

Introduction to the DOI Departmental Records Schedule (DRS)

The U. S. Department of the Interior (DOI), Record Group 048, protects and manages the Nation's natural resources and cultural heritage; provides scientific and other information about those resources; and honors its trust responsibilities or special commitments to American Indians, Alaska Natives, and affiliated island communities. In accomplishing this mission, DOI records these activities, maintaining adequate and proper documentation of Department policies and transactions, through its comprehensive records management program. DOI serves its customers in the four broad areas of recreational uses, commercial uses, community services, and science for decision making. This service is reflected in the Department's Strategic Plan (2011-16), which identifies the following five mission areas:

1. Provide Natural and Cultural Resource Protection and Experiences
2. Sustainably Manage Energy, Water, and Natural Resources
3. Advance Government-to-Government Relationships with Indian Nations and Honor Commitments to Insular Areas
4. Provide a Scientific Foundation for Decision Making
5. Building a 21st Century Department of the Interior.

Department Organization:

The Department is guided by the Office of the Secretary (048) and includes the following Bureaus:

- Bureau of Indian Affairs (075)
- Bureau of Land Management (049)
- Bureau of Ocean Energy Management (589)
- Bureau of Reclamation (115)
- Bureau of Safety and Environmental Enforcement (473)
- Fish and Wildlife Service (022)
- National Park Service (079)
- Office of Surface Mining, Reclamation, and Enforcement (471)
- US Geological Survey (057)

For a high-level departmental organizational chart, visit:

<http://www.doi.gov/whoweare/orgchart.cfm>.

Methodology:

The Department culled the Lines of Business applicable to its mission and operations; then added relevant categories from the Department's Strategic Plan and the Office of Budget's Accounting Business Codes. The resulting Lines of Business were then divided among the categories of policy, mission, legal, and administrative buckets. Each bureau was asked to map the existing records retention schedules to the Department's Lines of Business, which are listed below. The crosswalks showing this work are attached.

I. Provide Natural and Cultural Resource Protection and Experiences

- a. Cultural and Heritage
- b. Disaster Management
- c. Economic Development

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- d. Recreation
- e. Wilderness Management
- f. Wildland Fire

II. Sustainably Manage Energy, Water, and Natural Resources

- a. Biological Resources
- b. Energy
- c. Land Management Planning, Environmental Management, Land Conservation, and NEPA
- d. Land Use
- e. Marine Conservation
- f. Minerals
- g. Water

III. Advance Government-to-Government Relationships with Indian Nations and Honor Commitments to Insular Affairs

- a. Indian Trust
- b. International and Insular Affairs
- c. Tribal Government

IV. Provide a Scientific Foundation for Decision Making

- a. General Science

V. Building a 21st Century Department of Interior

- a. Community and Social Services
- b. Education
- c. Geospatial Services
- d. Public Affairs
- e. Public Health and Safety
- f. Technology Development and Transfer
- g. Transportation
- h. Use Authorization.

This move to a department schedule, from individual bureau schedules, moves Record Groups 022 (FWS), 049 (BLM), 057 (USGS), 075 (BIA), 079 (NPS), 115 (BOR), 471 (OSMRE), 473 (BSEE), and 589 (BOEMRE) to 048. All FRC, Annual Move, and Direct Offer interactions with NARA will continue to be broken out according to the assigned Record Group number for the creating agency. The underlying authority for each interaction will be the approved DRS authority established by this schedule.

This disposal authority will only apply on a “day-forward” basis from date of approval, and does not require retroactive changes to existing accessions at the FRCs.

Automation:

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As part of the DOI's comprehensive records management program, DOI developed the eMail Enterprise Records and Document Management System (eERDMS) program with the objective of providing the Department with a single cohesive integrated records and information governance platform, which directly supports M-12-18, the Presidential Directive on Records Management. The eERDMS program is designed to support and manage Departmental records, including email, documents, and related content information, independently, fixed or mobile. eERDMS consists of four major systems brought together to support records, content management, case management, forms management, and dash-boarding capabilities. Migrating DOI to the Departmental Records Schedule described above will enable a smoother and more consistent implementation of eERDMS.

Note Regarding BIA, OST, and OHA Administrative Records

For the Bureau of Indian Affairs (BIA) and Office of the Special Trustee for American Indians (OST), records specific to the Indian Fiduciary Trust Responsibility and/or mission specific records will be scheduled separately. The Department's Administrative Bucket Schedule will not be used to manage these records.

Similarly, records in the Office of Hearings and Appeals (OHA) identified in this records schedule are purely administrative and do not document or support decisions or case material in a substantive way.

Note Regarding Other GRS Items

Although the following schedule supersedes a large number of existing GRS and non-GRS administrative records schedules, there are many that are not affected. In some cases, existing schedules are obsolete, either due to age or because they address records or handling practices that are no longer accurate. However, there are many GRS items that remain active and in use, either due to exceptionally short retention times that can be utilized without change, or because laws or regulations prevent altering their disposition. This includes:

GRS 1-1a	GRS 1-23b(4)	GRS 12-1
GRS 1-1b	GRS 1-33i	GRS 12-3a
GRS 1-4a	GRS 2-1b	GRS 12-3b
GRS 1-4b(3)	GRS 2-2	GRS 12-6b
GRS 1-12d	GRS 2-6a	GRS 12-6c
GRS 1-21a(1)	GRS 2-14a	GRS 12-6f
GRS 1-21a(2)	GRS 2-14b	GRS 13-4a
GRS 1-23a(1)	GRS 2-14c	GRS 13-4b
GRS 1-23a(2)	GRS 2-23b	GRS 14-1
GRS 1-23a(3)(a)	GRS 3-1a	GRS 14-2
GRS 1-23a(3)(b)	GRS 3-1b	GRS 14-5
GRS 1-23a(4)	GRS 3-5d	GRS 14-23
GRS 1-23a(5)	GRS 3-8b	GRS 14-36a
GRS 1-23b(1)	GRS 4-4	GRS 17-1
GRS 1-23b(2)(a)	GRS 6-10b(2)(a)	GRS 17-5
GRS 1-23b(2)(b)	GRS 8-7b(1)	GRS 18-18
GRS 1-23b(3)	GRS 8-7b(2)	GRS 18-25a

