

January 2021



# Department of Veterans Affairs

## RECORDS CONTROL SCHEDULE 10-1

Veterans Health Administration  
Washington DC 20420

## **VHA Records Control Schedule 10-1**

### **1. PURPOSE**

The Records Control Schedule (RCS) 10-1 provides Veterans Health Administration (VHA) records retention and disposition requirements for VHA Central Office, Program Offices, and field facilities. The primary purpose of this revision is to incorporate changes to RCS 10-1 issued since the last publication date of January 2019. The schedule is divided into eight chapters. Each chapter covers a group of records, e.g., chapter one covers administrative records. The first four chapters include most of the National Archives and Records Administration (NARA) General Records Schedules (GRS). Space for additional records schedules is available to allow for future expansion. The VHA Records Management Office intends to update this schedule every three years in order to publish the most up to date records management requirements. Between updates the VHA Records Management Office will post new or revised schedules on the HIM/RM (Health Information Management/Records Management) website. Schedules are not required to be in the RCS 10-1 to be a legal schedule. Once a schedule is approved by the Archivist of the United States it must be used to manage the agency's records.

### **2. INTRODUCTION**

a. Title 44, Section 3301, of the United States (U.S.) Code defines records as “all books, papers, maps, photographs, machine-readable materials or other documentary materials, regardless of the physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies decisions, procedures, operations, or other activities of the government or because of the information value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications and of processed documents are not included. These items are referred to as non-record materials.

b. The VHA Records Control Schedule (RCS) 10-1 is the main authority for the retention and disposition requirements of VHA records. It provides a brief description of the records and states the retention period and disposition requirements. It also provides the NARA disposition authorities or the GRS authorities, whichever is appropriate for the records, in addition to program and service sections.

c. The GRS provides disposal authorities for temporary administrative records common to all Federal agencies. It covers records relating to: personnel, budget and finance, procurement, information technology, and other common functions and activities of Federal agencies. Any deviation from the GRS must be authorized by NARA in accordance with 36 Code of Federal Regulations (CFR) 1228.42(B). Requests for deviations from either the RCS 10-1 or GRS retention and disposition requirements are to be submitted to the VHA Records Management Office

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via the Facility requesting the change and the primary VHA Program Office with authority over the record type that is being requested for change.

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

- a. The Assistant Deputy Under Secretary for Informatics and Analytics (10P2), Executive Director Information Governance (10P2C) Health Information Management/Records Management Office will be referred to as the VHA Records Management Office throughout this document. The VHA Records Management Office is responsible for developing policies and procedures for effective and efficient records management throughout VHA including VHA Program Offices and Veterans Administration (VA) Medical Centers. In addition, the Office acts as the liaison between VHA and NARA on issues pertaining to records management practices and procedures.
- b. VHA Field/Facility Records Managers are responsible for all records management activities at their site.
- c. All VHA employees are responsible for ensuring that records are created, maintained, protected, and dispositioned in accordance with NARA regulations and VA policies and procedures.

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

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

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

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

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

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

- (1) The content and function of the records have changed significantly (e.g., the electronic records contain information that is substantially different from the information included in the hard copy series or are used for different purposes).
- (2) The previously approved schedule explicitly excluded electronic records.
- (3) The electronic records consist of program records maintained on an agency Web site.
- (4) The electronic records consist of temporary program records maintained in a format other than scanned image AND the previously approved schedule is not media neutral.

b. Temporary still pictures, sound recordings, motion picture film, and video recordings. Apply the previously approved schedule to digital versions.

c. Scanned images of temporary records, including temporary program records. Apply the previously approved schedule.

d. Other temporary records maintained in an electronic format other than scanned images:

(1) For temporary records that are covered by an item in the GRS (other than those GRS items that exclude electronic master files and databases) or an agency-specific schedule that pertains to administrative housekeeping activities, apply the previously approved schedule. If the electronic records consist of information drawn from multiple hard copy series, apply the previously approved schedule item with the longest retention period. This is common when creating an electronic system that replaces a number of paper and electronic record types. The older systems and paper records are now placed into a new system. In the past these records may have covered various disposition life cycles. In the case of finance records the range could have been from one to six years. If the records in the new electronic system cannot be dispositioned separately then they must be kept for the longest disposition, in this case six years.

(2) For temporary program records covered by a NARA-approved media neutral schedule item (i.e., the item appears on a schedule submitted to NARA for approval before December 17, 2007, that is explicitly stated to be media neutral, or it appears on a schedule submitted to NARA for approval on or after December 17, 2007, that is not explicitly limited to a specific recordkeeping medium), are considered media neutral. An example of this is the Health Records Folder File or Consolidated Health Record (CHR). The original NARA approved records disposition schedule was NARA (Job No. N1-15-91-6 item 1). This schedule was written and approved in 1991 and was for the paper health record only. In 2000

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(VHA) created an "Electronic Health Record". Since this record was not paper VHA was required to submit to NARA a request for an electronic record schedule NARA (Job No. N1-15-02-3). This records schedule was created in 2002 which makes both the paper and electronic health record media neutral for future changes.

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

a. VHA records shall not be disposed of without the proper authorization to do so. Federal law prohibits unauthorized destruction or mutilation of Federal records. The penalty for such acts is a \$2,000 fine, 3 years in prison, or both pursuant to Title 18 United States Code 2071. Damage to, and unauthorized destruction of records is to be reported to the VHA Records Office immediately upon knowledge of such an act of destruction.

b. VHA officials must take measures to ensure that records are not disposed of improperly. Records are not to be removed from VHA custody or destroyed without regard to the requirements of this schedule or the GRS. When records are improperly disposed, NARA regulations and VA policy require the submission of a report to NARA. The report must include the record description, volume, date of incident, etc. Specific reporting requirements are contained in NARA regulations, Title 36, Code of Federal Regulations, Part 1228, Disposition of Federal Records, and VA Handbook 6300.1, Chapter 6., Records Management Procedures.

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

a. Records freeze: Records whose scheduled disposition has been temporarily suspended because of special circumstances that alter the administrative, legal, or fiscal value of the records.

b. Litigation hold: The Office of General Counsel (OGC) may periodically issue a litigation hold or moratorium on the disposition of certain records because the records may be potentially responsive or helpful in ongoing or pending litigation (lawsuits).

c. A "hold" is simply the implementation of a litigation hold notice issued by an OGC Office. Upon receipt, the records manager must suspend the normal disposition cycle of the records listed in the hold notice to prevent their early/premature disposal. Holds are placed on records in an agency's physical custody.

d. A "freeze" is created when the records manager receives a hold notice for records not in the agency's physical custody but in the custody of the VA Records Center and Vault (RC&V), a Federal Record Center (FRC), or a commercial records storage facility. The Facility Records Manager would ask NARA to create a freeze to halt premature disposition of the records. Since most litigations deal with relatively current agency

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activity, the number of freezes is significantly smaller than the number of holds since the agency still has physical custody of most records affected by holds.

e. Upon receipt of a hold notice the records manager should initiate a freeze on any off-site records in conjunction with the hold placed on the on-site records in physical custody. This ensures that any potentially responsive record is preserved regardless of its physical location.

f. The Office of General Counsel maintains a list of litigation holds at the following website: OGC Litigation Share Point:

<https://vaww.ogc.vaco.portal.va.gov/litigation/Lists/active/AllItems.aspx>.

g. Additional information may be found at the following NARA website: <http://www.archives.gov/frc/arcis/freeze-faq.pdf>.

### **9. ESSENTIAL RECORDS**

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

### **10. PERSONAL PAPERS**

Personal papers consist of documents that relate only to an individual's personal affairs and do not affect the conduct of government business. Examples of personal papers are diaries, journals or other personal notes that are not created in the process of transacting government business. Personal papers may be disposed of in accordance with the owner's preference. Note: Personal notes included on an official calendar or files are subject to official records authorities.

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

a. Specific records management procedures are to be followed when terminating an office/service or deactivating a field facility. The procedures are contained in VA Handbook 6300.1. It is important to follow these procedures to prevent the loss or unauthorized destruction of VHA records.

b. Once it has been determined to abolish an office/service or to deactivate a field facility, the office or facility records manager is to be consulted so that certain measures are taken to prevent the premature destruction of records. An evaluation is to be conducted to determine those records that are eligible for immediate destruction, identify records that are to be transferred to the successor office/service or facility, identify records that are eligible for transfer to a records storage facility, and identify records of permanent value to be offered to the NARA. Records are not to be disposed of without proper authority to do so.

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

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- a. VA Directive 6300, *Records and Information Management*, provides the policy for records and information management.
- b. VA Handbook 6300.2, *Management of the Vital Records Program*, implements the VA Vital Records Program which is an integral component of the VA Emergency Preparedness Plan.
- c. VA Handbook 6300.8, *Procedures for Shipment of Records to the RC&V in Neosho, Missouri*, provides procedures for transferring records to the RC&V.
- d. VHA Directive 6300.01, *Records Management Compliance Monitoring*, provides compliance requirements for the Records Management Program.

## Chapter 1- General Administration & Management Records

### 1001- Common Offices' Records

This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established. The only mission-related records this schedule covers are non-recordkeeping copies of electronic records (item 020) that are maintained for decision-making purposes or taking action. Copies maintained solely for convenience of reference are considered non-record materials. This schedule may be applied to records in offices that carry out mission-related activities, but only those records that are described here.

This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and the records covered in this schedule is that the records here generally have a longer period of business use than transitory records. This schedule also does not cover materials an agency determines to be non-record or personal. Neither does this schedule cover common administrative records found in most offices that are scheduled elsewhere in the GRS, such as timekeeping and procurement records.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1001.1	<p><b>Administrative Records Maintained in Any Agency Office.</b></p> <p>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. Includes:</p> <ul style="list-style-type: none"> <li>▪ staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)</li> <li>▪ office-level administrative policies and procedures and files related to their development (see Note 1)</li> <li>▪ 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)</li> <li>▪ informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)</li> <li>▪ internal office activity and workload reports</li> <li>▪ studies and analyses of office administrative functions and activities</li> <li>▪ non-mission related management reviews and surveys</li> <li>▪ minutes of meetings related to administrative activities</li> </ul> <p><b>EXCLUSION:</b> 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 office.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>GRS 5.1, item 010</p> <p>DAA-GRS-2016-0016-0001</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority
1001.2	<p><b>Non-recordkeeping Copies of Electronic Records.</b></p> <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. Includes:</p> <ul style="list-style-type: none"> <li>▪ 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</li> <li>▪ senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments</li> <li>▪ electronic spreadsheets</li> <li>▪ digital still pictures or posters</li> <li>▪ digital video or audio files</li> <li>▪ digital maps or architectural drawings</li> <li>▪ copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves</li> </ul> <p><b>NOTE 1:</b> 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 business purposes but are not recordkeeping copies of those records.</p> <p><b>NOTE 2:</b> 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.</p>	<p><b>Temporary.</b> Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	<p>GRS 5.1, item 020</p> <p>DAA-GRS-2016-0016-0002</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1001.3	<p><b>Records of Non-mission Related Internal Agency Committees.</b></p> <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"> <li>▪ meeting minutes, summaries, agendas, and transcripts</li> <li>▪ reports and studies</li> <li>▪ membership records</li> <li>▪ correspondence, mailing, and distribution records</li> </ul> <p><b>NOTE:</b> Records of mission-related committees are potentially permanent, and agencies must schedule them by an agency-specific records schedule.</p> <p><b>EXCLUSION:</b> <i>These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records.</i></p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2016-0016-0003</p>

### 1002- Agency Accountability Records

This schedule covers records agencies create in three areas of accountability:

- internal controls implementing various Office of Management and Budget (OMB) management directives, assessing risks, assuring compliance, and correcting issues
- mandatory reporting on administrative functions to external entities, and interaction with the U.S. Office of Special Counsel concerning allegations and claims that fall under its jurisdiction

