and compilations• related files <p>Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive</p>		
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		<p>Exclusion 2: Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately).</p> <p>Exclusion 3: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040, cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080, covers these)</p>		
		<p>f. Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.</p> <p>Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act,</p>	<p>DAA-GRS-2017-0008-0006 (GRS 5.7, item 060)</p>	<p>TEMPORARY. Destroy 3 years after final order or final adjudication of appeal, as appropriate, but longer retention is authorized if required for business use.</p>

		<p>Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof.</p> <p>Exclusion 1: Records the Merit Systems Protection Board and the Office of Special g. Counsel create and hold (these entities schedule such records separately).</p> <p>Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).</p>		
		<p>h. Federal Register notices other than proposed and final rules.</p> <p>Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours</p>	<p><i>DAA-GRS-2017-0012-0004 (GRS 5.7, item 070)</i></p>	<p>TEMPORARY. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>

		<p>of public opening, use of an agency’s seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations.</p> <p>Note 1: SORNs per se are covered by GRS 4.2, item 150.</p> <p>Note 2: PRA Information Collection reports are covered by GRS 5.7, item 050.</p> <p>Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.</p>		
		<p>i. Agency input into the unified agenda.</p> <p>Records that process agency input into the publication of:</p> <ul style="list-style-type: none"> ● The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the “unified agenda” or “semiannual regulatory agenda”) published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) ● agency regulatory flexibility agendas ● The Regulatory Plan 	<p><i>DAA--GRS-2017-0012-0005</i> (GRS 5.7, item 080)</p>	<p>TEMPORARY. Destroy when 2 years old, but longer retention is authorized if required for business use.</p>

		Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.		
201-04	Project Control Files	Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	<i>Previously, filed as NOAA Records Series Item 200-41, Project Control Files (GRS 16, item 5).</i>	Rescinded per GRS Transmittal 29
201-05	Information Technology Development Project Records. (Feasibility Studies)	<p>Infrastructure project records.</p> <p>Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:</p> <ul style="list-style-type: none"> • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, 	<p>DAA-GRS-2013-0050007 (GRS 3.1, item 011)</p> <p><i>Supersedes NOAA Series Item 200-43, Feasibility Studies (GRS 16, item 9).</i></p>	<p>TEMPORARY.</p> <p>Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.</p>

		<p>modification, and troubleshooting Includes records such as:</p> <ul style="list-style-type: none">• installation and testing records• installation reviews and briefings• quality assurance and security review• requirements specifications• technology refresh plans• operational support plans• test plans• models, diagrams, schematics, and technical documentation <p>Exclusion: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.</p> <p>Note: <i>Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</i></p>		
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Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.

Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.

Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.

This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It does apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
202	Records Created and Held by NOAA Budget Office			
202-01	Budget Formulation, Estimates, Justification, and Submission Records, fiscal year 2017 and forward.			
		<p>a. Includes records such as:</p> <ul style="list-style-type: none"> • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called “Green Books”) • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation 	<p>DAA-GRS2015-0006- 0001 (GRS 1.3, item 010)</p> <p><i>Supersedes NOAA Series Items:</i></p> <p><i>202-01, Background Records, previously filed as NOAA Records Series 200-03 GRS 5.2 (in part); and</i></p> <p><i>202-02, Budget Estimate and Narrative Statement Records, previously 200-04 (NC1-370-74-228)</i></p>	<p>TEMPORARY. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>

		<p>Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.</p>		
		<p>b. Budget Formulation, Estimates, Justification, and Submission Records prior to fiscal year 2017.</p>	<p>NC1-370-74-228 (10-8-74)</p>	<p>PERMANENT. Cut off at end of fiscal year. Transfer to the FRC two years after closure. Transfer to the National Archives 20 years after closure.</p>
202-02	Budget Execution Records.	<p>Records offices create and receive in the course of implementing and tracking an appropriation. Includes:</p> <ul style="list-style-type: none"> • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews 	<p>DAA-GRS-2015-0006- 0002 (GRS 1.3, item 020)</p> <p><i>Supersedes GRS 5, item 4, Budget Apportionment Files</i></p>	<p>TEMPORARY. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> • workforce authorization and distribution • continuing resolution guidance • calculations • impact statements • carryover requests • related records 		
202-03	Budget Reports.	Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.		
		a. Full fiscal-year reports.	DAA-GRS-2015-0006-0003 (GRS 1.3, item 030) <i>Supersedes NOAA Records Series Items:</i> 202-09a, Fund Use and Availability Records (GRS 5, item 3a)	TEMPORARY. Destroy when 5 years old, but longer retention is authorized if required for business use.
		b. All other reports.	DAA-GRS-2015-0006-0004 (GRS 1.3, item 031) <i>Supersedes NOAA Records Series Items:</i>	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if

			202-09b, Fund Use and Availability Records (GRS 5, item 3b)	required for business use.
	Budget Records any Office Creates and Holds.			
202-04	Budget Preparation Background Records.	Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.		
		a. Records held in office responsible for preparing agency's budget proposal to the White House.	DAA-GRS-2015-0006-0005 (GRS 1.3, item 040) <i>Supersedes NOAA Records Series Item: 202-01, Background Records, GRS 5.2 (in part), Previously filed as NOAA Records Series 200-03a</i>	TEMPORARY. Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.
		b. Records held at all other offices.	DAA-GRS-2015-0006-0006 (GRS 1.3, item 041) <i>Supersedes NOAA Records Series Item: 202-01, Background Records, GRS 5.2 (in part),</i>	TEMPORARY. Destroy when 2 years old, but longer retention is authorized if required for business use.