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GRS 20-11a(2)	GRS 23-7	GRS 25-4
GRS 20-12b	GRS 24-13a(1)	GRS 25-5a
GRS 21-6	GRS 24-13a(2)	GRS 25-5b
GRS 21-7	GRS 24-13b	GRS 26-6a
GRS 21-11	GRS 25-1a	GRS 25-6b
GRS 21-16	GRS 25-1b	GRS 25-7a
GRS 21-18	GRS 25-2a(1)	GRS 25-7b
GRS 21-22	GRS 25-2a(2)	GRS 25-8a
GRS 21-23	GRS 25-2b(1)	GRS 25-8b
GRS 21-24	GRS 25-2b(2)	GRS 25-9
GRS 21-26	GRS 25-2c(1)	
GRS 23-6a	GRS 25-3	

Additionally, several GRS items are planned for integration with other Departmental Records Schedules, and are not included in the following schedule. This includes:

GRS 1-25a	GRS 1-25h(2)	GRS 10-11a
GRS 1-25d(1)	GRS 1-25h(3)	GRS 18-14b
GRS 1-25d(2)	GRS 1-25h(4)	GRS 18-24a
GRS 1-25f	GRS 1-27b	GRS 18-24b
GRS 1-25g	GRS 1-30a	GRS 26-2a
GRS 1-25h(1)	GRS 1-30b	

Schedule 1 - Administrative Records

The records in the administrative schedule document routine operations and administrative management functions carried out across the Department of the Interior that support government business, but do not directly document the performance of the agency's mission. Administrative records relate to common agency-wide functions such as: budget and finance, routine communications, information technology and services, payroll and benefits, personnel, procurement and supply, facilities management, and travel.

This schedule does not distinguish between types of media and should be considered media neutral. Many administrative functions throughout the Department are conducted in both hard copy (paper) and electronic form, though increasingly offices are moving to the convenience of electronic records for administration. Though the retention does not differ, cut off and handling instructions may differ for records in other media than paper.

Overview of Departmental Records Schedule (DRS) 1:

1.1 - Administration

- 1.1A – [0001] Short-term Administration Records
- 1.1B – [0002] Long-term Administration Records
- 1.1C – [0003] Administration Records of Specific Temporary Value

1.2 Human Resources Management

- 1.2A – [0004] Short-term Human Resources Records
- 1.2B – [0005] Long-term Human Resources Records
- 1.2C Retirement and Payroll Records Warranting Extended Preservation**
 - 1.2C1 – [0006] Retirement Records
 - 1.2C2 – [0007] Payroll System Data
 - 1.2C3 – [0008] Other Long-term Records
- 1.2D – [0009] Human Resources Records of Specific Temporary Value

1.3 Financial and Acquisition Management

- 1.3A – [0010] Short-term Financial and Acquisition Records
- 1.3B – [0011] Long-term Financial and Acquisition Records
- 1.3C – [0012] Financial and Acquisition Records of Specific Temporary Value

1.4 Information Technology

1.4A - Short-term Information Technology Records

- 1.4A1 - [0013] System Maintenance and Use Records
- 1.4A2 - [0014] System Planning, Design, and Documentation
- 1.4B – [0015] Long-term Information Technology Records

1.1 – Administration

This item provides disposition authority for all DOI activities devoted to the day-to-day management and maintenance of internal operations that are not associated with human resources/payroll, financial accounting and procurement, or information technology. These records cover a broad range of administrative functions which manage and support a program office, including: routine office/housekeeping files; motor vehicle/fleet management; space and facilities management records; communications; printing, binding and duplication functions; information management (including FOIA, Privacy Act, and Records Management); administrative management; routine/draft photographs, cartographic records, and architectural/engineering drawings; audiovisual records; certain temporary commission records; and certain routine security and protective services records.

A. [0001] Short-term Administration Records

These records encompass administrative functions described above that are produced and maintained in the course of routine business, and do not reflect government business that is subject to additional preservation. Records in this item often provide input into more valuable administrative records, either as supporting documentation or as a submission for a more comprehensive record. Records are characterized by being necessary for day-to-day operations but not long-term justification of the office's activities.

There are numerous records covered under this item, and compiling an exhaustive list would not be possible. Offices are responsible for creating a detailed file plan or similar document to note all records they create and maintain, including records in this category, and must work with their Responsible Records Officer to ensure that all records are appropriately identified and accounted for. The following list is a broad overview of the records covered by this item, with specific details included where possible, but it should not be considered a complete and exclusive listing of all pertinent documents.

Routine Administration Files include:

1. Correspondence and subject files pertaining to the administration and operation of an administrative program (space and maintenance; motor vehicle maintenance/operations; communications; printing/binding/duplication; information services; administrative management; security and protective services; and temporary commissions) which do not set policy or document mission-specific actions.
2. Records pertaining to the routine management, maintenance, and day-to-day operation of motor vehicles and aircraft used by agencies, except as identified by 0002 or in the DRS Mission Bucket Schedule. This includes maintenance records relating to service and repair; motor vehicle ledger and worksheets providing cost and expense data; reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data; records relating to individual employee operation of Government-owned vehicles (driver tests, authorization to use, safe driving awards, and similar); and records that pertain to the day-to-day operation of aircraft operated by Federal agencies (documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records). (Note that certain records of the Office of Wildland Fire

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Coordination, the Office of Aviation Services, Fish and Wildlife Service, and the Bureau of Land Management are not covered under this item; see the DRS Mission Bucket Schedule for additional information)

3. Records relating to space and maintenance (acquisition, allocation, utilization, assignment, reports, and other forms/documentation). This includes agency reports to the GSA; correspondence/reports to staff agencies relating to agency space holdings and requirements; and credentials files (receipts, indexes, listings, and accountable records). This item does not cover: (a) records that are an integral part of accountable officers' accounts (0010 and 0011); (b) records of procurement and supply (0010 and 0011); (c) actual identification credentials (cards, badges, permits, photographs, etc.; see 0003); or (d) requests for building and equipment maintenance (see 0003).
4. Records documenting communication functions for an office, such as telecommunications, messenger service, package and mail delivery and other mail/communications administration. Specific records include telecommunications equipment requests and telephone service; statistical reports of cost, work performed, and volume; reference copies of vouchers, bills, and invoices; records of installation, change, removal, and servicing of equipment; copies of agreements for telecommunications services; telephone use records; management of incoming and outgoing registered mail pouches, or of registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts; report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail; records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies; records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail; and correspondence, memoranda, directives, and guides relating to the administration of mail room operations. This item does NOT include Metered Mail (see 0002)
5. Records relating to printing, binding, duplication, and distribution such as requests for service, control, production, distribution of individual projects, report files, and other supporting records. These records pertain to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents. This item **does not** cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit and agency copies which are part of the accountable officers' accounts (see 0010 and 0011); (c) records relating to services obtained outside the agency; and (d) records that reflect agency programs, rather than administrative management functions.
6. Records pertaining to information services (but not information technology or systems administration) and relations with requests for information from the public. This includes Freedom of Information Act records (request files, recurring reports and one-time information requirements, and general agency implementation of the FOIA); Privacy Act records (request files, recurring/one-time reports, and agency implementation; Mandatory Review for Declassification files (request files, reports on agency implementation of the current Executive order on classified national security information, and other general agency implementation); and information service project case files. This item does not include FOIA, Privacy Act, or Mandatory Declassification Requests that warrant long-term preservation (when a request is denied, and any appealed requests), Privacy Act