Item Number	Records Description	Disposition Instructions	Disposition Authority
1002.1	<p><b>Internal Administrative Accountability and Operational Management Control Records.</b></p> <p>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) Standards for Internal Control in the Federal Government (the “Green Book”); and similar requirements or directives. Includes:</p> <ul style="list-style-type: none"> <li>▪ copies of internal and external directives outlining management control policy</li> <li>▪ management control plans and records of the planning process</li> <li>▪ records of management reviews</li> <li>▪ comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements</li> <li>▪ risk analyses and risk profiles</li> <li>▪ internal controls over reports</li> <li>▪ feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2)</li> <li>▪ records tracking assignments, tasks, and responsibilities administrative correspondence</li> </ul> <p><b>EXCLUSION 1:</b> Reports related to agency mission activities (agencies schedule these separately).</p> <p><b>EXCLUSION 2:</b> Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).</p> <p><b>EXCLUSION 3:</b> Reports that mandating agencies receive (agencies must schedule them separately).</p>	<p><b>Temporary.</b> Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>GRS 5.7, item 010</p> <p>DAA-GRS-2017-0008-0001</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1002.2	<p><b>Internal Control Review, Response, and Mitigation Management Records.</b></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><i><b>EXCLUSION:</b> Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).</i></p>	<p><b>Temporary.</b> Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p>	<p>GRS 5.7, item 020</p> <p>DAA-GRS-2017-0008-0002</p>
<u>1002.3</u>	<p><b><u>Administrative Directives and Notices.</u></b></p> <p><u>Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.</u></p> <p><b><u>NOTE:</u></b> NARA allows the agency to set this records schedule. It was determined by 10b4, 10a7 and OGC that these records need to have its disposition extended from destroy when superseded to 7 years.</p>	<p><b><u>Temporary. Cutoff after CY superseded or cancelled. Destroy 7 years after cutoff.</u></b></p>	<p><b><u>GRS 5.7, item 030</u></b></p> <p><b><u>DAA-GRS-2017-0008-0003</u></b></p>
1002.4	<p><b>Records About Authorizing and Managing Report Requirements and Parameters.</b></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><b>Temporary.</b> Destroy 2 years after the report is discontinued, but longer retention is authorized if required for business use.</p>	<p>GRS 5.7, item 040</p> <p>DAA-GRS-2017-0008-0004</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>1002.5</b></p>	<p><b><u>Mandatory Reports to External Federal Entities Regarding Administrative Matters.</u></b></p> <p><u>Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the 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:</u></p> <ul style="list-style-type: none"> <li>▪ <u>Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent</u></li> <li>▪ <u>Annual Performance Plan, Annual Performance Report, or equivalent</u></li> <li>▪ <u>Statement of Assurance (per FMFIA), or equivalent</u></li> <li>▪ <u>information collection clearances</u></li> <li>▪ <u>report on financial management systems' compliance with requirements (per FMFIA), or equivalent</u></li> <li>▪ <u>report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)</u></li> <li>▪ <b><u>EEOC reports</u></b></li> <li>▪ <b><u>Analysis and Action Plans and other reports required by EEOC's MD 715</u></b></li> <li>▪ <b><u>No FEAR Act reports</u></b></li> <li>▪ <u>service organization auditor report, or equivalent</u></li> <li>▪ <u>annual strategic review</u></li> <li>▪ <u>identified material weaknesses and corrective actions report</u></li> <li>▪ <u>improper payments report</u></li> <li>▪ <u>premium class travel report</u></li> <li>▪ <u>report on property provided to nonfederal recipients, schools, and nonprofit educational institutions</u></li> <li>▪ <u>feeder reports to the Status of Telework in the Federal Government Report to Congress</u></li> <li>▪ <u>feeder reports to GSA fleet reports</u></li> <li>▪ <u>E-Government status and compliance report (per PRA)</u></li> </ul> <p><u>Includes ancillary records such as:</u></p> <ul style="list-style-type: none"> <li>▪ <u>background and research records</u></li> <li>▪ <u>submission packets and compilations</u></li> <li>▪ <u>related files</u></li> </ul> <p><b><u>EXCLUSION 1: Oversight entities mandating the reports must separately schedule reports they receive.</u></b></p> <p><b><u>EXCLUSION 2: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040 cover these); mandatory external reports on employee ethics (items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2 item 080 covers these).</u></b></p>	<p><b><u>Temporary.</u></b> Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.</p>	<p><b><u>GRS 5.7, item 050</u></b></p> <p><b><u>DAA-GRS-2017-0008-0005</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1002.6	<p><b>Records of Allegations and Claims That Fall Under U.S. Office of Special Counsel Jurisdiction.</b></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, Hatch Act, and Uniformed Services Employment &amp; 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><i><b>EXCLUSION 1:</b> Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).</i></p> <p><i><b>EXCLUSION 2:</b> 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).</i></p>	<p><b>Temporary.</b> 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>GRS 5.7, item 060</p> <p>DAA-GRS-2017-0008-0006</p>

### 1004- 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 essential records.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1004.1	<p><b>Tracking and Control Records.</b></p> <p>Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes:</p> <ul style="list-style-type: none"> <li>▪ indexes</li> <li>▪ lists</li> <li>▪ registers</li> <li>▪ inventories</li> <li>▪ logs</li> </ul> <p><b>EXCLUSION 1:</b> <i>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.</i></p> <p><b>EXCLUSION 2:</b> <i>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.</i></p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>GRS 4.1, item 010</p> <p>DAA-GRS-2013-0002-0016</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1004.2	<p><b>Records Management Program Records.</b></p> <p>Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:</p> <ul style="list-style-type: none"> <li>▪ providing oversight of entire records management program</li> <li>▪ transferring, destroying, and retrieving records</li> <li>▪ inventorying records and conducting records surveys</li> <li>▪ scheduling records</li> <li>▪ 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)</li> <li>▪ conducting records "clean out" days</li> </ul> <p>Conducting special records projects include:</p> <ul style="list-style-type: none"> <li>▪ agency records management program surveys or evaluations</li> <li>▪ reports of surveys or evaluations</li> <li>▪ reports of corrective action taken in response to agency program surveys or evaluations</li> <li>▪ disposal authorizations, schedules, and reports</li> <li>▪ records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority)</li> <li>▪ SF 135, Records Transmittal and Receipt</li> <li>▪ OF 11, Reference Request</li> <li>▪ Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States</li> </ul> <p><b>EXCLUSION:</b> This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.</p>	<p><b>Temporary.</b> Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>GRS 4.1, item 020</p> <p>DAA-GRS-2013-0002-0007</p>
1004.3	<p><b>Vital or Essential Records Program Records.</b></p> <p>Records involved in planning, operating, and managing the agency's vital or essential records program. Includes:</p> <ul style="list-style-type: none"> <li>▪ vital records inventories</li> <li>▪ vital records cycling plans</li> <li>▪ results of tests, surveys, or evaluations</li> <li>▪ reports of corrective action taken in response to agency vital records tests</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>GRS 4.1, item 030</p> <p>DAA-GRS-2013-0002-0008</p>



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Item Number	Records Description	Disposition Instructions	Disposition Authority
1004.4	<p><b>Copies of Vital Records.</b> Copies of agency records deemed essential to restore agency functions in case of emergency.</p>	<p><b>Temporary.</b> Destroy when superseded by the next cycle.</p>	<p>GRS 4.1, item 031  DAA-GRS-2013-0002-0015</p>
1004.5	<p><b>Forms Management Records.</b> Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes:</p> <ul style="list-style-type: none"> <li>▪ registers or databases used to record and control the numbers and other identifying data assigned to each form</li> <li>▪ official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form</li> <li>▪ background materials and specifications</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.</p>	<p>GRS 4.1, item 040  DAA-GRS-2013-0002-0009</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>1004.6</u></b></p>	<p><b><u>Validation Records for Digitized Temporary Records.</u></b>  <u>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:</u></p> <ul style="list-style-type: none"> <li>▪ <u>Standards and procedures records used to document that the agency has met validation process requirements, such as:</u> <ul style="list-style-type: none"> <li>○ <u>quality management plans describing quality assurance objectives</u></li> <li>○ <u>quality control (QC) protocols</u></li> <li>○ <u>format-specific instructions</u></li> </ul> </li> <li>▪ <u>Records documenting validation actions, such as:</u> <ul style="list-style-type: none"> <li>○ <u>equipment calibration and test reports</u></li> <li>○ <u>image quality testing results</u></li> <li>○ <u>QC plans, procedures, and reports</u></li> </ul> </li> </ul> <p><b><u>EXCLUSION 1: Validation records for digitized permanent records.</u></b></p> <p><b><u>EXCLUSION 2: Original source records the agency has digitized and validated; GRS 5.2, Transitory and Intermediary Records, Item 020, or a current, approved agency-specific records schedule that covers the records once digitized covers these.</u></b></p> <p><b><u>EXCLUSION 3: Digital surrogates (the newly digitized records); the appropriate current, approved agency-specific records schedule or applicable GRS item covers these.</u></b></p> <p><b><u>Legal citation: 36 CFR Part 1236.34</u></b></p>	<p><b><u>Temporary.</u></b> 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><b><u>GRS 4.1, item 050</u></b></p> <p><b><u>DAA-GRS-2019-0003-0001</u></b></p>

### 1006- 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, controlled unclassified, or contains personal data that is required by law to be protected.

Item Number	Records Description	Disposition Instructions	Disposition Authority
<b>1006.1a</b>	<p><b><u>FOIA, Privacy Act and Classification Documents Administrative Records.</u></b></p> <p><u>Records on managing information access and protection activities. Records include:</u></p> <ul style="list-style-type: none"> <li>▪ <u>correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification</u></li> <li>▪ <u>associated subject files</u></li> <li>▪ <u>feeder and statistical reports</u></li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old but longer retention is authorized if needed for business use.</p>	<p><b><u>GRS 4.2, item 001</u></b></p> <p><b><u>DAA-GRS-2019-0001-0001</u></b></p>
<b>1006.1b</b>	<p><b>General Information Request Files.</b></p> <p>Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.</p> <p><b>NOTE:</b> Current: 36 CFR 1237.28(h) Metadata for Still Pictures Descriptive Elements must include:</p> <ul style="list-style-type: none"> <li>▪ (1) An identification number;</li> <li>▪ (2) Information about image content;</li> <li>▪ (3) Identity and organizational affiliation of the photographer;</li> <li>▪ (4) Existence of any copyright or other potential restrictions on image use; and</li> <li>▪ (5) Technical data including file format and version, bit depth, image size, camera make and model, compression method and level, custom or generic color profiles (ICC/ICM profile)</li> </ul>	<p><b>Temporary.</b> Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 010</p> <p>DAA-GRS-2013-0007-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1006.2	<p><b>Access and Disclosure Request Files.</b></p> <p>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:</p> <ul style="list-style-type: none"> <li>▪ granting the request in full</li> <li>▪ granting the request in part</li> <li>▪ denying the request for any reason including:               <ul style="list-style-type: none"> <li>➢ inability to fulfill request because records do not exist</li> <li>➢ inability to fulfill request because request inadequately describes records</li> <li>➢ inability to fulfill request because search or reproduction fees are not paid</li> </ul> </li> <li>▪ final adjudication on appeal to any of the above original settlements</li> <li>▪ final agency action in response to court remand on appeal</li> </ul> <p>Includes:</p> <ul style="list-style-type: none"> <li>▪ requests (either first-party or third-party)</li> <li>▪ replies</li> <li>▪ copies of requested records</li> <li>▪ administrative appeals</li> <li>▪ related supporting documents (such as sanitizing instructions)</li> </ul> <p><b>NOTE 1:</b> 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><b>NOTE 2:</b> 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><b>Temporary.</b> 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>GRS 4.2, item 020</p> <p>DAA-GRS-2016-0002-0001</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>1006.3</b></p> <p><b>Information Access and Protection Operation Records.</b></p> <p><b>NOTE:</b> 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>	<p>a. <b><u>Information access and protection tracking and control records.</u></b> Includes: tracking databases and other records used to manage overall program; requests and authorizations for individuals to have access to classified files.</p> <p><b>NOTE:</b> Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.</p>		<p><b>Temporary.</b> Destroy 2 years after last form entry, reply, 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>GRS 4.2, item 030</b></p> <p><b>DAA-GRS-2019-0001-0002</b></p>
	<p>b. <b><u>Access control records.</u></b> Includes: safe and padlock combinations; names or other personal identifiers of individuals who know combinations comparable data used to control access into classified document containers.</p>		<p><b>Temporary.</b> Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 031</p> <p>DAA-GRS-2013-0007-0020</p>
	<p>c. <b><u>Records relating to classified or controlled unclassified document containers.</u></b> Includes forms places on safes, cabinets, or vaults that record opening, closing, and routine checking of container security.</p>		<p><b>Temporary.</b> Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 032</p> <p>DAA-GRS-2016-0002-0003</p>
<p><b>1006.4</b></p>	<p><b>Accounting for and Control of Access to Classified, Controlled Unclassified, and Unclassified Records and Records Regarding FOIA, PA, and MDR.</b></p> <p>Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:</p> <ul style="list-style-type: none"> <li>▪ forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request</li> <li>▪ inventories of controlled records</li> <li>▪ forms accompanying documents to ensure continuing control, showing names of people handling the documents, intra-office routing, and comparable data</li> <li>▪ agent and researcher files</li> </ul>		<p><b>Temporary.</b> Destroy 5 years after date of last entry, final action by agency, as appropriate, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 040</p> <p>DAA-GRS-2019-0001-0003</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1006.5	<p><b>Privacy Act Accounting of Disclosure Files.</b></p> <p>Files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Includes:</p> <ul style="list-style-type: none"> <li>▪ forms with the subject individual's name</li> <li>▪ records of the requester's name and address</li> <li>▪ explanations of the purpose for the request</li> <li>▪ date of disclosure</li> <li>▪ proof of subject individual's consent</li> </ul>	<p><b>Temporary.</b> 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.</p>	<p>GRS 4.2, item 050</p> <p>NC1-64-77-1, item 27</p>	
1006.6	<p><b>Erroneous Release Records.</b></p> <p>Files relating to the inadvertent release of privileged information to unauthorized parties, containing information on the disclosure of which would constitute an unwarranted invasion of personal privacy. Includes:</p> <ul style="list-style-type: none"> <li>▪ requests for information</li> <li>▪ copies of replies</li> <li>▪ all related supporting documents</li> <li>▪ may include official copy of records requested or copies</li> </ul>	<p>a. <u>Records in which record-keeping copy of the released records is interfiled with records of the erroneous release.</u></p>	<p><b>Temporary.</b> Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.</p>	<p>GRS 4.2, item 060</p> <p>DAA-GRS-2015-0002-0001</p>
		<p>b. <u>Files that do not include the record-keeping copy of the released records.</u></p>	<p><b>Temporary.</b> Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 061</p> <p>DAA-GRS-2015-0002-0002</p>
1006.7	<p><b>Agency Reports to the Congress, Department of Justice, or Other Entities Regarding FOIA, MDR, PA, and Similar Access and Disclosure Programs.</b></p> <p><b>NOTE:</b> This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.</p>	<p><b>Temporary.</b> Destroy 2 years after date of report, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 070</p> <p>DAA-GRS-2013-0007-0006</p>	