			<i>previously filed as NOAA Records Series 200-03b</i>	
202-04A	Budget Administration Records.	<p>Records documenting administration of budget office responsibilities. Includes:</p> <ul style="list-style-type: none"> • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends • work planning documentation • cost structure and accounting code lists • feeder and statistical reports related correspondence 	<p>DAA-GRS-2015-0006-0007 (GRS 1.3, item 050)</p> <p><i>Supersedes NOAA Records Series Items: 202-03, Budget Correspondence Files (GRS 5, item 1);</i></p> <p>202-04, Agency-wide Budget Project Records, Nc1-370-76-5, (8/6/76), item 9a; and</p> <p>202-04, Agency-wide Budget Project Records, Nc1-370-76-5, (8/6/76), item 9b– projections not duplicated in budget submissions that deal with overall program and feeder reports to them. .</p>	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
202-05	Electronic Budget Tracking Records	Electronic spreadsheets used to track office expenditures for budgetary control.	<p>DAA-GRS- 2016-0016-0001 (GRS 5.1, item 010)</p> <p><i>Supersedes NOAA Records Series Item 202-05,</i></p>	TEMPORARY. Follow disposition instructions for 200-01.

			<p><i>Electronic Budget Tracking Records</i> (GRS 23, item 1)</p> <p><i>Previously filed as NOAA Records Series Item 200-06, Electronic Budget Tracking Records</i></p>	
202-06	Credit/Bank Card Transactions.	<p>Copies of bank statements of credit card transactions receipts, reports and related documentation.</p> <p>NOTE #1: <i>Always consult both Purchase and Travel Card Policy Materials to confirm current NOAA retention policy.</i></p> <p>NOTE #2: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i></p> <p>NOTE #3: <i>Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</i></p>		

		Official Record Held in the Office of Record:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
202-06A	Government Purchase Card Application and Approval Records	<p>Applications by employees for Government credit cards issued in cardholder's name for purchasing goods and services. May include:</p> <ul style="list-style-type: none"> • application for credit card • credit release form • applicant credit report • cardholder agreement • acknowledgement of responsibilities and penalties for misuse • approving official agreement • certificate of appointment (warrant) • card training certificate <p>NOTE #1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records</p>	DAA-GRS-2018-0003- 0001 (GRS 1.1, item 090)	TEMPORARY. Destroy upon card holder separation or when card is returned to office and destroyed, as appropriate, but longer retention is authorized if required for business use.

		<i>Administration (NARA) before applying disposition instructions in this schedule.</i>		
202-06B	Government Travel Card Application and Approval Records	<p>Applications by employees for Government credit cards issued in cardholder's name for official travel expenses. May include:</p> <ul style="list-style-type: none"> • application for credit card • credit release form • applicant credit report • cardholder agreement • acknowledgement of responsibilities and penalties for misuse • approving official agreement • certificate of appointment (warrant) • card training certificate <p>NOTE #1: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i></p>	DAA-GRS-2018-0003- 0001 (GRS 1.1, item 090)	TEMPORARY. Destroy upon card holder separation or when card is returned to office and destroyed, as appropriate, but longer retention is authorized if required for business use.
202-07	General Correspondence Files:	<p>Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Records include:</p>	<p>DAA-GRS-2016-0013-0001 (GRS 1.1, item 001)</p> <p><i>Supersedes:</i> <i>GRS 3, item 2, General Correspondence Files;</i></p>	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if needed for business use.

		<ul style="list-style-type: none"> • correspondence • subject files • feeder reports • workload management assignment records <p>NOTE #1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule</p>	<p><i>GRS 6, item 5a, Accounting Administrative Files - Files used for workload and personnel management purposes;</i> <i>GRS 6, item 5b, Accounting Administrative Files - All other files;</i> <i>GRS 7, item 1, Expenditure Accounting General Correspondence and Subject Files;</i> <i>GRS 8, item 1, Plant, Cost, and Stores General Correspondence Files; and</i> <i>GRS 9, item 4a, General Travel and Transportation Files - 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</i></p>	
		Official Record Held in the Office of Record:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but

		<p>NOTE #1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</p> <p>NOTE #2: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>	Previously filed as NOAA Records Series Item 200-09.	longer retention is authorized if required for business use.
		<p>All Other Copies:</p> <p>NOTE #1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</p> <p>NOTE #2: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
202-08	Federal Financial System Data Input Records.	Records relating to office expenditures such as acquisitions, training, travel or other expenses which have been processed into the Federal Financial System.	DAA-GRS- 2016-0016-0001 (GRS 5.1, item 010) <i>Supersedes NOAA Records Series Item 202-07, Federal</i>	TEMPORARY. Follow the disposition instructions for 200-01.

			<p><i>Financial System Data Input Records</i> (GRS 23, item 1)</p> <p><i>Previously, NOAA Schedule Item 200-13.</i></p>	
202-09	<p>Routine Procurement/Contract Records (Administrative copies only, see Chapter 700 for program records).</p>	<p>Non-contract related requisitions, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment and Tax Exemption Record. Includes copies of records described above used by component elements of a procurement office for administrative purposes. Original records are maintained in Procurement.</p> <p>NOTE 1: <i>These are copies used for administrative or reference purposes.</i></p> <p>NOTE 2: <i>If you have questions or concerns please ask your procurement or contract contact for policies on records retention.</i></p> <p>NOTE #3: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i></p>	<p>DAA-2013-0003-0002 (GRS 1.1, item 011)</p> <p><i>Previously filed as NOAA Records Series Item 200-26, Routine Procurement/Contract Administrative (COTR/TOM/TM) Records</i></p> <p>[Administrative copy only, for original program records, see Chapter 700]</p>	<p>TEMPORARY. Destroy when business use ceases.</p>