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- amendment case files, or any documents concerning the erroneous release of government records.
7. Records relating to administrative management activities, excluding personnel records, budget, and accounting, which are covered elsewhere (see 0004-0011). Included are management control records for routine operations of a program (reports and assurance statements created below the agency level, procedures and guidance files, risk analyses, control plans, and tracking files); records management activities limited to SF 115s Request for Records Disposition Authority (or similar record), records holdings files, and other routine correspondence; project and report control files; and records documenting the processing of Federal Register Notices.
 8. Security and protective services records including local copies of investigative files that are sent to other offices or agencies, and investigative files too minor to warrant such treatment
 9. Classified information accounting and control records (including forms, ledgers, and registers) documenting the presence, receipt, issuance, and destruction of classified documents; requests and authorizations for individuals to access classified files. This item does not cover the aforementioned records as they might pertain to Top Secret material (see 0002 and 0003).
 10. Facilities security and protective services, including: reports of surveys/inspections of Government-owned facilities to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry; investigative files of fires, explosions, and accidents submitted for review and filing in other agencies or organizational elements; reports concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements; files relating to guard assignments and strength (including requirements for posts); guard force security checks; guard service control files documenting regular rounds, interruptions, and tests; reports and ledger records of police arrests, cars ticketed, and contact with outside police; files relating to accountability for personal property lost or stolen; files relating to accountability for keys issued for areas under maximum security; logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers for areas NOT under maximum security;
 11. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted.
 12. Emergency operations files, including case files accumulated by offices responsible for the preparation and issuance of plans and directives, including a copy of each plan/directive issued, and any related background documents. Also included are files concerning emergency operations tests conducted under agency plans. This item **DOES NOT** cover the official record copy of each emergency plan or directive or consolidated and comprehensive reports of emergency operations tests (see DRS Policy Bucket Schedule, DAA-0048-2013-0008).
 13. Audiovisual and related records created by or for the Department for administrative purposes, and routine events or activities not mission-related. Audiovisual records include all forms of such media, including still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1)

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- production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.
14. Files that relate to day-to-day Commission activities for temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees), including correspondence, reference and working files of Commission staff, copies of committee records (agendas, meeting minutes, final reports) not maintained by the sponsor or Secretariat.
 15. Schedules of daily activities, EXCLUDING records relating to the official activities of high Government officials (see the DRS Policy Bucket Schedule, DAA-0048-2013-0008) and other records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists.

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exceptions to the GRS include:

GRS 10-1	GRS 13-2a	GRS 16-14b
GRS 10-2b	GRS 13-2b	GRS 16-14c
GRS 10-3	GRS 13-3	GRS 16-14d
GRS 10-4	GRS 13-6	GRS 16-14e
GRS 10-7	GRS 14-4	GRS 18-1
GRS 10-9	GRS 14-11a1	GRS 18-2
GRS 11-1	GRS 14-11a2a	GRS 18-3
GRS 11-2a	GRS 14-14	GRS 18-4
GRS 11-2b1	GRS 14-15	GRS 18-6
GRS 11-2b2	GRS 14-21a1	GRS 18-8
GRS 12-2a	GRS 14-21a2a	GRS 18-9
GRS 12-2b	GRS 14-25	GRS 18-11
GRS 12-2c	GRS 14-26	GRS 18-13a
GRS 12-2d1	GRS 14-31a1	GRS 18-13b
GRS 12-2d2	GRS 14-31a2a	GRS 18-14a
GRS 12-2e	GRS 14-34	GRS 18-14c
GRS 12-4	GRS 14-35	GRS 18-15a
GRS 12-5a	GRS 16-2a1	GRS 18-15b
GRS 12-5b	GRS 16-2b	GRS 18-16a
GRS 12-5c	GRS 16-4a	GRS 18-17b
GRS 12-6a	GRS 16-4b	GRS 18-18a
GRS 12-6d	GRS 16-5	GRS 18-19b
GRS 12-6e	GRS 16-6	GRS 18-19c
GRS 12-6g	GRS 16-13a	GRS 18-20a
GRS 12-8	GRS 16-13b	GRS 18-20b
GRS 13-1	GRS 16-14a	GRS 18-21

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GRS 18-22a	GRS 21-5	GRS 21-20
GRS 18-26	GRS 21-9	GRS 23-1
GRS 18-27	GRS 21-12	GRS 23-5a
GRS 18-28	GRS 21-14	GRS 26-2b
GRS 21-1	GRS 21-17	GRS 26-3
GRS 21-3	GRS 21-19	GRS 27-7

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at the end of the fiscal year in which the record is created if no unique cut-off is specified. Destroy 3 years after cut-off.

B. [0002] Long-term Administration Records

This disposition applies to administrative records that require additional retention, generally to conform to preservation standards in specific regulations, policies, or other legal/statutory requirements. These records may be more comprehensive and complete records, involve interaction with the public in a manner that necessitates longer protections, or support a financial obligation (though these are most frequently covered by 0011).

Though records in this category are more specific than those identified under 0001, it is still a broad group of documents, and an exhaustive list may not be feasible. If not addressed below, offices must coordinate with their Bureau Records Officer to determine if this item is appropriate, and include such records under their office file plan, or similar documentation.