Item Number	Records Description		Disposition Instructions	Disposition Authority
1006.8	<p><b>Legal and Regulatory Compliance Reporting Records.</b></p> <p>Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.</p>	<p>a. <u>Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy.</u></p> <p><b>Legal Citation:</b> OMB M-07-16</p>	<p><b>Temporary.</b> Destroy 5 years after submission of report, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 080</p> <p>DAA-GRS-2013-0007-0022</p>
		<p>b. <u>All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</u></p>	<p><b>Temporary.</b> Destroy 2 years after submission of report, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 081</p> <p>DAA-GRS-2013-0007-0023</p>
1006.9	<p><b>Privacy Act Amendment Request Files.</b></p> <p>Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:</p> <ul style="list-style-type: none"> <li>▪ requests to amend and to review refusal to amend</li> <li>▪ copies of agency's replies</li> <li>▪ statement of disagreement</li> <li>▪ agency justification for refusal to amend a record</li> <li>▪ appeals</li> <li>▪ related materials</li> </ul>		<p><b>Temporary.</b> Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.</p> <p><b>NOTE:</b> Due to the business need to comply with the HIPAA Privacy Rule, patient requests to amend the health record and all corresponding documents must be retained for 6 years.</p>	<p>GRS 4.2, item 090</p> <p>DAA-GRS-2013-0007-0007</p>
1006.10	<p><b>Automatic and Systematic Declassification Review Program Records.</b></p> <p>Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.</p>		<p><b>Temporary.</b> Destroy or delete 30 years after completion of review, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 100</p> <p>DAA-GRS-2013-0007-0008</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1006.11	<p><b>Fundamental Classification Guidance Review Files.</b></p> <p>Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9.</p> <p><b>NOTE:</b> This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).</p>	<p><b>Temporary.</b> Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 110</p> <p>DAA-GRS-2013-0007-0011</p>
1006.12	<p><b>Classified Information Nondisclosure Agreements.</b></p> <p>Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.</p>	<p>a. <u>Maintained in the individual’s official personnel folder.</u></p> <p>b. <u>Maintained separately from the individual’s official personnel folder.</u></p> <p><b>Legal Citation:</b> ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii)</p>	<p><b>Temporary.</b> Apply the disposition for the official personnel folder.</p> <p><b>Temporary.</b> Destroy when 50 years old.</p> <p>GRS 4.2, item 120 See OPF record schedule</p> <p>GRS 4.2, item 121</p> <p>DAA-GRS-2015-0002-0003</p>
1006.13	<p><b>Personally Identifiable Information Extracts.</b></p> <p>System-generated or hardcopy print-outs generated for business purposes that contain Personally Identifiable Information.</p> <p><b>Legal Citation:</b> OMB M-07-16 (May 22, 2007), Attachment 1, Section C, bullet “Log and Verify”.</p>	<p><b>Temporary.</b> Destroy when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.</p>	<p>GRS 4.2, item 130</p> <p>DAA-GRS-2013-0007-0012</p>
1006.14	<p><b>Personally Identifiable Information Extract Logs.</b></p> <p>Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>GRS 4.2, item 140</p> <p>DAA-GRS-2013-0007-0013</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority	
1006.15	<p><b>Privacy Act System of Records Notices.</b> (SORNs)</p> <p>Agency copy of notice about the existence and character of systems of records, documenting publication in the Federal Register when agency establishes or revises the system, per the Privacy Act of 1974 5 U.S.C. 552a(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 GRS 4.2 item 161).</p>	<p><b>Temporary.</b> Destroy 2 years after supersession by a revised SORN or after system ceases operations, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 150</p> <p>DAA-GRS-2016-0003-0002</p>	
1006.16	<p><b>Records Analyzing Personally Identifiable Information (PII).</b></p> <p>Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p>	<p>a. <u>Records of Privacy Threshold analyses (PTAs) and Initial Privacy Assessments (IPAs).</u> Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p>	<p><b>Temporary.</b> Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 160</p> <p>DAA-GRS-2016-0003-0003</p>
		<p>b. <u>Record of Privacy Impact Assessments (PIAs).</u></p>	<p><b>Temporary.</b> Destroy 3 years after superseding PIA is published, after system ceases operations, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 161</p> <p>DAA-GRS-2016-0003-0004</p>
1006.17	<p><b>Computer Matching Program Notices and Agreements.</b></p> <p>Agency copy of notices of intent to share data in systems of records with other Federal, State or local government agencies via computer matching programs, and related records documenting publications of notice in the Federal Register per Privacy Act of 1974 (5 U.S.C. 552. (e)(12), as amended.</p> <p>Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget final guidance. Including documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.</p>	<p><b>Temporary.</b> Destroy upon supersession by revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.</p>	<p>GRS 4.2, item 170</p> <p>DAA-GRS-2016-0003-0005</p>	

Item Number	Records Description	Disposition Instructions	Disposition Authority
1006.18	<p><b>Virtual Public Access Library Records.</b></p> <p>Records published by agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C.552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:</p> <ul style="list-style-type: none"> <li>▪ final concurring and dissenting opinions and orders agencies issue when adjudicating cases</li> <li>▪ statements of policy and interpretations the agency adopts but does not publish in Federal Register</li> <li>▪ copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times</li> <li>▪ indexes of agency major information systems</li> <li>▪ description of agency major information and record locator systems</li> <li>▪ handbooks for obtaining various types and categories of agency public information</li> </ul>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>GRS 4.2, item 180</p> <p>DAA-GRS-2016-0008-0001</p>
<u>1006.19</u>	<p><b><u>Privacy Complaint Files. (PSETS)</u></b></p> <p><u>Records of privacy complaints (and responses) agencies receive in these categories:</u></p> <ul style="list-style-type: none"> <li>▪ <u>process and procedural (consent, collection, and appropriate notice)</u></li> <li>▪ <u>redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act)</u></li> <li>▪ <u>operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction)</u></li> <li>▪ <u>complaints referred to another organization</u></li> </ul>	<p><b>Temporary.</b> <u>Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.</u></p>	<p><b><u>GRS 4.2, item 065</u></b></p> <p><b><u>DAA-GRS-2019-0001-0004</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1006.20	<p><b>Business Associate Agreement (BAA) case file;</b> is a legal contract or other agreement between a HIPAA covered entity (i.e., health plan, covered healthcare provider, or health care clearinghouse) and an individual or organization that will create, receive access to, transmit, or store Protected Health Information (PHI) as part of its services for the covered entity. Whether you prefer to call it a Business Associate Agreement, or, like HIPAA, call it a Business Associate Contract, either way, these contracts/agreements are a critical component of any covered entity's efforts to be HIPAA compliant. A BAA case file also includes Memoranda of Agreement (MOA) or Memoranda of Understanding (MOU) written for the express purpose of entering into a Business Associate relationship with a non-covered part of the organization or with other federal agencies who use MOA/MOU agreements in lieu of contracts.</p>	<p><b>Temporary.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 010  DAA-GRS-2013-0003-0001</p>

## 1007- Controlled Unclassified Information (CUI) Program Records

Controlled Unclassified Information (CUI) refers to information the Government creates or possesses, or that an entity creates or possesses for or on behalf of the Government, that a law, regulation, or Government-wide policy requires or permits an agency to handle using safeguarding or dissemination controls. The CUI Program replaces individual agency-specific policies and standardizes the way the Government handles unclassified information that does not meet the criteria required for classification under E.O. 13526, "Classified National Security Information".

For more information on the CUI program, CUI categories and subcategories, and labeling documents in accordance with the established requirements, please visit <https://www.archives.gov/cui>.

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>1007.1</b></p>	<p><b><u>CUI Program Implementation Records.</u></b>  <u>Records of overall program management. Includes:</u></p> <ul style="list-style-type: none"> <li>▪ <u>records documenting the process of planning agency policy and procedure</u></li> <li>▪ <u>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 designate unclassified information as CUI</u></li> <li>▪ <u>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</u></li> <li>▪ <u>correspondence with CUI Executive Agent</u></li> </ul> <p><i><b><u>EXCLUSION 1: CUI directives and formal policy documents (agencies must schedule these separately).</u></b></i></p> <p><i><b><u>EXCLUSION 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these).</u></b></i></p> <p><i><b><u>EXCLUSION 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).</u></b></i></p>	<p><b><u>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</u></b></p>	<p><b><u>GRS 4.2, item 190</u></b></p> <p><b><u>DAA-GRS-2019-0001-0005</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1007.2	<p><b><u>CUI Information Sharing Agreements.</u></b>  <u>Agreements in which agencies agree to share CUI with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI.</u></p> <p><i><b>EXCLUSION:</b> Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.</i></p>	<p><b>Temporary.</b> Destroy 7 years after canceled or superseded, but longer retention is authorized if required for business use.</p>	<p><b>GRS 4.2, item 191</b>  <b>DAA-GRS-2019-0001-0006</b></p>
1007.3	<p><b><u>Records of Waivers of CUI Requirements.</u></b>  <u>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.</u></p>	<p><b>Temporary.</b> Destroy when waiver is rescinded system is no longer in use, or all affected records as destroyed, as applicable, but longer retention is authorized if required for business use.</p>	<p><b>GRS 4.2, item 192</b>  <b>DAA-GRS-2019-0001-0007</b></p>
1007.4	<p><b><u>Records of Requests for Decontrol and Challenges to CUI Designations.</u></b>  <u>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 is adjudication is appealed.</u></p>	<p>a. <u>Records filed with the recordkeeping copy of the CUI-marked records.</u></p> <p>b. <u>Records filed separately from the recordkeeping copy of the CUI-marked records.</u></p>	<p><b>GRS 4.2, item 193</b>  <b>GRS 4.2, item 194</b>  <b>DAA-GRS-2019-0001-0008</b></p>
1007.5	<p><b><u>Records of CUI Misuse.</u></b>  <u>Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions.</u></p> <p><i><b>EXCLUSION:</b> 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.</i></p>	<p><b>Temporary.</b> 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>	<p><b>GRS 4.2, item 195</b>  <b>DAA-0015-2019-0001-0009</b></p>