		<p>NOTE #4: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>		
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
203	HUMAN RESOURCES RECORDS			
203-01	Time and Attendance Records.	<p>Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.</p> <p>Legal citation: 29 U.S.C. 516.5a</p>	<p><i>DAA-GRS-2019-0004-0002</i> (GRS 2.4, item 030)</p> <p><i>Supersedes</i> DAA-GRS- 2016-0015- 0003 (GRS 2.4, item 030), <i>filed as NOAA Schedule 203-01</i>;</p> <p><i>Previously filed as NOAA Records Series Item 203-01 (GRS 2, item 8)</i></p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business purpose.</p>

		<p>Note: Every office involved in documenting employees' time worked is responsible for retaining the records it receives and creates for 3 years.</p> <p>Timekeepers in individual offices need to be able to document that the time and attendance information they sent to the payroll system provider was accurate. Only total hours of time worked and leave taken is forwarded to the payroll system provider. Backup documentation justifying those totals is usually retained by the timekeeper.</p>		
203-02	Time and Attendance Source Records.	All time and attendance records upon which leave input data is based.	<p>DAA-GRS- 2016-0015- 0003 (GRS 2.4, item 030)</p> <p><i>Supersedes NOAA Schedule Item 203-01, Time and Attendance Source Records (GRS 2, item 7);</i></p> <p><i>Previously filed as NOAA Records Series Item 200-32.</i></p>	TEMPORARY. Follow disposition instructions for 203-01 above.
203-03	Supervisor's Personnel Files.	Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records	<p>DAA-GRS-2017-0007-0012 (GRS 2.2, item 080)</p> <p><i>Supersedes NOAA Records Series Item 203-03, Personnel Records: Supervisor's and Duplicate</i></p>	TEMPORARY. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee

		<p>are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p>Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.</p> <p>Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.</p> <p>NOTE 1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</p>	<p><i>Official Personnel Folder Documentation (GRS 1, item 18);</i></p> <p><i>Previously filed as NOAA Records Series Item 200-36.</i></p>	<p>separation or transfer.</p>
203-04	Employee Training Records.	This schedule covers records about designing, developing, and		

		<p>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.</p> <p>This schedule 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.</p> <p>Note 1: <i>Agencies must offer any records created prior to January 1, 1921, under GRS 2.6, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i></p>		
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		<p>a1. Non-mission employee training program records.</p> <p>Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content • other course materials, such as presentations and videos 	<p>DAA-GRS-2016-0014-0001 (GRS 2.6, item 010)</p> <p><i>Supersedes NOAA Records Series Items:</i></p> <p><i>200-37 (GRS 1, item 29a1)</i></p> <p><i>Supersedes NOAA Records Series Items:</i></p> <p><i>304-02, Employee Training (in part)</i> (GRS 1, item 29b);</p> <p><i>304-02a, General in-house training, excluding curriculum;</i></p> <p><i>304-02a1, Correspondence, memoranda, reports, and other records relating to training courses and conferences,</i> (GRS 1, item 29a1);</p> <p><i>304-02a2, Background and Working Files</i> (GRS 1, item 29a2)</p>	<p>TEMPORARY.</p> <p>Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</p>

	<ul style="list-style-type: none"> • student, class, or instructor evaluations <p>Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p> <p>Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020.</p> <p>NOTE 1: <i>Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</i></p> <p>NOTE 2: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule</i></p> <p>NOTE 3: <i>Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</i></p>	<p>(GRS 21, item 3) Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency;</p> <p>(GRS 21, item 9) Motion Picture - Films Acquired from Outside Sources for Personnel and Management Training;</p> <p>(GRS 21, item 14) Video Recordings of Programs Acquired from Outside Sources for Personnel and Management Training;</p> <p>(GRS 21, item 17) Video Recordings of Training Programs that do not Reflect the Mission of the Agency.</p>	
		a2. Mission Related Training School and Course Files.	
	a2a. Copy of each training syllabus and other training materials originated by NOAA, class photos, and records of education and training committee	NC-370-75-001 (2/27/75)	PERMANENT. To be offered to the National Archives after 15 years.

			<i>Supersedes NOAA Records Series Item: 304-03a</i>	
		a2b. Graduate study records containing correspondence from schools, schedules for sending students, and similar material.	NC-370-75-001 (2/27/75) <i>Supersedes NOAA Records Series Item: 304-03b</i>	TEMPORARY. Destroy after 2 years.
		a2c. ROTC student appointment records kept to ensure fulfillment of 6-year commitment.	NC-370-75-1 (2-27-75) <i>Supersedes NOAA Records Series Item: 304-03c</i>	TEMPORARY. Destroy after 7 years.
		a2d. Documents relating to the maintenance of special qualifications for agents, such as with firearms. Includes standards, range tests, firearm training, and similar material.	N1-370-90-003 (12/9/92) <i>Supersedes NOAA Records Series Item: 304-03d</i>	TEMPORARY. Follow disposition for Record Series 1513-14.
		a2e. NOAA Diving Center - NDC Diver Training and Certification System Training requirements for certification as a NOAA scientific diver within the NOAA Diving Program.	N1-370-08-001 (11/12/08) and N1-370-09-001 (7/6/09) <i>Supersedes NOAA Records Series Item: 304-03e</i>	TEMPORARY. Follow disposition for Record Series 1805-10 and/or 1805-11.
		a2f. Pilot Training Files - Requirements (contractually, where applicable) an instructional program to train flight program personnel, initially and on a	<i>Supersedes NOAA Records Series Item: 304-03f</i>	TEMPORARY. Use disposition for 307-01, Officer Personnel Folder.