Specific records under this category include:

1. Records relating to motor vehicle or aircraft accidents, maintained by transportation offices; records relating to transfer, sale, donation, or exchange of vehicles; records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services; comments on regulations, directives or other publications that relate to logistics matters; records relating general maintenance activities, modifications, or improvements designed to meet programmed requirements; records on specific aircraft, including logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, modifications/alterations, and maintenance requests.
2. Official metered mail reports and all related papers.
3. Records pertaining to information services (but not information technology or systems administration) and information requests from the public. This includes Freedom of Information Act, Privacy Act, and Mandatory Review of Declassification requests when the request is appealed and/or denied; files maintained for control purposes in responding to FOIA, Privacy Act, and Mandatory Review for Declassification requests; Privacy Act Amendment case files; and files regarding the erroneous release of personally identifiable information (when not associated with a specific individual's file). This DOES NOT include Privacy Act Accounting of Disclosure files or erroneous release files associated with a specific individual's records, which maintain their disposition as detailed in the General Records Schedule (GRS 14-23 and 14-36a).

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4. Records relating to particular administrative management activities, including general records management projects/activities not mentioned in 0001, forms files (one record copy of each form created by an office with related instructions and documentation), feasibility studies conducted before the installation of any technology or equipment associated with information management, and Information Collection reviews and budget files. Note that this item does not cover audits or internal control reviews (see DRS Legal, Regulatory Compliance, and Enforcement Bucket Schedule – DAA-0048-2014-0001) program monitoring, or policies/directives (see DRS Policy Bucket Schedule – DAA-0048-2013-0008).
5. Security and protective services records created by agencies to control and protect classified information, and to secure government facilities, limited to: Top Secret accounting and control files; registers maintained at control points to account for Top Secret documents (including receipt, dispatch, or destruction of the documents); surveys and inspections of private facilities assigned security cognizance by the Department; registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas; and reports on automobiles and passengers for areas under maximum security.
6. Personnel identification and Passport photographs.

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department’s electronic records management system(s).

Exceptions to the GRS include:

GRS 10-5	GRS 14-21a	GRS 16-2a2
GRS 10-6	GRS 14-22a	GRS 16-3a
GRS 10-10	GRS 14-22b	GRS 16-7
GRS 10-11b	GRS 14-22c	GRS 16-9
GRS 10-12	GRS 14-24a	GRS 16-12
GRS 10-13	GRS 14-24b	GRS 18-5a
GRS 12-7	GRS 14-31a3a	GRS 18-10
GRS 14-11a3a	GRS 14-32a	GRS 18-17a
GRS 14-12a	GRS 14-33a	GRS 21-2
GRS 14-13a	GRS 14-33b	GRS 26-4
GRS 14-13b	GRS 14-36b	

Note that program offices dedicated to control, oversight, and execution of an administrative function for the entire Department may have records which require a stronger retention than what is listed here. Consult your records liaison or Responsible Records Officer for additional information before applying this disposition for records pertinent to the Department as a whole.

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are closed if no unique cut-off is specified. Destroy 7 years after cut-off.

C. [0003] Administration Records of Specific Temporary Value

These records are necessary to provide accountability for a specific administrative function or functions, but are not necessary immediately after fulfillment of that purpose, and often cannot be legally retained beyond that task or duty for any substantial length of time. Even when not required, preservation of such documents may weaken active records.

Records that are filed under this category must be carefully identified and approved by a Bureau Records Officer for inclusion if they are not specifically referenced in the following list.

Records under this category include:

1. Current personnel credentials, building access, and property access files, including: receipts, indexes, listings, and accountable records for personnel credentials files; current building access files (key or code records, emergency call cards, employee identification cards, and lists or rosters showing current security clearance status of individuals); property pass files authorizing removal of property and materials; and files for accountability of keys issued (for areas NOT under maximum security)
2. Drawings of temporary relevance to facilities/space management, such as: architectural drawings of temporary structures or buildings not critical to a mission function; drawings of electrical, plumbing, heating, air conditioning, or other facilities systems; and floor plans indicating occupancy of a building
3. Inventories of federal records, library catalogs/finding aids, and other tracking and control records superseded by new versions
4. Security files for the protection of Top Secret and Classified documents, specifically: forms accompanying documents to ensure continuing control/persons handling; and lists/forms used to records safe and padlock combinations, names of individuals with access, instances of access to documents, and other data controlling access to document containers
5. Arms distribution sheets, charge records, and receipts
6. Records for internal agency committees unrelated to an agency's mission
7. Certain records created by advisory commissions/committees (more fully described in the DRS Policy Bucket Schedule), including: electronic version of websites, design/management/operation of websites, and duplicated commission records
8. Notices and issuances related to administrative functions (e.g., payroll, procurement, training, travel, etc.), including any substantive documents related to development of the issuance.

Note that any security files involved in investigations must be retained in accordance with the investigation (see DRS Legal, Regulatory Compliance, and Enforcement Bucket Schedule).

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Prior to destruction/deletion of non-duplicate commission records, NARA will review records and may identify portions that warrant permanent retention.

Exceptions to the GRS include:

GRS 11-4b	GRS 17-10	GRS 18-23
GRS 16-1a	GRS 18-5b	GRS 23-8
GRS 16-1b	GRS 18-7a	GRS 26-1a
GRS 17-3	GRS 18-7b	GRS 26-2c1
GRS 17-4	GRS 18-12	GRS 26-2c2
GRS 17-6	GRS 18-16b	GRS 26-2c3
GRS 17-8	GRS 18-19a	
GRS 17-9	GRS 18-19d	

Disposition: Temporary. Cut off at when the object or subject the records refer to is removed/discontinued (e.g. commission terminated, register/list superseded, temporary structures removed, etc.). See specific bureau/office instructions for individual cases. Destroy when no longer needed.

1.2 – Human Resources Management

This item provides disposition authority for all DOI activities associated with the recruitment and management of personnel, except an employee's Official Personnel Folder, Individual Payroll Record, and Employee Medical Folders. These records remain covered by the GRS.

Records covered by this item include: agency personnel records relating to the supervision and management of Federal employees; payroll and pay administration records; and housing records accumulated in the maintenance and management of Federally owned and operated housing facilities for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects.

Certain housing records are subject to other items in this schedule. Supply and fiscal files are covered by 0010 and 0011, as are many records of agent cashiers serving as housing rental managers. Facilities, building, and equipment management records associated with government housing are covered by 0001 and 0002. See those items for additional information.

A. [0004] Short-term Human Resources Records

These records encompass human resources/payroll files described above that are not needed for extended preservation. Records are characterized by being necessary for day-to-day operations but not long-term justification of the office's activities.

There are numerous records covered under this item, and compiling an exhaustive list is not feasible. Offices are responsible for creating a detailed file plan or similar document to note all records they create and maintain, including records in this category, and must work with their Responsible Records Officer to ensure that all records are appropriately identified and accounted for. The following list is an overview of the records covered by this item, with specific details included where possible, but it should not be considered a complete and exclusive listing of all pertinent documents.