### 1008- Privacy Compliance Assurance Office

Item Number	Records Description	Disposition Instructions	Disposition Authority
1008.1	<p><b>Performance Audit Case Files.</b></p> <p>Contains information on the entire lifecycle of each individual PCA Performance Audit of VHA healthcare facilities. The PCA Performance Audit Case File consists of electronic records that prepare PCA and the audited facility for Performance Audit by PCA. It includes electronic data entered into electronic Compliance Monitoring Tool (eCMT) used to document the findings of the PCA audit team and the compliance status of the audited facility. The case file includes all documents remediation actions taken by the facility and consultation services provided by PCA during the Post Audit review period.</p> <p>All documents generated for these purposes will be uploaded into the eCMT for the audit and housed in an electronic Compliance Monitoring Database (eCMD) by eCMT which will constitute the Performance Audit Case File for the audit (case). All PCA Performance Audit Case Files will be maintained in accordance with the requirements of the Health Insurance Portability and Accountability Act (HIPAA), Privacy Rule, which mandates that these audit records be available to present to the Secretary of Health and Human Services upon request for a period of 6 years. (45 C.F.R. §§160.310 and 164.530(j)) Electronic Files consist of electronic records that make up the Performance Audit Case File.</p>	<p><b>Temporary.</b> Cutoff at end of FY after official closure of Performance Audit. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2017-0002-0001</p>
1008.2	<p><b>Facility Self-Assessment (FSA) Case File.</b></p> <p>The Record within the Facility Self-Assessment Case File contains information on the entire lifecycle of each individual Facility Self-Assessment administered by PCA and completed by the healthcare facilities. The FSA case file consists of electronic records that are developed by PCA in order to administer the FSA, and all electronic documents and responses uploaded by the facility to substantiate its responses to the FSA. It includes electronic data entered into the electronic Facility Self-Assessment tool (eFSA) used to document the self-reported findings of the assessed facility, all documents that inform the facility of the self-assessment; prepare the facility and PCA for the self-assessment; document the compliance status of the self-assessed facility; document remediation actions taken by the facility and consultation services provided by the PCA during the Post-Validation Consultation.</p> <p>All documents generated for these purposes will be uploaded into the (eFSA) for the particular FSA and housed in the electronic Compliance Monitoring Database by (eCMD) by eFSA, which will constitute the Facility Self-Assessment Case File for the self-assessment case. All PCA Facility Self-Assessment Case Files will be maintained in accordance with the requirements of the Health Insurance Portability and Accountability Act (HIPAA), Privacy Rule, which mandates that these audit records be available to present to the Secretary of Health and Human Services upon request for a period of 6 years. (45 C.F.R. §§160.310 and 164.530(j))</p>	<p><b>Temporary.</b> Cutoff at end of FY after the date of the report. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2017-0002-0002</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>1008.3</b></p>	<p><b>VHA Privacy Compliance Assurance (PCA) Performance Audit and Facility Self-Assessment Reports to Stakeholders.</b></p> <p>The reports generated in the process of informing VHA Leadership and other outside agencies of the compliance monitoring status of VHA Healthcare facilities for Privacy, FOIA and Records Management programs. These reports are critical as they show PCA is trending the compliance monitoring data of the VHA Healthcare facilities and providing the status of VHA Healthcare facilities to VHA Leadership and other Senior Leadership on a regular basis.</p> <p>VHA Senior Leadership includes but is not limited to: The Under Secretary of Health, The Under Secretary for Health for Operations and Management, VACO Program Office Managers, VISN Leaders, and Medical Center Directors and outside agencies such as Health and Human Services/Office of Civil Rights (HHS/OCR).</p>	<p>a. <u>PCA Annual Reports, VHA Leadership Reports, VISN and Program Office Quarterly Reports, and other reports as requested.</u></p>	<p><b>Temporary.</b> Cutoff at end of FY after the date of the report. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2017-0002-0003</p>
		<p>b. <u>Reports submitted to Congress, Secretary of VA, Secretary of HHS and/or other oversight bodies.</u></p>	<p><b>Temporary.</b> Cutoff at end of FY after the date of the report. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2017-0002-0004</p>
<p><b>1008.4</b></p>	<p><b>VHA Health Care Facility Privacy, Freedom of Information Act (FOIA) and Records Management Monitoring Data.</b></p> <p>The records generated in the process of monitoring and documenting the compliance status and program performance of the Privacy, FOIA and Records Management Programs in VHA health care facilities. These records support and are critical to VHA's compliance with HIPAA, the Federal Records Act and the FOIA Improvement Act of 2016 as they show evidence of required monitoring activities.</p> <p>All VHA Health Care Facility Privacy, FOIA and Records Management monitoring data will be maintained in accordance with the requirements of the Health Insurance Portability and Accountability Act, Privacy Rule, which mandates that these audit records be available to present to the Secretary of Health and Human Services upon request for a period of 6 years (45 C.F.R. §§160.310 and 164.530(j)). Electronic files consist of electronic records used to document compliance monitoring.</p>	<p><b>Temporary.</b> Cutoff at end of FY that record was created. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2017-0002-0005</p>	

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>1008.5</b></p>	<p><b>VHA Privacy Compliance Assurance (PCA) Education, Training, and Guidance Material.</b></p> <p>The records generated in the process of providing education, training, and guidance to Privacy and FOIA Officers and Records Managers on compliance monitoring and preparation for PCA Performance Audits. Educational topics include the importance of a compliant monitoring program, how to set up a compliant monitoring program and providing sample tools and SOPs to use. Some training may be in direct response to issues found either by the White House Office of Special Council, VA Office of Inspector General (OIG), HHS or other Agencies tasked with compliance monitoring or investigating complaints.</p>	<p>a. <u>Training material</u> includes but is not limited to: PowerPoint presentations, scripts for the presentations, sample compliance monitoring tools, sample SOPs, etc.</p>	<p><b>Temporary.</b> Cutoff at end of FY when training was created. Destroy 6 years after cutoff or when training is obsolete, updated or superseded, whichever comes first.</p>	<p>DAA-0015-2017-0002-0006</p>
		<p>b. <u>Guidance material</u> including but not limited to: documents that provide instruction, such as how to prepare for a PCA Audit, factsheets, Question and Answer database, etc.</p>	<p><b>Temporary.</b> Cutoff at end of FY when guidance material was created. Destroy 6 years after cutoff or when guidance material is obsolete, updated or superseded, whichever comes first.</p>	<p>DAA-0015-2017-0002-0007</p>
<p>1008.6</p>	<p><b>Performance Audit Case File for Business Associate Audits.</b></p> <p>All documents generated for these purposes will be uploaded into the eCAT for the audit and housed in an electronic Compliance Auditing Database (eCAD) by eCAT, which will constitute the Performance Audit Case File for Business Associate Audits for the audit (case). All PCA Performance Audit Case Files for Business Associate Audits will be maintained in accordance with the requirements of the Health Insurance Portability and Accountability Act (HIPAA), Privacy Rule, which mandates that these audit records be available to present to the Secretary of Health and Human Services upon request for a period of 6 years. (45 C.F.R. §§160.310 and 164.5300). Electronic Files. Electronic records that make up the Performance Audit Case File for Business Associate Audits.</p>	<p><b>Temporary;</b> Cutoff at the end of FY after official closure of Performance Audit for Business Associates unless it is warranted to maintain the files due to adverse circumstances. Destroy 6 year(s) after cutoff. Longer retention is authorized if required for business</p>	<p>Pending NARA approval</p>	



1009- Grant and Cooperative Agreement Records

Item Number	Records Description	Disposition Instructions	Disposition Authority
1009.1	<p><b>Grant and Cooperative Agreement Program Management Records.</b></p> <p>Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <ul style="list-style-type: none"> <li>▪ background files</li> <li>• program announcements</li> <li>• Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices</li> <li>• requests for proposals</li> <li>▪ application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)</li> <li>▪ application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)</li> </ul> <p><b>NOTE:</b> If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>EXCLUSION 1:</b> Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> <p><b>EXCLUSION 2:</b> Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p><b>Temporary.</b> Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0007</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>1009.2</b></p>	<p><b>Grant and Cooperative Agreement Case Files.</b></p> <p>Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>▪ applications, forms, and budget documents</li> <li>▪ evaluation reports, panelist comments, review ratings or scores</li> <li>▪ Notice of Grant Award or equivalent and grant terms and conditions</li> <li>▪ State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)</li> <li>▪ amendment requests and actions, if any</li> <li>▪ periodic and final performance reports (progress, narrative, financial)</li> <li>▪ audit reports and/or other monitoring or oversight documentation</li> <li>▪ summary reports and the like</li> </ul> <p><b>NOTE:</b> If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>EXCLUSION:</b> <i>Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</i></p> <p><b>Legal Citation:</b> 31 U.S.C. 3731(b), False Claims Act</p>	<p><b>Temporary.</b> Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0001</p>
		<p><b>Temporary.</b> Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0008-0006</p>
		<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0008-0002</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1009.3	<p><b>Final Grant and Cooperative Agreement Products or Deliverables.</b></p> <p>The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a:</p> <ul style="list-style-type: none"> <li>▪ report, study, or publication</li> <li>▪ conference paper and/or presentation</li> <li>▪ book, journal article, or monograph</li> <li>▪ training material, educational aid, or curriculum content</li> <li>▪ plan, process, or analysis</li> <li>▪ database or dataset</li> <li>▪ audio, video, or still photography</li> <li>▪ website content or other internet component</li> <li>▪ documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)</li> <li>▪ software or computer code</li> </ul> <p><b>NOTE 1:</b> Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p><b>NOTE 2:</b> If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0008-0003</p>	
1009.4	<p><b>Grants Related Records Not Covered by Any Other NARA-Approved Schedule Found Within RCS. (GRS 3)</b></p> <p><b>NOTE:</b> Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.</p>	<p>a. <u>Unsuccessful Grant Application Files:</u> applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.</p> <p>b. <u>Grant Administrative Files.</u> (See note.) Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy 3 years after rejection or withdrawal.</p> <p><b>Temporary.</b> Cutoff at end of FY. Destroy when 2 years old.</p>	<p>NC1-64-77-5, item 14a</p> <p>NC1-64-77-5, item 17b</p>

## **1018- Rulemaking Records**

Rulemaking is defined by the Administrative Procedure Act (APA) as the “agency process for formulating, amending, or repealing a rule” (5 U.S.C. 551(5)). This process results in the agency issuing a final regulation, which it publishes in the Federal Register and codifies in the Code of Federal Regulations. This schedule covers certain records created in that process. It also covers records documenting public notices that do not relate to rules and regulations but that agencies disseminate via publication in the Federal Register.

With one exception (see item 030), this schedule does not cover records created after a proposed rule first appears in the Federal Register (item 020 lists points at which first publication might appear). Records created after first appearance in the Federal Register are contained in a case file, often called a “docket”. Dockets may be of permanent value depending on the particular rule or an agency’s mission. Therefore, each agency must schedule its rulemaking dockets independently.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1018.1	<p><b>Records of Proposed Rule Development.</b></p> <p>Records of internal development of agency rules in preparation for Federal Register publication as a proposed rule, including case files that result in final rules, case files that do not result in final rules, and case files of exemptions to rules. Includes:</p> <ul style="list-style-type: none"> <li>▪ briefing papers and options papers presented to management</li> <li>▪ rule/regulation drafts presented to management</li> <li>▪ internal comments in response to drafts presented to management</li> <li>▪ stakeholder input</li> <li>▪ analyses</li> <li>▪ clearances</li> <li>▪ summary sheets</li> <li>▪ background and supporting materials</li> <li>▪ records documenting a notice of inquiry (NOI) advance notice of proposed rulemaking (ANPRM), or request for information (RFI) in the Federal Register inviting comments on a not-yet-proposed rule, and comments received in response</li> <li>▪ concept releases</li> <li>▪ petitions to issue, amend, or repeal a rule</li> <li>▪ petitions for exemption</li> <li>▪ decision memoranda</li> <li>▪ reports and white papers</li> <li>▪ meeting minutes documenting evaluation of options and decisions made</li> <li>▪ workplans and timelines</li> <li>▪ correspondence</li> </ul> <p><b>NOTE:</b> GRS 5.2, item 020, covers “drafts produced...for...internal discussion, reference, or consultation”.</p> <p><b>EXCLUSION:</b> Schedule and retain as part of a docket any records this item describes that the agency incorporates into that docket.</p>	<p><b>Temporary.</b> Destroy 6 years after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0001, item 010</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1018.2	<p><b>Proposed and Final Rule Documents Published in the Federal Register.</b></p> <p>Agency copy of rule forwarded to the Federal Register for publication, copy of published notice, and correspondence with the Office of the Federal Register generated at these rulemaking process milestones:</p> <ul style="list-style-type: none"> <li>▪ Advance Notice of Proposed Rulemaking (ANPRM) or Notice of Inquiry (NOI) inviting participation to help shape a rule still in development</li> <li>▪ Notice of Proposed Rulemaking (NPRM) to add a new rule or to amend or repeal an existing rule</li> <li>▪ Supplemental Notice of Proposed Rulemaking (SNPRM) or Further Notice of Proposed Rulemaking (FNPRM), soliciting comment on a proposed rule significantly altered in response to comments received in response to the NPRM</li> <li>▪ notice responding to summarized comments final rule, interim final rule, or direct final rule</li> </ul>	<p><b>Temporary.</b> Destroy 1 year after publication, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0002, item 020</p>
1018.3	<p><b>Public Comments.</b></p> <p>Public comments agency receives in response to a proposed rule, provided that agency retains a summary of those comments with the rulemaking docket in a docket management system.</p> <p><i><b>EXCLUSION:</b> If the agency does not create a summary of comments, it must schedule individual comments as part of the final rule case file or docket.</i></p>	<p><b>Temporary.</b> Destroy 1 year after publication of final rule or decision to abandon publication, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0003, item 030</p>
1018.4	<p><b>Federal Register Notices Other Than Proposed and Final Rules.</b></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 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><b>NOTE 1:</b> SORNs per se are covered by GRS 4.2, item 150.</p> <p><b>NOTE 2:</b> PRA Information Collection reports are covered by GRS 5.7, item 050.</p> <p><b>NOTE 3:</b> Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.</p>	<p><b>Temporary.</b> Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0004, item 040</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1018.5	<p><b>Agency Input into the Unified Agenda.</b></p> <p>Records that process agency input into the publication of:</p> <ul style="list-style-type: none"> <li>▪ 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)</li> <li>▪ agency regulatory flexibility agendas</li> <li>▪ The Regulatory Plan</li> </ul> <p><b>EXCLUSION:</b> Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.</p>	<p><b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0012-0005, item 050</p>