		recurrent basis, in their responsibilities and in the operational skills.		
		a2g. Foreign national training programs conducted by NOAA staff, experimental operations or assistance, international data exchange projects, and informal cooperative projects between NOAA and other nations.	<i>Supersedes NOAA Records Series Item: 304-03g</i>	PERMANENT. Follow disposition for Record Series 600-03, International Project Files
		a2h. Training, and course records related to NOAA-sponsored international training programs conducted for visitors, foreign scientists, or foreign officials.	<i>Supersedes NOAA Records Series Item: 304-03h</i>	TEMPORARY. Follow disposition for Record Series 600-07, Foreign Visitor, Training or Assistance Files.
		<p>b. Ethics training records.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> • administration of new employee ethics orientations, annual, and other types of ethics training • agency’s annual written plans • notices about training requirements and course offerings <ul style="list-style-type: none"> • rosters of employees required to attend and verification of training completed • instructor guides, handbooks, handouts and other materials 	<p>DAA-GRS-2016- 0014-0002 (GRS 2.6, item 020)</p> <p><i>Supersedes (GRS 28, item 8a), Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education; and</i></p> <p><i>(GRS 28, item 8b), Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training.</i></p>	<p>TEMPORARY.</p> <p>Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use.</p>

		<p>NOTE 1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</p>		
		<p>c. Individual employee training records.</p> <p>Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:</p> <ul style="list-style-type: none"> • completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors) • Individual Development Plans (IDPs) • mentoring or coaching agreements <p>Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.</p> <p>NOTE 1: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records</p>	<p>DAA-GRS-2016- 0014-0003 (GRS 2.6, item 030)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>304-02b, Employee Training,</i> (GRS 1, item 29b)</p>	<p>TEMPORARY.</p> <p>Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.</p>

		<i>Administration (NARA) before applying disposition instructions in this schedule</i>		
		<p>d. Senior Executive Service Candidate Development Program (SESCDP).</p> <p>SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p> <p>NOTE 1: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule</i></p>		
		<p>(1) Program records.</p> <p>Records documenting program scope, policies, planning, budget, and curriculum planning.</p>	<p>DAA-GRS-2016- 0014-0004 (GRS 2.6, item 040)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when no longer needed for business use.</p>

		<p>(2) Case records on SESCDP participants.</p> <p>Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p> <p>NOTE 1: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i></p>	<p>DAA-GRS-2016- 0014-0005 (GRS 2.6, item 041)</p> <p>New Item</p>	<p>TEMPORARY. Destroy upon certification by OPM’s Qualifications Review Board (QRB) or 1 year after separation from SESCDP, but longer retention is authorized if required for business use.</p>
203-05	Telework/ Alternate Worksite Records – Individual Case Files.	<p>Includes:</p> <ul style="list-style-type: none"> • agency/employee agreements • records such as questionnaires relating to the safety of the worksite • records documenting worksite safety and equipment; hardware, and software installation and use; and offsite use of secure, classified information or data subject to the Privacy Act or agencies' Personally Identifiable Information policies <p>NOTE 1: <i>Administrative Program Records related to the telework program is filed under Employee Relations Program administrative files 302-01</i></p> <p>NOTE 2: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records</i></p>	<p>DAA-GRS-2018-0002-0004 (GRS 2.3, item 040)</p>	<p>TEMPORARY. Destroy when superseded or obsolete or 1 year after end of employee's participation in program, whichever is sooner, but longer retention is authorized if required for business use.</p>

		<i>Administration (NARA) before applying disposition instructions in this schedule</i>		
203-06	Equal Employment Opportunity (EEO) General Records.	<p>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.</p> <p>NOTE 1: <i>EEO records relating to the oversight of the EEO Program, please refer to NOAA Records Series 312.</i></p> <p>NOTE 2: <i>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i></p>	<p>DAA-GRS- 2015-0007- 0006 (GRS 2.3, item 030)</p> <p><i>Supersedes NOAA Records Series Item 203-06, Equal Employment Opportunity (EEO) General Records (GRS 1, item 25)</i></p> <p><i>Previously filed as NOAA Records Series Item 200-11. See Chapter 302 for EEO program records.</i></p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>

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.

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

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
204	Records Management Records.	This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records		
204-01	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:	DAA-GRS-2013-0002-0016 (GRS 4.1, item 010) <i>Supersedes NOAA Schedule Items:</i>	TEMPORARY. Destroy when no longer needed.

		<ul style="list-style-type: none"> • indexes • lists • registers • inventories • logs <p>Exclusion 1: This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.</p> <p>Exclusion 2: This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.</p>	<p><i>204-01, Records Tracking and Control Records (GRS 23, item 8);</i></p> <p><i>Previously filed as NOAA Records Series Item 200-33, Records Tracking and Control Records (GRS 23, item 8)</i></p>	
204-02	Records Management Program Records.	<p>Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:</p> <ul style="list-style-type: none"> • providing oversight of entire records management program • transferring, destroying, and retrieving records 	<p>DAA-GRS- 2013-0002- 0007 (GRS 4.1, item 020)</p> <p><i>Supersedes NOAA Records Series Items:</i></p> <p><i>200-24, Records Disposition Records (GRS 16, item 2a and 2b); and</i></p> <p><i>200-46, Records Management Files (GRS 16, item 7)</i></p>	<p>TEMPORARY.</p> <p>Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>