Specific records in this category include:

1. Correspondence, reports, and other records relating to personnel operations and functions
2. Service Record Cards
3. Position Classification files, including: standards and guidelines to classify and evaluate positions; position descriptions; position classification surveys; classification survey reports; and classification appeals (excluding OPM classification certificate)
4. Performance Rating Board Case Files
5. Immigration and Naturalization Service Form I-9 (or equivalent)
6. Awards records, including: general awards files (recommendations/nominations, etc.); length of service and sick leave awards; letters of commendation/appreciation; and reports for the Incentive Awards Program. This item DOES NOT include records for department-level awards.
7. Standard Form 50 or equivalent, documenting all individual personnel actions
8. Statistical reports in operating a personnel office and subordinate units.
9. Personnel office records relating to individual employees not maintained in eOPF and not provided for elsewhere in this schedule.
10. Health unit records, including: Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units, if information does not include

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summarized medical information about individuals; temporary or short-term employee medical records; and copies of statistical summaries and reports pertaining to employee health, retained by the reporting unit.

11. Reasonable Accommodation Request records, and files fulfilling equivalent functions
12. Certain Equal Employment Opportunity (EEO) files, including: preliminary and background files not filed in the Official Discrimination Complaint Case Files or which do not develop into official complaint files; copies of complaint case files; and employee housing requests. NOTE: Official Discrimination Complaints Case Files, EEO Compliance Reports, and most other EEO functions will be covered by Schedule 4 - Legal, Regulatory Compliance, and Enforcement (DAA-0048-2014-0001).
13. Personnel Counseling Records
14. Alcohol and Drug Abuse Program records.
15. Alternative Dispute Resolution (ADR) files, limited to general correspondence, copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program
16. Copies of records documenting ADR proceedings maintained in an office or bureau as supporting information. Official ADR case files will be filed under Schedule 4 - Legal, Regulatory Compliance, and Enforcement – DAA-0048-2014-0001.
17. Background and working files relating to agency-sponsored training.
18. Forms, reports, correspondence, and related medical and investigatory records concerning on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.
19. Merit Promotion Case Files
20. All examining and certification records except lost or Exposed Test Material Case Files (0005), correspondence/notices from eligible indicating a change in information (0009), test material stock control (0009), application record card (0009), and transitory/draft/input records. Included in this broad category of records are: delegated agreements; correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations; correspondence regarding examination requirements and job announcement development and publishing; register or inventory of eligible; letters to applicants denying transfer of eligibility; applications for positions filled from a register/inventory, or filled by case examining; request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status; Certificate Files, and all papers upon which the certification was based; certification request control index and certificate control log system; records pertaining to requests for lists of eligible; reports of audits of delegated examining operations.
21. Denied health benefits requests (applications, court orders, denial letters, appeal letters, and related papers). If denial was successfully appealed, an enrollment file is created and this item is not used.
22. Workplace Drug Testing Program Files (drug test plans and procedures, selection/scheduling records, records concerning the collection and handling of specimens, and test results). This item DOES NOT include formal directives/policy (see DOI Big Bucket Schedule 3 - Policy), any disciplinary case files that arise from drug

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testing program activities (see DRS Legal, Regulatory Compliance, and Enforcement Bucket Schedule – DAA-0048-2014-0001), or employee forms acknowledging receipt of notice that their position is sensitive for drug testing purposes (see 0009 of this schedule).

23. Donated Leave Program Case Files
24. Wage survey reports, data, background information, and correspondence
25. Correspondence, memoranda, and other records used to assist retiring employees/survivors claim benefits.
26. Records created under implementation of the Federal Employees Pay Comparability Act
27. Alternate Worksite Records (requests/application, agreements, and similar records documenting participation in an alternate worksite program)
28. Leave application files when an employee has not initialed time card or equivalent
29. Employee leave record, when held by the creating agency
30. Combined Federal Campaign individual allotment, and other allotment authorizations
31. Levy and Garnishment files (notices, change slip, release, and other records or forms used to pay federal employee debt)
32. Payroll system reports for agency workload, personnel management, and fiscal information. System reports for the operation of a system are filed in 0015.
33. Payroll change records subject to GAO audit
34. Housing maintenance and repair files (work orders, requisitions, summarized information/ledger record, and related papers)
35. Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data
36. Copies of leases, renewals, termination notices, and related documents
37. Housing assignment and vacancy files, including individual housing unit cards or equivalent, but NOT individual tenant cards (see 0009)
38. Files pertaining to the inventory of items included in furnished units

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department’s electronic records management system(s).

Exceptions to GRS items include:

GRS 1-2b	GRS 1-12b	GRS 1-24c
GRS 1-3	GRS 1-12c	GRS 1-24d
GRS 1-5	GRS 1-13	GRS 1-25b
GRS 1-7a	GRS 1-14a	GRS 1-25c1
GRS 1-7b	GRS 1-14b	GRS 1-25c2
GRS 1-7c1	GRS 1-16	GRS 1-25e
GRS 1-7c2	GRS 1-17b1	GRS 1-26a
GRS 1-7d1	GRS 1-20b	GRS 1-26b
GRS 1-9	GRS 1-21b	GRS 1-27a
GRS 1-10b	GRS 1-22	GRS 1-29a2
GRS 1-12a1	GRS 1-24a	GRS 1-31
GRS 1-12a2	GRS 1-24b	GRS 1-32

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GRS 1-33a	GRS 1-36a	GRS 2-15b
GRS 1-33b	GRS 1-36c	GRS 2-18
GRS 1-33f	GRS 1-36d1	GRS 2-22b
GRS 1-33g	GRS 1-36d2	GRS 2-22c
GRS 1-33h	GRS 1-36e1a	GRS 2-23a
GRS 1-33k	GRS 1-36e1b	GRS 2-24
GRS 1-33l(1)	GRS 1-36e2	GRS 15-1
GRS 1-33l(2)	GRS 1-37	GRS 15-2a
GRS 1-33m	GRS 1-38	GRS 15-2b
GRS 1-33n	GRS 1-39	GRS 15-3
GRS 1-33o	GRS 1-41	GRS 15-4
GRS 1-33p	GRS 1-42a	GRS 15-5b
GRS 1-33q	GRS 1-42b	GRS 15-6
GRS 1-33s	GRS 1-42c	GRS 15-7a
GRS 1-33t	GRS 2-6b	GRS 15-7b
GRS 1-35a	GRS 2-9b	
GRS 1-35b2	GRS 2-15a	

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at the end of the FY in which the record is created if no unique cut-off is specified. Destroy 3 years after cut-off.