### 1021- Federal Advisory Committee Records

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

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

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p>1021.1 (a-g)</p>	<p><b>Substantive Committee Records (Non-Grant Review Committees).</b></p> <p>Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees.</p> <p><b>EXCLUSION:</b> <i>This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</i></p> <p><b>NOTE:</b> Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained.</p>		
	<p>a. <u>Records related to the establishment of the committee:</u></p> <ul style="list-style-type: none"> <li>▪ charters (original, renewal, re-establishment, and amended)</li> <li>▪ enacting legislation</li> <li>▪ explanation of committee need, when required</li> <li>▪ filing letters to Congress</li> <li>▪ organization charts</li> <li>▪ committee specific bylaws, standard operating procedures, or guidelines</li> <li>▪ any other materials that document the organization and functions of the committee and its components</li> </ul>	<p><b>PERMANENT.</b> Transfer when records are 15 years old or upon termination of committee, whichever is sooner.</p>	<p>GRS 6.2, Item 010</p> <p>DAA-GRS-2015-0001-0001</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>Records related to committee membership:</u></p> <ul style="list-style-type: none"> <li>▪ memos or similar documentation of how and/or why individual members were selected</li> <li>▪ membership rosters</li> <li>▪ appointment letters, and all sub-categories of appointment letters, such as renewals, thank-you letters, etc.</li> <li>▪ resignation or termination letters</li> </ul> <p>c. <u>Records of committee meetings and hearings:</u></p> <ul style="list-style-type: none"> <li>▪ agency head's determination that a meeting or portion of a meeting may be closed to the public</li> <li>▪ agendas</li> <li>▪ materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations</li> <li>▪ meeting minutes</li> <li>▪ public comments</li> <li>▪ testimony received during hearings</li> <li>▪ transcripts of meetings and hearings</li> </ul> <p><b>NOTE:</b> If transcripts do not exist, audio/visual recordings are permanent under item 020.</p> <p>d. <u>Records related to committee findings and recommendations:</u></p> <ul style="list-style-type: none"> <li>▪ one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee</li> <li>▪ responses from agency to committee regarding recommendations</li> <li>▪ committee presentations or briefings of findings</li> </ul> <p>e. <u>Records created by committee members:</u> correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer).</p>		

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>f. <u>Records related to research collected or created by the committee:</u></p> <ul style="list-style-type: none"> <li>▪ records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)</li> <li>▪ raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies</li> </ul> <p>g. <u>Documentation of advisory committee subcommittees (i.e., working groups, or other subgroups):</u></p> <ul style="list-style-type: none"> <li>▪ records relating to the formation of the subcommittee or working group, if they exist, including: decision documents, membership, Statement of purpose or other documentation of duties and responsibilities</li> <li>▪ records that document the activities of subcommittees that support their reports and recommendations to chartered or parent committee. This documentation may include, but is not limited to: meeting minutes, transcripts, reports, briefing materials, substantive correspondence, including electronic mail, exchange between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the designated Federal officer), background material</li> <li>▪ records related to committee termination (i.e., e-mail, letter, memo, etc.)</li> <li>▪ other records documenting decisions, discussions, or action related to the work of a committee, including information in committee website not captured elsewhere in committee records</li> </ul>		
1021.2	<p><b>Substantive Audiovisual Records (Non-Grant Review Committees).</b></p> <p><i><b>EXCLUSION:</b> This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.</i></p> <p>a. <u>Audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed.</u></p> <p>b. <u>Captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings.</u></p> <p>c. <u>Posters (2 copies) produced by or for the committee.</u></p>	<p><b>PERMANENT.</b> Transfer when records are 3 years old or upon termination of committee, whichever is sooner.</p>	<p>GRS 6.2, Item 020</p> <p>DAA-GRS-2015-0001-0002</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1021.3	<p><b>Grant Review Committee Records.</b></p> <p>Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials.</p> <p><b>NOTE:</b> If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.</p>	<p><b>Temporary.</b> Destroy upon termination of committee.</p>	<p>GRS 6.2, item 030</p> <p>DAA-GRS-2015-0001-0003</p>
1021.4	<p><b>Committee Accountability Records.</b></p> <p>Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include:</p> <ul style="list-style-type: none"> <li>▪ travel costs</li> <li>▪ committee member payments</li> <li>▪ meeting room costs</li> <li>▪ contractor costs</li> <li>▪ Federal Register notice costs</li> </ul> <p><b>EXCLUSION:</b> Forms filed under the Ethics in Government Act (see note).</p> <p><b>NOTE:</b> Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).</p>	<p><b>Temporary.</b> Destroy when 6 years old. Longer retention is authorized if required for business use.</p>	<p>GRS 6.2, item 040</p> <p>DAA-GRS-2015-0001-0004</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1021.5	<p><b>Non-substantive Committee Records.</b></p> <p>Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere. Includes:</p> <ul style="list-style-type: none"> <li>▪ drafts and copies of Federal Register notices</li> <li>▪ audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)</li> <li>▪ photographs of committee social functions, routine award events, and other non-mission-related material</li> <li>▪ records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.</li> <li>▪ routine correspondence including intra-agency, with committee members, or the public regarding logistics (e.g. agenda planning, meeting arrangements, administrative issues)</li> <li>▪ non-substantive committee membership records including: resumes, curriculum vitae, biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee, member credentials, member files (personnel-type records)</li> <li>▪ non-substantive web content</li> </ul> <p><b>NOTE 1:</b> Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.</p> <p><b>NOTE 2:</b> Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 5.1, item 020 (1001.2).</p>	<p><b>Temporary.</b> Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.</p>	<p>GRS 6.2, item 050</p> <p>DAA-GRS-2015-0001-0005</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1021.6	<p><b>Committee Management Records.</b></p> <p>Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include:</p> <ul style="list-style-type: none"> <li>▪ agency guidelines</li> <li>▪ correspondence</li> <li>▪ requests for approval of committee nominees</li> <li>▪ copies of records about committees maintained for reporting purposes, such as: information provided to GSA Secretariat for annual comprehensive reviews, statistical data files and reports, annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act, financial operating plans and final cost accountings</li> </ul> <p><b>NOTE:</b> This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.</p>	<p><b>Temporary.</b> Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. Longer retention is authorized if required for business use.</p>	<p>GRS 6.2, item 060</p> <p>DAA-GRS-2015-0001-0006</p>

### 1031- Employee Ethics Records

This schedule covers records documenting the activities of executive branch agency ethics program offices. Records not covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs. Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, Tracking and Control Records. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled. For ethics training records, see GRS 2.6, Employee Training Records.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1031.1	<p><b>General Ethics Program Records.</b></p> <p>Records created and maintained to coordinate and manage an agency’s ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:</p> <ul style="list-style-type: none"> <li>▪ records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.</li> <li>▪ determinations, including advice and counseling to individual employees, and supporting records.</li> <li>▪ records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.</li> </ul>	<p><b>Temporary.</b> Cutoff at end of FY that case was closed. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if require for business use.</p>	<p>DAA-GRS-2016-0006-0001, item 010</p> <p>See NARA Transmittal 26 (Sep 2016)</p>
1031.2	<p><b>Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.</b></p> <p>Referrals to IG or the DOJ concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, <i>Notification of Conflict of Interest Referral</i>.</p>	<p><b>Temporary.</b> Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.</p>	<p>GRS 2.8, item 020</p> <p>DAA-GRS-2014-0005-0002</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
1031.3	<b>Reports of Payments Accepted from Non-Federal Sources.</b>	a. <u>Agency reports.</u> Reports, including the “Semiannual Report of Payments Accepted from a Non-Federal Source,” submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.	<b>Temporary.</b> Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.	GRS 2.8, item 030  DAA-GRS-2014-0005-0003
		b. <u>Supporting documentation.</u> Documentation, such as statements and forms, used to complete the submitted reports.	<b>Temporary.</b> Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.	GRS 2.8, item 031  DAA-GRS-2014-0004
1031.4	<b>Office of Government Ethics Program Questionnaire Records.</b> Questionnaires completed by ethics officials, such as the “Annual Agency Ethics Program Questionnaire,” the “Annual Agency Ethics Officer (DAEO) Survey,” and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.		<b>Temporary.</b> Destroy 3 years after submission, but longer retention is authorized if required for business use.	GRS 2.8, item 040  DAA-GRS-2014-0005-0005
1031.5	<b>Ethics Program Review Records.</b> Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.		<b>Temporary.</b> Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.	GRS 2.8, item 050  DAA-GRS-2014-0005-0006
1031.6	<b>Public Financial Disclosure Reports.</b> Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.	a. <u>Reports for individuals filing in accordance with the Ethics in Government Act</u> , as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.  <b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR 2634.603	<b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	GRS 2.8, item 060  DAA-GRS-2014-0005-0007

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>All other reports.</u></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR part 2634.603</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.8, item 061</p> <p>DAA-GRS-2014-0005-0008</p>
	<p>c. <u>Periodic transaction reports.</u> OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p><b>Legal Citation:</b> STOCK Act, Pub. L. 112-105</p>	<p><b>Temporary.</b> Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.8, item 062</p> <p>DAA-GRS-2014-0005-0009</p>
	<p>d. <u>Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records</u> (OGE Form 201 or agency equivalent form).</p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105(b)(2)</p>	<p><b>Temporary.</b> Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.8, item 063</p> <p>DAA-GRS-2014-0005-0010</p>



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Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>1031.7</b></p>	<p><b>Confidential Financial Disclosure Reports.</b></p> <p>Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records.</p>	<p><b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.8, item 070</p> <p>DAA-GRS-2014-0005-0011</p>	
	<p>a. <u>Reports for individuals not subsequently confirmed by the U.S. Senate.</u></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.8, item 071</p> <p>DAA-GRS-2014-0005-0012</p>	
	<p>b. <u>All other reports.</u></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	<p><b>Temporary.</b> Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.8, item 072</p> <p>DAA-GRS-2014-0005-0013</p>	
		<p>c. <u>OGE Optional Form 450-A reports.</u></p> <p><b>Legal Citation:</b> 5 CFR 2634.604, 5 CFR 2634.905</p> <p><b>NOTE:</b> The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The supporting OGE Form 450 cannot be destroyed until the last OGE Form 450-A report is ready for destruction.</p>		

Item Number	Records Description		Disposition Instructions	Disposition Authority
1031.8	<b>Alternative or Additional Financial Disclosure Reports and Related Records.</b>	a. <u>Reports for individuals not subsequently confirmed by the U.S. Senate.</u>  <b>Legal Citation:</b> 5 U.S.C. app. section 105	<b>Temporary.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	GRS 2.8, item 080  DAA-GRS-2014-0005-0014
		b. <u>All other reports.</u>  <b>Legal Citation:</b> 5 U.S.C. app. section 105	<b>Temporary.</b> Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	GRS 2.8, item 081  DAA-GRS-2014-0005-0015
1031.9	<b>Financial Disclosure Supporting Documentation.</b> Supporting documentation used to review and verify the filer's report submission. Includes records such as: <ul style="list-style-type: none"> <li>▪ reviewer's notes</li> <li>▪ background research reports</li> <li>▪ memorialized verbal comments of filer in response to reviewer questions</li> </ul>		<b>Temporary.</b> Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.	GRS 2.8, item 090  DAA-GRS-2014-0005-0016