		<ul style="list-style-type: none">• inventorying records and conducting records surveys • scheduling records• providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions)• conducting records "clean out" days• conducting special projects <p>Records include:</p> <ul style="list-style-type: none">• agency records management program surveys or evaluations reports of surveys or evaluations• reports of corrective action taken in response to agency program surveys or evaluations• disposal authorizations, schedules, and reports• records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority)• SF 135, Records Transmittal and Receipt• OF 11, Reference Request• Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States.		
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		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.		
204-03	Vital or Essential Records Program Records.	Records involved in planning, operating, and managing the agency’s vital or essential records program. Includes: <ul style="list-style-type: none"> • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests. 	DAA-GRS- 2013-0002-0008 (GRS 4.1, item 030) <i>Supersedes NOAA Records Series Items:</i> 200-46, Records Management Files (GRS 16, item 7)	TEMPORARY. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.
204-04	Copies of Vital Records.	Copies of agency records deemed essential to restore agency functions in case of emergency.	DAA-GRS- 2013-0002- 0015 (GRS 4.1, item 031)	TEMPORARY. Destroy when superseded by the next cycle.
204-05	Forms Management Records.	Records involved with ensuring use of standard Federal and agency forms to support effective recordkeeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: <ul style="list-style-type: none"> • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with 	DAA-GRS- 2013-0002-0009 (GRS 4.1, item 040) Supersedes NOAA Records Series Item 809-01, Forms Management Files (GRS 16, item 3a and GRS 16, item 3b); and <i>Previously filed as NOAA Records Series Item 200-45, Forms Files (GRS 16, item 3a and GRS 16, item 3b)</i>	TEMPORARY. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.

		<p>related instructions and documentation showing inception, scope, and purpose of the form</p> <ul style="list-style-type: none"> • background materials and specifications 		
204-06	Validation Records for Digitized Temporary Records.	<p>Records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • standards and procedures records used to document that the agency has met validation process requirements, such as: <ul style="list-style-type: none"> ○ quality management plans describing quality assurance objectives ○ quality control (QC) protocols ○ format-specific instructions • records documenting validation actions, such as: <ul style="list-style-type: none"> ○ equipment calibration and test reports ○ image quality testing results ○ QC plans, procedures, and reports <p>Exclusion 1: Validation records for digitized permanent records.</p> <p>Exclusion 2: Original source records the agency has digitized and validated; GRS 5.2, Transitory and Intermediary</p>	<p>DAA-GRS-2019-0003-0001 (GRS 4.1, item 050)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy the validation documentation associated with each record that has been digitized when the records digitized using that validation process are destroyed, but longer retention is authorized if required for business use.</p>

		<p>Records, Item 020, or a current, approved agency-specific records schedule that covers the records once digitized covers these.</p> <p>Exclusion 3: Digital surrogates (the newly digitized records); the appropriate current, approved agency-specific records schedule or applicable GRS item covers these.</p> <p>Legal citation: 36 CFR Part 1236.34</p>		
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Information Access and Protection Records (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.

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

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
205	Information Access and Protection Records.	This schedule covers records created in the course of agencies (1) responding to requests for access to Government information and (2) protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.		
205-01	FOIA, Privacy Act, and Classified Documents Administrative Records.	Records on managing information access and protection activities. Records include: <ul style="list-style-type: none"> correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification. 	DAA-GRS-2019-0001-0001 (GRS 4.2, item 001) <i>Supersedes</i> DAA-GRS-2016-0013-0003 (GRS 4.2, item 001)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if needed for business use.

		<ul style="list-style-type: none"> • associated subject files • feeder and statistical reports <p>Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.</p>	<p><i>Supersedes NOAA Records Series Item 200-53, Privacy Act General Administrative Files (GRS 14, item 26); and records covered by GRS 14, item15; and GRS 18, item 1.</i></p>	
205-02	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.	DAA-GRS-2013-0007-0001 (GRS 4.2, item 010)	
205-03	Access and Disclosure Request Files.	<p>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:</p> <ul style="list-style-type: none"> • granting the request in full • granting the request in part • denying the request for any reason including: 	<p>DAA-GRS-2016-0002-0001 (GRS 4.2, item 020)</p> <p><i>Supersedes NOAA Records Series Items:</i></p> <p><i>200-15, Freedom Of Information Act (FOIA) Files - a. Request not appealed.</i></p> <p><i>Previously scheduled under (N1-370-08-05);</i></p>	<p>TEMPORARY.</p> <p>Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</p>

		<p>o inability to fulfill request because records do not exist</p> <p>o inability to fulfill request because request inadequately describes records</p> <p>o inability to fulfill request because search or reproduction fees are not paid</p> <ul style="list-style-type: none"> • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal Includes: <ul style="list-style-type: none"> • requests (either first-party or third-party • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) <p>Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.</p> <p>Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p>	<p><i>200-15, Freedom Of Information Act (FOIA) Files – b. Request appealed. (GRS 14, item 12 (1) and (2) Previously, 200-17, Freedom of Information Act (FOIA) appealed requests</i></p>	
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205-04	Information Access and Protection Operational Records.			
		<p>a. Records tracking and controlling access to protected information. Includes:</p> <ul style="list-style-type: none"> • records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records • tracking databases and other records used to manage overall access program • requests and authorizations for individuals to have access to classified and controlled unclassified records and information <p>Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.</p>	<p>DAA-GRS-2019-0001-0002 (GRS 4.2, item 030)</p> <p>Supersedes DAA-GRS-2016-0002-0002 (GRS 4.2, item 030)</p>	<p>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.</p>
		<p>b. Access control records. Includes:</p> <ul style="list-style-type: none"> • safe and padlock combinations • names or other personal identifiers of individuals who know combinations 	<p>DAA-GRS-2013-0007-0020 (GRS 4.2, item 031)</p>	<p>TEMPORARY. Destroy when superseded or obsolete, but longer retention is authorized if</p>