B. [0005] Long-term Human Resources Records

This disposition applies to human resources records that require additional retention, generally to conform to preservation standards in specific regulations, policies, or other legal/statutory requirements. These records may be more comprehensive and complete versions of similar records in the ‘routine’ category, involve interaction with the public in a manner that necessitates longer protections, or support a financial obligation (though these are most frequently covered by 0011).

Though records in this category are more specific than those identified under 0004, it is still a broad group of documents, and an exhaustive list may not be feasible. If not addressed below, offices must coordinate with their Responsible Records Officer to determine if this item is appropriate, and include such records under their office file plan, or similar documentation.

Specific records include:

1. Position Classification Standards case files relating to the development of standards for positions peculiar to the agency, and OMB approval/disapproval.
2. Individual non-occupational health records. Note that this DOES NOT include the Employee Medical Folder.
3. Labor management relations files when held by the negotiating office, and labor arbitration files
4. Training records, including agency-sponsored training and employee training. This DOES NOT include background and working files (0004) or records of formally

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established schools which train employees in specialized program areas (e.g., law enforcement, national defense, etc). See the DRS Mission Bucket Schedule or DRS Legal, Regulatory Compliance, and Enforcement Schedule (DAA-0048-2014-0001) for items pertaining to these records.

5. Examining and Certification records concerning lost or exposed test materials, including circumstances of loss, recovery efforts, and corrective action.
6. Reports and logs documenting all recordable occupational injuries and illnesses.
7. Handicapped Individuals Appointment Case files (position title/description, medical examiner's report, statement explaining accommodation, and other related documents)
8. All time and attendance records upon which leave input data is based (sign-in sheets, time cards, flextime records, leave applications for jury and military duty, authorized overtime, or other similar records)
9. Records used to input time and attendance data into a payroll system
10. Tax files, including employee withholding allowance certificate, agency copy of employee wages/tax statements, and agency copy of employer reports of Federal tax withheld (e.g., Internal Revenue Service forms W-2, W-4, W-3, and statement equivalents)

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exceptions to GRS items include:

GRS 1-7a2a	GRS 1-29b	GRS 2-8
GRS 1-19	GRS 1-33j	GRS 2-13a
GRS 1-28a1	GRS 1-34	GRS 2-13b
GRS 1-28b	GRS 1-40	GRS 2-13c
GRS 1-29a1	GRS 2-7	

Program offices dedicated to an administrative function as its mission may have records which require a different retention than what is listed here if the office acts in an oversight or compliance role, or represents the Department as a whole. Consult your records liaison or Bureau Records Officer for additional information before applying this disposition if uncertain.

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are closed if no unique cut-off is specified. Destroy 7 years after cut-off.

C. [0006-0008] Retirement and Payroll Records Warranting Extended Preservation

This includes payroll and retirement records of especially long-term interest to employees, generally to ensure receipt of benefits, satisfaction of any retirement claims, and full documentation of employee payroll. To qualify for this item, records must address issues of long-term significance to an individual's employment and associated benefits.

Cut off instructions:

- **[0006]** Records related to specific retirement benefits claims are cut off upon final closure of the issue (final decision, settlement, etc.).
- **[0007]** Payroll records supplementing the Individual Pay Record are cut off at the end of the pay year.
- **[0008]** Other records appropriate for this category are cut off upon separation of employee from federal employment.

Disposition: Temporary. Destroy records 60 years after cut-off.

D. [0009] Human Resources Records of Specific Temporary Value

These records are necessary to provide accountability for a specific human resources function or functions, but are not necessary for agency business immediately after fulfillment of that purpose, and often cannot be legally retained beyond that task or duty for any substantial length of time. Even when not required, preservation of such documents may weaken active records.

Records that are filed under this category must be carefully identified and approved by a Responsible Records Officer for inclusion if they are not specifically referenced in the following list:

1. Position Classification Appeals: Certificates of classification issued by OPM
2. Records concerning interviews with employees
3. Supervisors' personnel files and duplicate eOPF documentation
4. Temporary Individual Employee Records: All copies of correspondence and forms maintained EXCLUDING the Immigration and Natural Service Form 1-9 and performance related records.
5. Operating personnel office correspondence and forms relating to pending personnel actions for individual employees (exclusive of what is maintained in eOPFs or provided for elsewhere in this schedule).
6. Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units at an agency, when the information is summarized on a statistical report (if not summarized, see 0004).
7. Examination and Certification Records: Correspondence or notices received from eligibles indicating a change in name, address, or availability; control records of examination test materials including a running inventory of test material in stock; Application Record Card (OPM Form 5000A, or equivalent); and Interagency Placement Program (IPP) application and registration sheet.
8. Employee acknowledgment of notice forms for workplace drug testing programs.
9. Form TSP-1 or equivalent authorizing deduction of employee contribution to the Thrift Savings Plan
10. Direct Deposit Sign-up Form (SF 1199A or equivalent)
11. Reports, registers, and other control documents relating to retirement (including SF 2807 or equivalent)

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12. Housing assignment and vacancy cards for individual tenants; housing unit cards are filed under 0004.

Exceptions to GRS items include:

GRS 1-7d(2)	GRS 1-18b	GRS 1-36b
GRS 1-8	GRS 1-20a	GRS 2-16
GRS 1-10a	GRS 1-33c	GRS 2-17
GRS 1-17a	GRS 1-33d	GRS 2-28
GRS 1-17c	GRS 1-33e	GRS 15-5a
GRS 1-18a	GRS 1-33r	

Disposition: Temporary. Cut off at when the object or subject the records refer to is removed/discontinued (e.g. employee separated/transferred, register/list superseded, position discontinued, etc.). See specific bureau/office instructions for individual cases. Destroy when no longer needed.

1.3 – Financial and Acquisition Management

This item provides disposition authority for all DOI activities devoted to purchasing, tracking, and overall management of goods, services, and finances. This includes budget formulation and management, travel records, contract operations, property management, stores/plant accounting, expenditure accounting, and procurement records.

A. [0010] Short-term Financial and Acquisition Records

These records encompass financial/acquisition functions described above that are produced and maintained in the course of routine business, and do not reflect government activities that are subject to additional preservation. Records in this item often provide input into more valuable financial records, either as supporting documentation or as a submission for a more comprehensive record. Records are characterized by being necessary for day-to-day operations but not long-term justification of the office's activities.