Item Number	Records Description		Disposition Instructions	Disposition Authority
1031.10	<p><b>Ethics agreements records.</b> Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:</p> <ul style="list-style-type: none"> <li>▪ review of recusals, resignations, reassignments, and divestitures</li> <li>▪ determinations</li> <li>▪ authorizations</li> <li>▪ waivers</li> <li>▪ waivers of disqualifications</li> </ul>	<p>a. <u>Agreements for employees who do not file financial disclosure reports.</u></p>	<p><b>Temporary.</b> Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	<p>GRS 2.8, item 100  DAA-GRS-2014-0005-0017</p>
		<p>b. <u>Agreements for employees who file financial disclosure reports.</u></p> <p><b>NOTE:</b> Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): <i>Prescribing Standards of Ethical Conduct for Government Officers and Employees.</i></p>	<p><b>Temporary.</b> Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	<p>GRS 2.8, item 101  DAA-GRS-2014-0005-0018</p>

**1100- General and Administrative Records**

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>1100.1</b></p>	<p><b>General Correspondence.</b></p> <p><b>NOTE:</b> Correspondence that is part of a larger collection of records or part of a case file should be filed with that case file and not as general correspondence.</p>	<p>a. <u>The contents of each folder in this record series consist of papers, memoranda, letters, etc. of a general nature and which do not involve policy or establish a precedent.</u> In those instances where doubt exists as to the value of the data, the material in question should be files in the policy correspondence file. (See note)</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy when 2 years old.</p>	<p>GRS 5.1, item 010</p> <p>DAA-GRS-2016-0016-0001</p>
		<p>b. <u>Correspondence Referred to Other VA Offices for Reply.</u> Correspondence acknowledging and referring inquiries and requests from other government agencies, firms, individuals, etc. (over which the original receiving office has no jurisdiction) to other VA offices for reply. (See note)</p>	<p>Rescinded with no replacement by NARA Transmittal #24, August 2015.</p>	
		<p>c. <u>Extra copies of correspondence, reports, forms, form letters, etc. used for convenience of reference.</u></p>	<p><b>Nonrecord.</b> Destroy when purpose has been served or 1 year after the close of the fiscal year involved, whichever is earlier.</p>	
<p><b>1100.2</b></p>	<p><b>Accredited Service Representative File.</b></p> <p>Cards and other record medium used to record names and addresses of accredited service representatives and date of accreditation.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy or delete with the related records.</p>	<p>N1-GRS-98-2, item 46</p>	
<p><b>1100.3</b></p>	<p><b>Record Control File.</b></p> <p>Records used for control purposes and convenience of reference where control is required or dictated by operational needs (hardcopy or electronic).</p>	<p><b>Temporary.</b> Cutoff at end of CY; destroy or delete when 2 years old or 2 years after the date of the latest entry, whichever is applicable.</p>	<p>N1-GRS-98-2, item 45</p>	

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
1100.4	<b>Authorization File.</b> Authorization or designation to act, serve, sign, certify, purchase, receive, etc.	<b>Temporary.</b> Destroy when obsolete.	II-NN-3270, item 1	
1100.5	<b>AMIS Report Files.</b> Non-fiscal statistical reports.	a. <u>Reports submitted to higher echelon.</u>	<b>Temporary.</b> Destroy copies 1 FY after close of year report is submitted to requesting office.	II-NN-3491
	b. <u>Feeder and intra-office reports.</u>	<b>Temporary.</b> Destroy originals and copies after 3 months.	II-NN-3491	
1100.6	<b>Equipment Record File.</b> Long-and short-range plans for equipment and related material such as replacement plans, repair and duplication, and inspections.	See item numbers 2000.2, 4000.3, 5020.3, 5020.7, and 5400.1 for disposition.		
1100.7	<b>HSRO (Health Service Review Organization) File.</b> All quality assurance records including projects, assignments, committee minutes, copies of investigation, etc.  <b>NOTE:</b> May be held longer if needed for HSRO research, studies, legal purposes or related quality assurance purposes.	a. <u>Central Office Records.</u>	<b>Temporary.</b> Cutoff 5 years after case is closed. Send to Washington National Records Center (WNRC). Destroy 30 years after case is closed.	NN-162-42-10
	b. <u>Field Records.</u>	<b>Temporary.</b> Cutoff at the end of CY; destroy when 3 years old.	NN-162-42-10	
1100.8	<b>Management Development Appraisal File.</b> Internal management appraisals and related material.	a. <u>Face Sheets.</u>	<b>Temporary.</b> Destroy after appraisal is completed.	II-NN-3385
	b. <u>Appraisals.</u>	<b>Temporary.</b> Destroy superseded appraisal after replaced by two most recent appraisals.	II-NN-3385	
1100.9	<b>Management Development Folder File.</b> Applications, both original and supplementary internal management appraisals, ratings and scoring worksheets and related material.	<b>Temporary.</b> Destroy folders for employees no longer participating in the program because of death or separation or 2 years after employee withdraws from the program.		

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Item Number	Records Description		Disposition Instructions	Disposition Authority
1100.10	<b>Organization File.</b> Functional statements, organizational charts, studies, and related material.		<b>Temporary.</b> Cutoff at end of CY, destroy or delete when no longer needed for convenience of reference.	N1-GRS-87-19, item 5b
1100.11	<b>Record Charge-Out Cards.</b> Folder charge-out cards and slips, charge-outs, transfer control cards and related records for material removed from file area.		<b>Temporary.</b> Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.	GRS 4.1, item 010  DAA-GRS-2013-0002-0016
1100.12	<b>Reports (General/Miscellaneous) File.</b>	a. <u>Nonrecurring.</u> One-time field facility reports submitted to VA Central Office for completing data for summaries and/or studies, and related papers.	<b>Temporary.</b> Cutoff at the end of CY; destroy original after 1 year from completion of summary or study. Field facilities can destroy their copies after 1 year.	352-S84
		b. <u>Administrative Reports.</u> This record series contains copies of reports or statements relating to service or division activities when the original or record copy is distributed outside the facility.	<b>Temporary.</b> Cutoff at the end of CY; destroy 3 years after cutoff.	II-NN-163-22 item 5
		c. <u>Evaluation and Review Reports.</u> Includes CO staff evaluation reports, area survey reports, internal audit reports, recurring technical visits reports, veterans' organization report, other government agency surveys and audit reports, etc., and related material.	<b>Temporary.</b> Cutoff at the end of CY; destroy 3 years after cutoff.	II-NN-163-22 item 6
		d. <u>Facility Reports File.</u> Local management reports for status of mission of the service, including reports of systematic review and improvement actions. Cost accounting and budget reports, inspection reports and related material.	<b>Temporary.</b> Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.	GRS 5.2, item 010  DAA-GRS-2016-0011-0001

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1100.13	<p><b>Reports Control File.</b></p> <p>Files of each facility report created or proposed, including public use reports. Copies of authorized directives, preparation instructions and documents relating to evaluation, continuation and revision of reporting requirements. Also included are OMB clearance forms, including SF 83, etc.</p>	<p><b>Temporary.</b> Cutoff at the end of CY; destroy 2 years after report is discontinued.</p>	<p>GRS 5.7, item 040</p> <p>DAA-GRS-2017-0008-0004</p>	
1100.14	<p><b>Training and Education File.</b></p>	<p>a. <u>Orientation material, in-service training material, training course plans and programs and general instructions for each program of training.</u></p>	<p><b>Temporary.</b> Cutoff at the end of CY. Destroy when 5 years old or 5 years after completion of a specific training program.</p>	<p>GRS 2.6, item 010</p> <p>DAA-GRS-2016-0014-0001</p>
	<p>b. <u>Assignment schedules, progress reports, evaluations, records of training received, correspondence and other related material.</u></p>	<p><b>Temporary.</b> Cutoff at the end of CY. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.</p>	<p>GRS 2.6, item 010</p> <p>DAA-GRS-2016-0014-0001</p>	
1100.15	<p><b>Work Order File.</b></p> <p>Work order and job performance records or equivalent and related material.</p>	<p><b>Temporary.</b> Cutoff at the end of CY. Destroy 1 year after cutoff.</p>	<p>II-NN-3270</p>	
1100.16	<p><b>Board Action (Folder) File.</b></p> <p>Applications for Federal Employment, Applications for Nurses, Applications for Physicians and Dentists, Performance and Proficiency Ratings, the VA Notice of Performance Ratings, Professional Qualifications Reports, Report of Efficiency Ratings, Report of Medical Examinations, and other board action material.</p>	<p><b>Temporary.</b> Dispose of the application 3 years after date of last service with the VA.</p>	<p>II-NNA-709, item 2</p>	
1100.17	<p><b>Audit Case File (OIG).</b></p> <p>Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consists of audit reports, correspondence, memoranda, and supporting working papers.</p>	<p><b>Temporary.</b> Cutoff when case is closed. Destroy 8 years after cutoff.</p>	<p>N1-15-99-3, item 1</p>	

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1100.18	<i>Public Affairs Records</i>	See item numbers 1900.17 – 1900.21.	
1100.19	<i>Reserved</i>		
1100.20	<i>Reserved</i>		
1100.21	<p><b>Administrative Obligation File.</b>            Administrative Department (not personnel or finance office) files. Files of estimated obligation for activities, which are to be specifically authorized, such as request for and authorization of overtime work, travel orders and related material.</p>	See item numbers 1110.2 and 3100.4.	
1100.22	<p><b>Evaluations and Review Reports.</b>            Includes Central Office staff evaluation reports, area survey reports, internal audit, internal audit reports, reoccurring technical visits reports, veteran organization reports, other government agency surveys and audit reports and related materials. Functional statements, organizational charts, studies and related material.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy after 3 years and after receipt of subsequent report.</p>	II-NN-163-22, item 6
1100.23	<p><b>Administrative Reports File.</b>            Facility activity reports, narrative and statistical management reports, work simplification, incentive awards, management improvement and development, training and education reports, non-reoccurring special reports and related material.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 3 years after cutoff.</p>	NN-163-22, item 5
1100.24	<p><b>Contract Burial Arrangement File.</b>            Administrative copy only, not to be mistaken for contracts with funeral homes of directors for services provided. See chapter 4 Financial Management. Register of funeral directors willing to provide funeral and burial services for a statutory allowance.</p>	<p><b>Nonrecord.</b> Destroy when obsolete or replaced by a more current register.</p>	



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Item Number	Records Description	Disposition Instructions	Disposition Authority	
1100.25	<p><b>Patient Locator File.</b></p> <p>Locator cards containing basic identification data for each patient. The file includes information such as patient's name, social security number, home address, treatment status, health records folder file location, and other identification.</p> <p><b>NOTE:</b> After 2000 these cards were replaced by the Electronic Health Records (EHR) and may not exist in a textual format.</p>	a. <u>Locator card records pertaining to Ionizing Radiation and Agent Orange claimants.</u>	<b>Temporary.</b> Retain in medical facility 75 years after last episode of care.	N1-15-90-5, item 2a
		b. <u>All other locator card records.</u>	<b>Temporary.</b> Retain in medical facility 75 years after last episode of care.	N1-15-90-5, item 2b
1100.26	<p><b>Deposit Receipt File.</b></p> <p>Field service receipts (patient funds and general receipts), and related material.</p>	<b>Temporary.</b> Cutoff at end of FY. Destroy 3 years after cutoff.	NC1-15-76-25, item 3-3	
1100.27	<p><b>Ward Morning Report.</b></p> <p>Report by ward of patients gained or lost.</p>	<b>Nonrecord.</b> Destroy after purpose has been served.		
1100.28	<p><b>Guest Lodging File.</b></p> <p>Room allocation and occupancy records of applications provided overnight lodging usually for convenience.</p>	<b>Nonrecord.</b> Cutoff at end of CY. Destroy 1 year after cutoff.		
1100.29	<p><b>Patient Service Locator File.</b></p> <p>Patient locator information maintained in the mailroom, telephone and information sections and equivalent.</p>	<b>Temporary.</b> Destroy or remove 90 days after discharge of patient.	351-S-224	
1100.30	<p><b>Disposition Data Files (PTF).</b></p> <p>Mechanically prepared listing (code sheets) of discharge patients' records which have been prepared for entry in the PTF file, a processing master patient file, and related material.</p>	<b>Temporary.</b> Cutoff at end of CY. Destroy 1 year after PTF master record has been created at the Dater Processing Center.	NN-166-127, item 4a	
1100.31	<p><b>Error Index File.</b></p> <p>Mechanically prepared listing of discharged patients' records, which have been, rejected as unacceptable to the inpatient data system (PTF).</p>	<b>Temporary.</b> Destroy after errors have been corrected and resubmitted data validated and after the listing used for quality control purposes have been exhausted.	NN-166-127, item 4b	