		<ul style="list-style-type: none"> comparable data used to control access into classified document containers 		required for business use.
		<p>c. Records relating to classified or controlled unclassified document containers.</p> <p>Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.</p> <p>Note: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p>	DAA-GRS-2016-0002-0003 (GRS 4.2, item 032)	TEMPORARY. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.
205-05	Records of Accounting for and Controlling Access to Records Requested Under FOIA, PA, and MDR.	<p>Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:</p> <ul style="list-style-type: none"> forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request inventories forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data agent and researcher files 	<p>DAA-GRS- 2019-0001-0003 (GRS 4.2, item 040)</p> <p>Supersedes DAA-GRS- 2016-0002- 0004 (GRS 4.2, item 040) and <i>Supersedes NOAA Records Series Items: 200-16, Freedom of Information Act (FOIA) Control Records (GRS 14, item 13a and 13b); 200-51, Privacy Act Control Files (GRS 14, item 24a and 24b);</i></p>	TEMPORARY. Destroy or delete 5 years after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply,

				whichever is later; but longer retention is authorized if required for business use.
205-06	Privacy Act Accounting of Disclosure Files.	<p>Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:</p> <ul style="list-style-type: none"> • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent 	<p>NC1-64-77-1, item 27 (GRS 4.2, item 50)</p> <p><i>Supersedes GRS 14, item 23, and NOAA Records Series Items: 200-50, Privacy Act Accounting of Disclosure Files (GRS 14, item 23)</i></p>	TEMPORARY. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.
205-07	Erroneous Release Records.	<p>Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:</p> <ul style="list-style-type: none"> • requests for information • copies of replies • all related supporting documents <p>May include:</p>		

		<ul style="list-style-type: none"> • official copy of records requested or copies 		
		<p>a. Records filed with the record-keeping copy of the erroneously released records.</p>	<p>DAA-GRS- 2015-0002-0001 (GRS 4.2, item 060)</p> <p><i>Supersedes NOAA Records Series Item:</i></p> <p><i>200-54a, Privacy Act Erroneous Release Files - Files that include the official file copy of the released records (GRS 14, item 36a)</i></p>	<p>TEMPORARY. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p>
		<p>b. Records filed separately from the record-keeping copy of the released records.</p>	<p>DAA-GRS- 2015-0002- 0002 (GRS 4.2, item 061)</p> <p><i>Supersedes NOAA Records Series Item:</i></p> <p><i>200-54b, Files that include the official file copy of the released records - Files that include the official file copy of the released records (GRS 14, item 36b)</i></p>	<p>TEMPORARY. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.</p>
		<p>c. Privacy Complaint Files. Records of privacy complaints (and responses) agencies receive in these categories:</p>	<p>DAA-GRS-2019-0001-0004 (GRS 4.2, item 065)</p> <p>NEW</p>	<p>TEMPORARY. Destroy 3 years after resolution or referral, as appropriate, but</p>

		<ul style="list-style-type: none"> • process and procedural (consent, collection, and appropriate notice) • redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act) • operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction) complaints referred to another organization 		longer retention is authorized if required for business use.
205-08	Agency Reports to the Congress, Department of Justice, or other Entities Regarding FOIA, MDR, PA, and Similar Access and Disclosure Programs.	Note: <i>This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</i>	DAA-GRS- 2013-0007-0006 (GRS 4.2, item 070) <i>GRS 14, item 14, FOIA Reports File; and NOAA Records Series Item: 200-52, Privacy Act Reports Files (GRS 14, item 25)</i>	TEMPORARY. Destroy 2 years after date of report, but longer retention is authorized if required for business use.
205-09	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.		

		<p>a. Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</p> <p>Legal citation: OMB M-07-16.</p>	<p>DAA-GRS- 2013-0007- 0022 (GRS 4.2, item 080)</p> <p><i>GRS 27, item 4, Legal and Regulatory Compliance Records</i></p>	<p>TEMPORARY. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p>
		<p>b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</p>	<p>DAA-GRS- 2013-0007- 0023 (GRS 4.2, item 081)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.</p>
205-10	Privacy Act Amendment Request Files.	<p>Files relating to an individual’s request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual’s request for review of an agency’s refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:</p> <ul style="list-style-type: none"> • requests to amend and to review refusal to amend • copies of agency’s replies • statement of disagreement • agency justification for refusal to amend a record • appeals 	<p>DAA-GRS- 2013-0007- 0007 (GRS 4.2, item 090)</p> <p><i>Supersedes NOAA Records Series Item:</i></p> <p><i>200-49</i></p>	<p>TEMPORARY. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> • related materials 		
205-11	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.	DAA-GRS2020-0002-0001 (GRS-4.2, item 100) Updated 9-22	TEMPORARY. Destroy or delete after conducting next review or when subject records are transferred to NARA, but longer retention is authorized if required for business use.
205-12	Fundamental Classification Guidance Review Files.	Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).	DAA-GRS- 2013-0007-0011 (GRS 4.2, item 110)	TEMPORARY. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.
205-13	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. Records maintained in the individual's official personnel folder.	GRS 4.2, item 120	Apply the disposition for the official personnel folder.
		b. Records maintained separately from the individual's official personnel folder.	DAA-GRS- 2015-0002-0003 (GRS 4.2, item 121)	TEMPORARY. Destroy when 50 years old.
205-14	Personally Identifiable Information Extracts.	System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information. Legal citation: OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet "Log and Verify."	DAA-GRS- 2013-0007-0012 (GRS 4.2, item 130)	TEMPORARY. Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.
205-15	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.	DAA-GRS- 2013-0007-0013 (GRS 4.2, item 140)	TEMPORARY. Destroy when business use ceases.
205-16	Privacy Act System of Records Notices (SORNs).	Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency	DAA-GRS- 2016-0003-0002 (GRS 4.2, item 150)	TEMPORARY. Destroy 2 years after supersession by a revised SORN or after

		establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).		system ceases operation, but longer retention is authorized if required for business use.
205-17	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 EGovernment Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.		
		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).	DAA-GRS- 2016-0003-0003 (GRS 4.2, item 160)	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.

		b. Records of Privacy Impact Assessments (PIAs).	DAA-GRS- 2016-0003-0004 (GRS 4.2, item 161)	TEMPORARY. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.
205-18	Computer Matching Program Notices and Agreements.	Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant	DAA-GRS- 2016-0003-0005 (GRS 4.2, item 170)	TEMPORARY. Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.

		background material documenting formulation of notices and agreements.		
205-19	Virtual Public Access Library Records.	<p>Records published by an agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:</p> <ul style="list-style-type: none"> • final concurring and dissenting opinions and orders agencies issue when adjudicating cases • statements of policy and interpretations the agency adopts but does not publish in the Federal Register • administrative staff manuals and instructions to staff that affect a member of the public • copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times • indexes of agency major information systems • descriptions of agency major information and record locator systems 	DAA-GRS- 2016-0008-0001 (GRS 4.2, item 180)	TEMPORARY. Destroy when no longer needed.

		<ul style="list-style-type: none"> • handbooks for obtaining various types and categories of agency public information <p>Exclusion: This item refers only to copies an agency publishes on line for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.</p> <p>Not media neutral. Applies to electronic records only.</p>		
	Controlled Unclassified Information (CUI) Program Records.	Exclusion: Records of the Controlled Unclassified Information Executive Agent Office of the National Archives (NARA must schedule these records separately.		
205-20	CUI Program Implementation Records.	<p>Records of overall program management. Includes:</p> <ul style="list-style-type: none"> • records documenting the process of planning agency policy and procedure • agency submissions to the CUI Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to 	<p>DAA-GRS-2019-0001-0005 (GRS 4.2, item 190)</p> <p>NEW</p>	<p>TEMPORARY. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>

		<p>designate unclassified information as CUI</p> <ul style="list-style-type: none"> • agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI • correspondence with CUI Executive Agent <p>Exclusion 1: CUI directives and formal policy documents (agencies must schedule these separately).</p> <p>Exclusion 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these).</p> <p>Exclusion 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).</p>		
205-21	CUI Information Sharing Agreements.	Agreements in which agencies agree to share CUI with non-executive branch entities (<i>e.g.</i> , state and local police) and foreign entities that agree to protect the CUI.	DAA-GRS-2019-0001-0006 (GRS 4.2, item 191) NEW	TEMPORARY. Destroy 7 years after canceled or superseded, but longer retention is authorized if

		Exclusion: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.		required for business use.
205-22	Records of Waivers of CUI Requirements.	Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.	DAA-GRS-2019-0001-0007 (GRS 4.2, item 192) NEW	TEMPORARY. Destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable, but longer retention is authorized if required for business use.
205-23	Records of Requests for Decontrol and Challenges to CUI Designations.	Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.		
		a. Records filed with the record-keeping copy of the CUI-marked records.		Follow the disposition instructions approved for the records at issue.
		b. Records filed separately from the record-keeping copy of the CUI-marked records.	DAA-GRS-2019-0001-0008 (GRS 4.2, item 194) NEW	TEMPORARY. Destroy 6 years after change in CUI status, but longer retention is authorized if

				required for business use.
205-24	Records of CUI Misuse.	<p>Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions.</p> <p>Exclusion: If the agency assigns such investigations to its Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.</p>	<p>DAA-GRS-2019-0001-0009 (GRS 4.2, item 195)</p> <p>NEW</p>	<p>TEMPORARY. Destroy 5 years after completing the investigation or completing all corrective actions, whichever is later, but longer retention is authorized if required for business use.</p>

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
206	Administrative Help Desk Records.	Help desk services are provided by service centers to respond to Government and contract employees' technical and administrative questions. This schedule covers records on managing administrative, technical, and information technology (IT) help desks. It includes records on assistance provided both within the agency and through inter-agency service agreements on functions such as IT help, security, parking, payroll, timekeeping, human resources, etc.		
206-01	Technical and Administrative Help Desk Operational Records.	<ul style="list-style-type: none"> • records of incoming requests (and responses) made by phone, email, web portal, etc. • trouble tickets and tracking logs • quick guides and “Frequently Asked Questions” (FAQs) • evaluations and feedback about help desk services 	DAA-GRS-2017- 0001-0001 (GRS 5.8, item 010)	TEMPORARY. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.