There are numerous records covered under this item, and compiling an exhaustive list would not be possible. Offices are responsible for creating a detailed file plan or similar document to note all records they create and maintain, including records in this category, and must work with their Responsible Records Officer to ensure that all records are appropriately identified and accounted for. The following list is a broad overview of the records covered by this item, with specific details included where possible, but it should not be considered a complete and exclusive listing of all pertinent documents.

Specific records covered by this item:

1. General correspondence and subject files of offices concerned with finance and acquisition management which involve internal operations and administration
2. Inventory requisition files (inventory lists/cards, report of survey files, and other papers used for adjustment of inventory records) and supply management records not included within a case file or other file
3. Grant administrative files for the routine operations and daily activities in administration of a grant program
4. Unique grants/contracts files, including: Unsuccessful (rejected or withdrawn) grant application files, including any associated correspondence or other records; Contract Appeals Case files; Small and Disadvantage Business Utilization files; and Contractor's payroll files submitted in accordance with Department of Labor regulations (with any related papers, certifications, or affidavits).
5. Federal Activities Inventory Reform (FAIR) Act Records created under OMB Circular A-76. This item covers copies of A-76 case files/studies maintained by offices that DO NOT have primary responsibility. For offices with primary responsibility, see 0011.
6. Excess Personal Property Reports
7. Most budget and apportionment records, including: cost statements, narratives statements, appropriation language sheets, and other data accumulated in preparation of budget estimates; budget reports EXCLUDING the annual report at end of fiscal year (see 0011); budget apportionment and reapportionment schedules; budget justifications and estimates; and budget execution files maintained in the Office of Budget.

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8. Certain accountable officers' files (most are under 0011), including memorandum copies of accountable officers' returns (statements of transactions and accountability, all supporting vouchers, schedules, etc.); GAO notices of exceptions (e.g., SF 1100, formal or informal); and accounting administrative files
9. Specialized stores, plant, and cost accounting records, particularly those with extensive plant and stock inventories. These records reflect the net monetary worth of the agency and its assets, and are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Included are: invoices (or equivalent) used for store accounting purposes; returns and reports; working files for accumulating accounting data; plant account cards/ledgers (except those pertaining to structures); and other cost accounting and cost data records
10. General travel and transportation records, including: routine administrative records pertaining to commercial and noncommercial agency travel/transportation; records documenting the issue or receipt of accountable documents; annual reports concerning official passports; and Federal Employee Transportation Subsidy records

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exceptions to GRS items include:

GRS 3-2	GRS 4-1	GRS 8-2
GRS 3-4a	GRS 4-2	GRS 8-3
GRS 3-4b	GRS 5-1	GRS 8-4
GRS 3-8a	GRS 5-2	GRS 8-5
GRS 3-9a	GRS 5-3b	GRS 8-6a
GRS 3-9b	GRS 5-4	GRS 8-6b
GRS 3-9c	GRS 6-1b	GRS 8-7a
GRS 3-11	GRS 6-2	GRS 8-7b3
GRS 3-13	GRS 6-5a	GRS 9-4a
GRS 3-14	GRS 6-5b	GRS 9-4b
GRS 3-15b	GRS 6-9	GRS 9-5b
GRS 3-17	GRS 7-1	GRS 9-7
GRS 3-18b	GRS 8-1	

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at the end of the FY in which the record is created if no unique cut-off is specified. Destroy 3 years after cut-off.

B. [0011] Long-term Financial and Acquisition Records

This disposition applies to financial/acquisition records that require additional retention, generally to conform to preservation standards in specific regulations, policies, or other legal/statutory requirements. These records may be more comprehensive and complete

records, involve interaction with the public in a manner that necessitates longer protections, or support a financial obligation.

Though records in this category are more specific than those identified under 0010, it is still a broad group of documents, and an exhaustive list may not be feasible. If not addressed below, offices must coordinate with their Responsible Records Officer to determine if this item is appropriate, and include such records under their office file plan, or similar documentation.

Specific records covered by this item:

1. Procurement, supply, and grant records including: records necessary for the award, administration, receipt, inspection, and payment of procurement (contracts, requisitions, purchase orders, leases, and bond and surety records, with any correspondence or related papers); solicited and unsolicited bids and proposals, whether successful, unsuccessful, cancelled, or unopened; requisitions for nonpersonal services (duplicating, laundry, binding, etc.); telephone statements and toll slips; tax exemption certificates; and related papers
2. Case files for the sale of surplus personal property, including invitations, bids, acceptances, lists/inventory, evidence of sale, and related documents
3. Annual end of fiscal year budget report
4. Original copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors (includes statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement voucher, and all other schedules and vouchers, EXCLUDING accounts pertaining to payroll or American Indians)
5. Other accountable officers' records, including: certificates of settlement of accounts of accountable officers, statements of differences, and related records; records relating to availability, collection, custody, and deposit of funds (includes appropriation warrants and certificates of deposit); and gasoline sales ticket, telephone toll tickets, and other documents filed in support of payments/purchases
6. Administrative claims files (EXCLUDING claims for which collection action has been terminated under 4 CFR Part 104; for terminated claims in which the government is entitled to additional time to initiate legal action, see 0012) / Waiver of Claims Files
7. Expenditure accounting records showing in summary fashion how agency funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. Included are general accounting ledgers, summarizing the financial status and financial transactions of an agency; records showing the status of obligations and allotments under authorized appropriations; and records used as posting and control.
8. Travel records documenting the movement of goods and persons. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation. This item DOES NOT include passport records, transportation subsidy files, or routine administrative travel files identified in 0010.

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This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exceptions to GRS items include:

GRS 3-3a1a	GRS 3-18a	GRS 6-10c
GRS 3-3a1b	GRS 4-3a	GRS 6-11a
GRS 3-3d	GRS 4-3b	GRS 6-11b
GRS 3-5a	GRS 5-3a	GRS 7-2
GRS 3-5b1	GRS 6-1a	GRS 7-3
GRS 3-5b2a	GRS 6-3a	GRS 7-4a
GRS 3-5b2b	GRS 6-3b	GRS 7-4b
GRS 3-5c1	GRS 6-4	GRS 9-1a
GRS 3-5c2	GRS 6-7	GRS 9-1b
GRS 3-6a	GRS 6-8	GRS 9-1c
GRS 3-6b	GRS 6-10a	GRS 9-1d
GRS 3-7	GRS 6-10b1	GRS 9-1e
GRS 3-10	GRS 6-10b2b	GRS 9-2
GRS 3-12	GRS 6-10b3	GRS 9-3a

Program offices dedicated to an administrative function as its mission may have records which require a different retention than what is listed here if the office acts in an oversight or compliance role, or represents the Department as a whole. Consult your records liaison or Bureau Records Officer for additional information before applying this disposition if uncertain.