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
1100.32	<b>Diagnostic and Operation Index File.</b> <b>NOTE:</b> Items 1100.29, .30, .31, and .32 are currently found as part of the Electronic Health Record and may not exist in more VA Medical Centers.	a. <u>Mechanically prepared listings of code diagnostic and operative data of discharged patients.</u>	<b>Temporary.</b> Destroy monthly listing after receipt of consolidated bi-annual listing. Destroy consolidated bi-annual listing prior equivalent 20 years after date of report.	NC-15-76-10-, item 2
		b. <u>Previous manually prepared diagnostic and operative indices and locally approved special inpatient diagnostic and operative indexes.</u>	<b>Temporary.</b> Destroy monthly listing after receipt of consolidated bi-annual listing. Destroy consolidated bi-annual listing prior equivalent 20 years after date of report.	NC-15-76-10-, item 2
1100.33	<b>Medical Administrative Assistant's (MAA) Log.</b> Record of events occurring after normal working hours as recorded by the MAA.  <b>NOTE:</b> These records are to be filed with the applicable G&L sheets.	<b>Temporary.</b> Destroy master set after 1 year. Destroy all other copies after purpose has been served.	NN-166-127, item 3	
1100.34	<b>Lost and Found File.</b> Records of lost and found articles and related material.	a. <u>Records of articles/items found and returned to owner.</u>	<b>Temporary.</b> Cutoff at end of CY. Destroy 5 years after cutoff.	NA-351-S130
		b. <u>Records of articles not returned to owner, not returned after 90 days.</u>	<b>Nonrecord.</b> Destroy when no longer needed.	
1100.35	<b>Records Retirement and Shipment Files.</b> Records Transmittal and receipts, records shelf list, requests for Official Personnel Folder (OPF), shipping list and related material.	<b>Temporary.</b> Cutoff at end of CY. Destroy after retention period of related records has expired.	II-NN-3275	
1100.36	<b>Indispensable (Vital) Records Control Schedule File.</b> Notice of shipment of indispensable (Vital) records.	<b>Temporary.</b> Cutoff at end of CY. Destroy after retention period of related records has expired.	II-NN-3275	

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1100.37	Transcription Files.	a. <u>Shorthand notes, including stenographic notebooks and stenotype tapes.</u>	<b>Nonrecord.</b>	
		b. <u>Sound records, disks, tapes, cylinders, etc., (EXCLUDING recordings of telephone conversations requesting permission from the nearest relative to perform an autopsy or surgery.)</u>	<b>Temporary.</b> Destroy by burning or shredding (if feasible) after information is transcribed and verified for accuracy.	GRS 5.2, item 020  DAA-GRS-2017-0003-0002
		c. <u>Recordings of telephone conversations requesting permission from the nearest relative to perform an autopsy or surgery.</u>	<b>Temporary.</b> Destroy by burning, erasure, or shredding, depending upon the type of equipment used for the recording after information is transcribed and released by signed authorization from the appropriate person.	Job No. 171-26
1100.38	Gains and Losses (G&L) File.	a. <u>Facility daily patient gains and losses sheets.</u>	<b>Temporary.</b> Cutoff at end of CY. Destroy 1 year after cutoff.	NN-166-127, item 3
		b. <u>Electronic records held in Veterans Health Information System and Technology Architecture system.</u>	<b><u>UNSCHEDULED. DO NOT DESTROY OR DELETE.</u></b>  <b>NOTE:</b> A VA memorandum was published on June 6, 2013 it stated; "VA personnel are no longer required to ship VA paper, Vital Record item No 58, Daily Gains and Losses Sheets, to the RC&V". (VA Handbook 6300.211) The memorandum also stated, "The requirement to ship G&L was established in 1966 when G&Ls were generated and maintained on paper. This provision is now obsolete because G&L content is currently generated and maintained in VA's electronic systems. The electronic G&L report is generated daily and is reproducible at each VA medical Center from data available in the Veterans Health Information System and Technology Architecture system.	

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1100.39	<p><b>History Files/Administrative Issuance History Files for Forms, Publications and Records Management.</b></p> <p>Files consist of circulars and memoranda, interim issues, procedural and operating manuals, information bulletins, pamphlets, regulations, background and supporting paper, and other directives documenting significant changes in the agency's policies and procedures.</p>	<p><b>PERMANENT.</b> Retire to the Washington National Records Center in 5-year blocks when latest record is 10 years old (e.g. send records from 1970-75 in 1985). Transfer to NARA in 5-year blocks when 20 years old (e.g. send records from 1970-75 in 1995).</p>	N1-15-92-2	
1100.40	<p><b>Educational Activity Records.</b></p> <p>Records related to the establishment, development, execution and completion of educational projects, programs and activities of pertinent and accepted modalities for clinicians and non-clinicians working within the VHA health care system. Content areas emphasize broad strategic issues of interest nationally or regionally.</p>	<p>a. <u>Paper files.</u> Hardcopy version of information manually entered into project/program files.</p>	<p><b>Temporary.</b> Destroy 7 years after the education activity is closed. If an accepted digital copy has been made, destroy immediately.</p>	N1-015-11-4, item 1
		<p>b. <u>Electronic files.</u> Electronic and/or digital version of information entered into project/program files.</p>	<p><b>Temporary.</b> Destroy 7 years after the education activity is closed.</p>	N1-015-11-4, item 2
		<p>c. <u>Media files.</u> A file residing digitally or embedded on tape medium that contains one or more video or audio tracks of data that contain content/essence.</p>	<p><b>Temporary.</b> Destroy 7 years after the education activity is closed.</p>	N1-015-11-4, item 3
		<p>d. <u>Historically significant media files.</u> Any media file that has significant or lasting value to the Agency and/or the Federal government.</p>	<p><b>PERMANENT.</b> Transfer to NARA 7 years after the education activity is closed. Transfer according to NARA standards in place at the time of transfer.</p>	N1-015-11-4, item 4
		<p>e. <u>Consent forms (VA Form 3203).</u> Consent for use of picture, video, or voice recording for authorized purposes.</p>	<p><b>Temporary.</b> Destroy 60 years after project is closed. If an accepted digital copy has been made, then destroy immediately.</p>	N1-015-11-4, item 5

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1100.41	<b>Patients and Members Account File.</b> Account cards or equivalent prepared for each patient or member when funds are received and deposited for their personal use.	<b>Temporary.</b> Destroy paper and microfilm records 5 years after withdrawal or appropriate of all monies.	NN-167-23

1110- Office of the Facility Director

Item Number	Records Description		Disposition Instructions	Disposition Authority
1110.1	<p><b>General Correspondence.</b></p> <p><b>NOTE:</b> Correspondence that is part of a larger collection of records or part of a case file should be filed with that case file and not as general correspondence.</p>		<p><b>Temporary.</b> Cutoff at end of CY. Destroy when 2 years old.</p>	<p>GRS 5.1, item 010</p> <p>DAA-GRS-2016-0016-0001</p>
	<p>a. <u>The contents of each folder in this record series consist of papers, memoranda, letters, etc., of a general nature and which do not involve policy or establish a precedent.</u> In those instances where doubt exists as to the value of the data, the material in question should be filed in the policy correspondence file. (See note)</p>		<p><b>Rescinded</b> with no replacement by NARA Transmittal #24, August 2015.</p>	<p>N1-GRS-04-5, item 1</p>
	<p>b. <u>Correspondence Referred to Other VA Offices for Reply.</u> Correspondence acknowledging and referring inquiries and requests from other government agencies, firms, individuals, etc., over which the original receiving office has no jurisdiction to other VA offices for reply. (See note)</p>		<p><b>Nonrecord.</b> Destroy when purpose has been served, or 1 year after the close of the fiscal year involved, whichever is earlier.</p>	
1110.2	<p><b>Administrative Allotment and Obligation Files.</b></p> <p>Periodic allotments of certain operating funds. Control documents to assure availability of funds for current and future commitments and other contemplated expenses. Estimated miscellaneous obligations or change in obligation request for and authorization of overtime work. Request for and authorization of overtime work or compensatory time. Travel orders request and authorizations related and similar material property filed therein.</p>		<p><b>Temporary.</b> Destroy after the close of the fiscal year in which liquidation occurred.</p>	<p>NC1-15-76-25</p>
1110.3	<p><b>Budgets.</b></p>	<p>a. <u>Budget estimate file.</u> Annual budget estimates for the Director's Office, budget worksheets, estimated cost of objects other than personnel service, estimated work volume and personnel requirements of organizational elements, quarterly budget reports and related material.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy 2 years after cutoff.</p>	<p>NN-351-587</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>Budget instructions file.</u> Budget instructions, instructional changes and amendments, memoranda, and related material filed therein.</p> <p>c. <u>Facility budget execution file.</u> Records documenting implementation of station's budget, such as apportionment of funds, allotment of funds, control expenditures and costs, assignment of cost ceilings, comparison of performance plans and related materials.</p> <p>d. <u>Facility budget formulation file.</u> Copies of documents used in formulating the facility's budget estimates of workload and costs, medical research forecast, and prospectus medical care forecast, maintenance, repair and improvement of building, services equipment requirements and related material.</p>	<p><b>Temporary.</b> Destroy after being cancelled, rescinded or superseded by current instruction.</p> <p><b>Temporary.</b> Cutoff at end of FY. Destroy 2 years after cutoff.</p> <p><b>Temporary.</b> Cutoff at end of FY. Destroy 2 years after cutoff.</p>	<p>NN-163-180</p> <p>NN-163-22</p> <p>NN-163-22</p>
<p><b>1110.4</b></p>	<p><b>Committee, Board and Conference File.</b> Minutes of meetings and conferences, boards and various committees in the station: copies of authorities for the establishment of the group; list of member's statements of their assigned mission and other related materials.</p>	<p><b>Temporary.</b> Destroy when 3 years old or when no longer needed for reference, whichever is sooner.</p>	<p>NN-163-22</p>
<p><b>1110.5</b></p>	<p><b>Investigation File.</b> Copies of investigative findings and follow-up reports regarding employees, patients, injuries, property damage, accidents, thefts, assaults, and unethical conduct, etc. These records include Reports of Special Incident Involving a Beneficiary, whether or not an actual investigation was conducted (VA Form 10-2633).</p> <p><b>NOTE:</b> Copies of the same investigation may also be found within Police Services, EEO, IG, and other organizations. This investigation copy is maintained by the Facility Director Office.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 2 years after cutoff.</p>	<p>GRS 5.6, item 100</p> <p>DAA-GRS-2017-0006-0013</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1110.6	<p><b>Management Project Files.</b></p> <p>Working papers, including background material, studies, analyses, notes, rough drafts, internal reports, copies of final reports of management projects, i.e., work standards, work measurements, work management, etc., conducted for the facility Director.</p> <p><b>NOTE:</b> This schedule does not supersede any approved records schedule for case files or other NARA-approved project files. Care shall be taken to ensure that the project files are assigned the correct disposition schedule.</p>	<p><b>Temporary.</b> Cutoff at completion of the project. Destroy 2 years after cutoff.</p>	<p>NN-163-22</p>
1110.7	<p><b>Public Relations File.</b></p> <p>Letters, memoranda, and advertising orders; advertisements for position vacancies, press and news releases, newspapers, radio and TV official speeches and relate material.</p>	<p>See items 1900.17-.21.</p>	
1110.8	<p><b>Administrative Reports File.</b></p> <p>Facility activity reports, narrative and statistical management reports; work simplification, incentive awards, management improvements and development, training and education reports non-reoccurring reports, and related material.</p>	<p><b>Temporary.</b> Destroy when 3 years old.</p>	<p>NN-163-22</p>
1110.9	<p><b>Evaluation and Review Reports.</b></p> <p>Copies of Central Office evaluation and supervisory reports, area survey reports, recurring technical visit reports, internal audit reports, point committee reports, veterans' organizations and other government agencies' surveys and audit reports made at facility by outside personnel such as; OSHA, EPA and Joint Commission.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 3 years after receipt of subsequent report.</p>	<p>NN-163-22, item 6</p>
1110.10	<p><b>Classified Records.</b></p> <p>a. <u>Classified Documents Administrative Correspondence Files.</u> Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.</p> <p><b>NOTE:</b> This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for security and protective services programs.</p>	<p><b>Temporary.</b> 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>DAA-GRS-2016-0002-0002, item 030</p>



Item Number	Records Description		Disposition Instructions	Disposition Authority
	b. <u>Document Receipt Files.</u> Records documenting the receipt and issuance of classified documents.		<b>Temporary.</b> Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0002, item 030
	c. <u>Destruction Certificates Files.</u> Certificates relating to the destruction of classified documents.		<b>Temporary.</b> Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0002, item 030
	d. <u>Classified Document Inventory files.</u> Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.		<b>Temporary.</b> Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0002, item 030
	e. <u>Top Secret Accounting and Control Files.</u>	1. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.	<b>Temporary.</b> Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.	GRS 4.2, item 040  DAA-GRS-2016-0002-0004
2. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.		<b>Temporary.</b> Destroy when related document is downgraded, transferred, or destroyed.	GRS 4.2, item 040  DAA-GRS-2016-0002-0004	