		<ul style="list-style-type: none">• analysis and reports generated from customer management data• customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports <p>Exclusion: Public customer service records scheduled under GRS 6.5.</p>		
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GENERAL RECORDS SCHEDULE 6.1: Email Managed under a Capstone Approach

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

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

GRS Scope

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

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

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

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

Applying this GRS

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

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

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

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

Series # 207	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
207-01	Email Managed Under a Capstone Approach.	<p>Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. This GRS may apply to records affiliated with other commonly available functions of email programs such as calendars/appointments, tasks, and chat.</p>	<p>GRS-6-1-0370-2022-0001-10 (GRS 6.1, item 010) New -9-22</p> <p><i>Previously filed as NOAA Records Series Item 204-06</i></p>	<p>PERMANENT. Cut off in accordance with agency's business needs. Transfer to NARA 15-25 years after cutoff, or after declassification review (when applicable), whichever is later.</p>
		<p>Email of Capstone officials. Capstone Officials are senior officials designated by account level or by email addresses, whether the addresses are based on an individual's name, title, a group, or a specific program function. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), Verification for Implementing GRS 6.1, and must include, when applicable:</p> <ol style="list-style-type: none"> 1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent; 		

		<p>2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s);</p> <p>3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s);</p> <p>4. Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides;</p> <p>5. Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s);</p> <p>6. Directors of significant program offices, and/or their equivalent(s);</p> <p>7. Principal regional officials, such as Regional Administrators, and/or their equivalent(s);</p>		
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		<p>8. Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General, etc.;</p> <p>9. Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions); and</p> <p>10. Additional roles and positions that predominately create permanent records related to mission critical functions or policy decisions and/or are of historical significance.</p> <p>This includes those officials in an acting capacity for any of the above positions longer than 60 days. Agencies may also include individual emails from otherwise temporary accounts appropriate for permanent disposition in this category.</p> <p>This item must include all existing legacy email accounts that correlate to the roles and positions described above.</p> <p>If a Capstone official has more than one agency-administered email account, this</p>		
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		<p>item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of these records must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.</p> <p>Please consult NA-1005, for more information on which positions are included within each category.</p> <p>Not media neutral; applies to records managed in an electronic format only.</p> <p>Note 1: <i>Cabinet level agencies implementing a Capstone approach that includes their components/operatives must apply the above definition to each component individually. In these cases,</i></p>		
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		<p><i>each component/operative is considered a separate agency in terms of the above definition of Capstone Officials. A component/operative of a cabinet level agency can implement a Capstone approach independent of their department but must also conform to the entirety of this definition.</i></p> <p><i>-Capstone Officials have complete oversight and responsibility spanning a larger region (e.g., multiple states or specific geographic area) in carrying out mission-critical activities. For example, an agency may have 10 regions, each with a Regional Administrator that is responsible for mission-critical activities within that region's jurisdictions; these 10 Regional Administrators would fall into this category. Heads (regardless of title) of offices outside of headquarters, but not under a regionalized structure, are not included in this category. For example, it does not pertain to the heads of individual offices in the field, such as, but not limited to, customer service centers, processing centers, or administrative offices that conduct routine activities (e.g., passport offices, or Social Security claims processing offices, IRS service centers, commissaries).</i></p>		
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		<p>Note 2: <i>Smaller agencies, micro-agencies or Commissions implementing a Capstone approach may find that some of their Capstone positions fall into several of the categories above and/or that they do not have applicable roles or positions for all categories.</i></p>		
207-02	Email of Non-Capstone Officials.	<p>Email of all other officials, staff, and contractors not included in item 010. Not media neutral; applies to records managed in an electronic format only.</p> <p>Note: <i>Agencies only using item 011 and/or item 012 of this GRS may not dispose of any email of officials in item 010, Email of Capstone Officials, of this GRS without authority from NARA in the form of another GRS or agency specific schedule. Submission and approval of NA-1005 is still required in these instances to document those being exempted from Capstone.</i></p>	Previously filed as NOAA Records Series Item 204-07	
		<p>a. All others except those in item 012.</p> <p>Includes positions and email not covered by items 010 or 012 of this schedule. This item applies to the majority of email accounts/users within an agency adopting a Capstone approach.</p>	<p>GRS-6-1-0370-2022-0001-11</p> <p>(GRS 6.1, item 011)</p>	<p>TEMPORARY. Delete when 7 years old, but longer retention is authorized if required for business use.</p>

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
208	Public Customer Service Records.	This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll free numbers), dialogue (via chat), and email.		
208-01	Public Customer Service Operations Records.	<p>Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes:</p> <ul style="list-style-type: none"> • incoming requests and responses • trouble tickets and tracking logs • recordings of call center phone conversations with customers used for quality control and customer service training 	<p>DAA-GRS- 2017-0002- 0001 (GRS 6.5, item 010)</p> <p><i>Previously filed as NOAA Records Series 207-01</i></p>	<p>TEMPORARY. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>

		<ul style="list-style-type: none"> • system data, including customer ticket numbers and visit tracking • evaluations and feedback about customer services • information about customer services, such as “Frequently Asked Questions” (FAQs) and user guides • reports generated from customer management data • complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports. <p>Exclusion 1: Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency specific schedule.</p> <p>Exclusion 2: Reports that recommend changes or revisions to an agency’s customer service operation; agencies must schedule these records on an agency-specific schedule.</p>		
208-02	Customer/Client Records.	Distribution lists used by an agency to deliver specific goods or services. Records include:	DAA-GRS-2017-0002-0002 (GRS 6.5, item 020) <i>Previously filed as NOAA</i>	TEMPORARY. Delete when superseded, obsolete, or when customer requests

		<ul style="list-style-type: none">• contact information for customers or clients• subscription databases for distributing information such as publications and data sets produced by the agency• files and databases related to constituent and community outreach or relations• sign-up, request, and opt-out forms	<i>Records Series 207-02</i>	the agency to remove the records.
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