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are closed if no unique cut-off is specified. Destroy 7 years after cut-off.

C. [0012] Financial and Acquisition Records of Specific Temporary Value

These records are necessary to provide accountability for a particular financial/acquisition function or functions, but are not necessary immediately after fulfillment of that purpose, and often cannot be legally retained beyond that task or duty for any substantial length of time. Even when not required, preservation of such documents may weaken active records.

Records that are filed under this category must be carefully identified and approved by a bureau records officer for inclusion if they are not specifically referenced in the following list:

1. Real property accountability files used to maintain current data on individual properties, updated whenever additional properties are acquired or when changes occur to existing properties.

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2. Real property utilization survey reports containing narrative and photographic information on whether or not specific properties are being used for their intended purposes.
3. Contractor's statement of contingent or other fees (SF 119 or equivalent statement) filed separately from the case file and maintained for enforcement or report purposes.
4. Administrative claims for money or property determined to be due to the United States for which the Government is entitled to additional time to initiate legal action.
5. Certain records relating to official passports (registers and lists of agency personnel with official passports; applications and issuance files for official passports)

Exceptions to GRS items include:

GRS 3-16

GRS 9-5a

GRS 6-10b(2)(b)

GRS 9-5c

Disposition: Temporary. Cut off at when the object or subject the records refer to is removed/discontinued (e.g. register/list superseded, ID expired, account closed, property sold, etc.). See specific bureau/office instructions for individual cases. Destroy when no longer needed.

1.4 – Information Technology

These records document the Department’s creation, management, and use of IT systems and applications to automate office functions, whether strictly administrative or not. Such records include system design and implementation, change management, technological specifications, system security files, maintenance and monitoring records, system documentation, risk management, and all related forms and documents for managing electronic systems.

This item **DOES NOT** cover the record copy of data within a system or application; these records should be filed according to their records value, regardless of media.

A. [0013-0014] Short-term Information Technology Records

These records encompass IT files described above that are not needed extended retention. Records are characterized by being necessary for day-to-day operations but not long-term justification of the bureau/office’s activities. This typically includes all records necessary for the management of a specific system or application, or a related group of the same (e.g. a server). Broad management of IT resources generally requires longer preservation and should be filed under 0015, below.

Routine IT records fall under one of three categories:

1. [0013] System Maintenance and Use Records

These records include:

- Error reports, ticklers, system operation reports
- Tests and reports of system performance
- Input files, work files, valid transaction files
- System usage monitoring files (log-in, password files, audit trail, cost-back files, etc.)
- System backups
- Inventories of IT assets and equipment
- User IDs, profiles, authorizations, etc.
- Computer Security Incident handling, reporting, and follow-up records
- Workload schedules, run reports, schedules of maintenance and support activities
- Problem reports and related decision documents relating to software infrastructure of an individual system
- Help desk and customer assistance files, including logs, problem response, monitoring and clearance

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single item to increase accuracy and consistency of use by records custodians, and for ease of management in the Department’s electronic records management system(s).

Exceptions to GRS items include:

GRS 2-22a

GRS 20-1b

GRS 20-2b

GRS 20-1a

GRS 20-1c

GRS 20-2c

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GRS 20-2d	GRS 24-4a1	GRS 24-8b
GRS 20-8a	GRS 24-4a2	GRS 24-8c
GRS 20-8b	GRS 24-4b1	GRS 24-10a
GRS 24-2	GRS 24-6b	GRS 24-10b
GRS 24-3a	GRS 24-7	GRS 24-11c
GRS 24-3b2	GRS 24-8a	

Disposition: Temporary. Cut off when superseded or obsolete. See records manual for specific criteria that may determine when a record is obsolete or superseded. Destroy no later than 3 years after cut-off.

2. [0014] System Planning, Design, and Documentation

These records include:

- Data system specifications, codebooks, record layouts, user guides, output specifications, and final reports
- System security plans and disaster recovery plans
- Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of a risk action plan, service test plans, and test files/data
- Agreements formalizing performance criteria for quantity and quality of service, including responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements
- Managing third-party services, including control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance
- IT management and service operations documents for identifying and allocating charges and tracking payments for computer usage, data processing, and other IT services (EXCLUDING the agency's cost accounting system)
- Data and reports on implementation of a system or application
- Resource and demand management for a system
- Documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting changes
- Documentation of software distribution and version management

Note that system documentation concerning electronic systems of Permanent retention are not covered by this item, and should continue to follow GRS 20-11a2, requiring that they be transferred with the associated permanent electronic records.

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single item to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exceptions to GRS items include:

GRS 20-11a1	GRS 24-3b1	GRS 24-5a
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GRS 24-5b
GRS 24-9a

GRS 24-9b
GRS 24-9c

GRS 24-11a

Disposition: Temporary. Cut off when superseded by a newer version or upon termination of the system. Destroy 3 years after cut-off.

B. [0015] Long-term Information Technology Records

This disposition applies to records maintained for overall management of an IT program. These records differ from those referenced in 0013-0014 above by being concerned with the management, planning, and implementation of all systems and applications that an agency, bureau, or office uses. Records include:

- IT acquisition and management
- Developing and maintaining IT architecture
- Promoting the efficient design and operation of major information resources management processes
- Monitoring and performance of IT programs
- Development of knowledge and skills for IT staff

These records are typically created and maintained by the Chief Information Officer (CIO) and reporting program offices, such as IT capital investments, enterprise architecture, CIO committee files, and related/supporting documents. This item applies to the records of the Departmental CIO as well as those of deputy and subordinate CIOs (currently referred to as Assistant Directors of Information Resources, or ADIRs) at the bureau or program office level.

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exceptions to GRS items include:

GRS 24-6a

GRS 27-1

GRS 27-5

GRS 24-1a

GRS 27-2

GRS 27-6

GRS 24-1b

GRS 27-3

GRS 24-11b

GRS 27-4

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are created if no unique cut-off is specified. Destroy 7 years after cut-off