Item Number	Records Description		Disposition Instructions	Disposition Authority
		f. <u>Access Request Files.</u> Requests and authorizations for individuals to have access to classified files.	<b>Temporary.</b> Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0002, item 030
		g. <u>Classified Document Container Security Files.</u>	<b>Superseded</b> by GRS 4.2, item 031 (DAA-GRS-2013-0007-0020).	
		1. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.  2. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.  <b>NOTE:</b> Forms involved in investigations will be retained until completion of the investigation.	<b>Temporary.</b> Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.	DAA-GRS-2016-0003, item 032
1110.11	<b>Personnel Security Clearance Records.</b>	a. <u>Security Clearance Administrative Subject Files.</u> Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.	<b>Temporary.</b> Cutoff at end of CY. Destroy when 2 years old.	GRS 5.6, item 010  DAA-GRS-2017-0006-0001

Item Number	Records Description		Disposition Instructions	Disposition Authority	
		<p>b. <u>Personnel Security Clearance Files.</u> Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.</p>	<p>1. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.</p>	<p><b>Temporary.</b> Destroy upon notification of death, or not later than 5 years after separation or transfer or employee, or no later than 5 years after the contract relationship expires, whichever is applicable.</p>	<p>GRS 5.6, item 181 DAA-GRS-2017-0006-0025</p>
			<p>2. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.</p>	<p><b>Superseded</b> by GRS 5.6 item 170, DAA-GRS-2017-0006-0023. See item 5252.17a.</p>	
			<p>3. Index to the Personnel Security Case Files.</p>	<p><b>Temporary.</b> Destroy with related case file.</p>	<p>GRS 5.6, item 190 DAA-GRS-2017-0006-0026</p>
		<p>c. <u>Personnel Security Clearance Status Files.</u> Lists of rosters showing the current security clearance status of individuals.</p>		<p><b>Temporary.</b> Destroy when superseded or obsolete.</p>	<p>GRS 5.6, item 190 DAA-GRS-2017-0006-0026</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority	
		d. <u>Security Violations Files</u> . Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.	1. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecution determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations.	<b>Temporary.</b> Destroy 5 years after close of case.	GRS 5.6, item 200  DAA-GRS-2017-0006-0027
			2. All other files, exclusive of documents placed in official personnel folders.	<b>Temporary.</b> Destroy 2 years after completion of final action.	GRS 5.6, item 200  DAA-GRS-2017-0006-0027
		e. <u>Classified Information Nondisclosure Agreements</u> .	1. If maintained separately from the individual's official personnel folder.	<b>Superseded</b> by GRS 4.2, item 121 (DAA-GRS-2015-0002-0003) per NARA Transmittal #24, August 2015.	
			2. If maintained in the individual's official personnel folder.	<b>Superseded</b> by GRS 4.2, item 120. Item assumes disposition of Official Personnel File (OPF).	

**1115- Office of the Under Secretary for Health (10) Deputy Under Secretaries, Assistant Deputy Under Secretaries and VHA Program Offices**

Item Number	Records Description	Disposition Instructions	Disposition Authority
1115.1	<p><b>General Correspondence.</b></p> <p><b>NOTE:</b> Correspondence that is part of a larger collection of records or part of a case file should be filed with that case file and not as general correspondence.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy after 2 years old.</p>	<p>II-NN-3270</p>
	<p>a. <u>The contents of each folder in this record series consist of papers, memoranda, letters, etc., of a general nature and which do not involve policy or establish a precedent.</u> In those instances where doubt exists as to the value of the data, the material in question should be filed in the policy correspondence file. (See Note)</p>	<p>Rescinded with no replacement by NARA Transmittal #24, August 2015.</p>	
	<p>b. <u>Correspondence Referred to Other VA Offices for Reply.</u> Correspondence acknowledging and referring inquiries and requests from other government agencies, firms, individuals, etc., (over which the original receiving office has no jurisdiction) to other VA offices for reply. (See note)</p>	<p><b>Nonrecord.</b> Destroy when purpose has been served, or 1 year after the close of the fiscal year involved, whichever is earlier.</p>	
1115.3	<p><i>Primary Program records (Pending)</i></p>		
1115.4	<p><b>Investigation File.</b></p> <p>Copies of investigative findings and follow-up reports regarding employees, patients, injuries, property damage, accidents, thefts, assaults, and unethical conduct, etc. These records include Reports of Special Incident Involving a Beneficiary, whether or not an actual investigation was conducted (VA Form 10-2633).</p> <p><b>NOTE:</b> Copies of the same investigation may also be found within Police Services, EEO, IG, and other organizations. This investigation copy is maintained by the Facility Director office.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 2 years after cutoff.</p>	<p>GRS 5.6, item 100</p> <p>DAA-GRS-2017-0006-0013</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1115.5	<p><b>Management Project Files.</b></p> <p>Working papers, including background material, studies, analyses, notes, rough drafts, internal reports, copies of final reports of management projects, i.e., work standards, work measurements, work management, etc., conducted for the facility Director.</p> <p><b>NOTE:</b> This schedule does not supersede any approved records schedule for case files or other NARA approved project files. Care shall be taken to ensure that the project files are assigned the correct disposition schedule.</p>	<p><b>Temporary.</b> Cutoff at completion of the project. Destroy 2 years after cutoff.</p>	<p>NN-163-22</p>
1115.6	<p><i>Reserved</i></p>		
1115.7	<p><b>Administrative Reports File.</b></p> <p>Facility activity reports, narrative and statistical management reports; work simplification, incentive awards, management improvements and development, training and education reports non-reoccurring reports, and related material.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 3 years after cutoff.</p>	<p>NN-163-22</p>

1120- Chaplain Services

Item Number	Records Description	Disposition Instructions	Disposition Authority
1120.1	<p><b>Chaplain General Name File.</b>                      Letters to and from patients, their relatives and friends, letters to religious letters to religious and service organizations, condolence letters and thank-you letters, letters to private individuals and organizations regarding the work of the Chaplain's program, other general name correspondence pertaining to patients and chaplain Services.</p>	<p><b>Temporary.</b> Cutoff at the end of CY. Destroy when 2 years old.</p>	<p>II-NN-3270</p>
1120.2	<p><b>Schedule of Work File.</b>                      Schedule of work and related material containing no substantive information.</p>	<p><b>Temporary.</b> Destroy after new schedule is prepared or when no longer needed.</p>	<p>GRS5.1, item 010                       DAA-GRS-2016-0016-0001</p>
1120.3	<p><b>Tour-of-Duty Record File.</b>                      Tour-of-duty information.</p>	<p><b>Temporary.</b> Destroy 30 days after completion.</p>	<p>II-NN-3426</p>
1120.4	<p><b>Chapel Bulletins Files.</b>                      Chapel bulletins containing schedule of chapel services and related material.</p>	<p><b>Nonrecord.</b> Destroy after 1 year.</p>	
1120.5	<p><b>Denominational Report File.</b>                      Chaplain reports to their church or endorsing agency.</p>	<p><b>Temporary.</b> Destroy/delete when no longer needed for administrative purposes.</p>	<p>GRS 5.1, item 030                       DAA-GRS-2016-0016-0003</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1120.6	<p><b>National Chaplain Management Information System Records.</b></p> <p>Personal information of VA chaplains, other Chaplain Service Staff, applications for chaplain positions, and selected providers of services to the VA chaplaincy. It includes name, date of birth, social Security number, education qualifications including continuing education data, membership in religious bodies and related religious experience, employment history relevant to chaplaincy, name, location and dates of significant professional events, psychological and related survey data relevant to personal and professional development and research in the Chaplain Service, data to verify and validate the effectiveness of affirmative action programs, work-related performance data, and performance data appropriate for national aggregation and management applications. Data includes name of consultants and providers, their provided, effectiveness and performance on contracts, special characteristics related to nature organizations, types of services of their service, and nature of correspondence and related administrative matters.</p>	a. <u>Data maintained on disk.</u>	<b>Temporary.</b> Delete after backed-up on electronic tape.	N1-015-95-1
		b. <u>Data maintained on tape.</u>	<b>Temporary.</b> Delete after 1 year or after purpose has been served, whichever is later.	N1-015-95-1
		c. <u>Output documents.</u>	<b>Temporary.</b> Destroy after purpose has been served.	N1-015-95-1
		d. <u>Input documents.</u>	<b>Temporary.</b> Destroy after information has been entered into the database and verified or destroy when no longer needed to support the reconstruction of the database, whichever is later.	N1-015-95-1



1130- Voluntary Service

Item Number	Records Description		Disposition Instructions	Disposition Authority	
1130.1	<p><b>VAF 10-7055, Application for Voluntary Service (formerly Regular Schedule Volunteer Information Card).</b></p> <p>The form contains information on volunteers and is used to enter data into Volunteer Service System (VSS). It also contains a waiver of monetary compensation and other pertinent personal information (if necessary, parental consent), which is not stored in the computer.</p>		Superseded	Superseded by GRS 2.2 Item 110, see 3020.11.a	
1130.2	<p><b>Occasional Volunteer Time Sheet.</b></p> <p>The time sheet is used to enter data into VSS. The data pertains to the participation of volunteer organization and individuals who serve on an infrequent basis.</p>		Superseded	Superseded by GRS 2.2 Item 100. See 3020.10	
1130.3	<p><b>Schedule Regular Volunteer by Organization Report.</b></p> <p>The report is a VSS output records used to denote the activity of volunteers by their organization.</p>		Superseded	Superseded by GRS 2.2 item 100. See 3020.10N1-15-86-8	
1130.4	<p><b>Potential Awards List.</b></p> <p>The listing is a VSS output record used to indicate names of volunteers who are eligible for length of service awards.</p>		Superseded	Superseded by GRS 2.2 item 100. See 3020.10	
1130.5	<p><b>Terminated (RS) Volunteer Summary Sheet.</b></p> <p>Superseded by GRS 2.2 Item 110 see series 3020.11</p>		Superseded	Superseded by GRS 2.2 Item 110, see 3020.11.b	
1130.6	<p><b>Volunteer Service Records on Individuals who have Applied to Become Volunteers.</b></p> <p>Superseded by GRS 2.2 Item 110 see series 3020.11</p>	<p>a. <u>Voluntary Service Records.</u></p>	<p>1. Paper records.</p>	Superseded	Superseded by GRS 2.2 Item 110, see 3020.11.a
			<p>2. Electronic Records.</p>	Superseded	Superseded by GRS 2.2 Item 110, see 3020.11.a

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Item Number	Records Description		Disposition Instructions	Disposition Authority	
		b. <u>Record maintained at Enterprise Management Center</u> (formerly at Austin Automation Center).	1. Corporate database.	Temporary. Superseded	Superseded by GRS 2.2 Item 110, see 3020.11.a

1140- Office of Academic Affiliation

Item Number	Records Description	Disposition Instructions	Disposition Authority
1140.1	<p><b>Clinical Trainee Onboarding Case File (CTOCF).</b></p> <p>The Clinical Trainee Onboarding Case File (CTOCF) is a standard document set that VAMCs will utilize to onboard health professions education trainees. The case file requires VA Medical Centers to collect and retain the following documents for each clinical trainee:</p> <ul style="list-style-type: none"> <li>▪ Application for Health Professions Trainees (VA Form 10-2850D)</li> <li>▪ Declaration for Federal Employment (OF-306)</li> <li>▪ Appointment letter</li> <li>▪ Appointment Affidavit (SF-61)</li> <li>▪ Screening Checklist (VAF 10-0453)</li> <li>▪ Employment Eligibility Form (I-9), if necessary</li> </ul> <p>Other forms and documentation may be added to this case file in the future.</p>	<p><b>Temporary.</b> Cutoff case files at the end of the CY in which the academic year is completed. Transfer to inactive off site storage, when 7 years old. Destroy 25 years after cutoff.</p>	<p>DAA-0015-2016-0004, item 1</p>
1140.2	<p><b>Trainee Qualifications and Credentials Verification Letters (TQCVL).</b></p> <p>This letter will be used to certify the qualifications and credentials of the trainees accepted for participation in the respective VA training program.</p> <p><b>NOTE:</b> This document is to be maintained by the Facility Chief of Staff in the Chief of Staff Office.</p>	<p><b>Temporary.</b> Cutoff at end of academic year training is completed. Destroy 5 years after cutoff.</p>	<p>DAA-0015-2016-0004, item 2</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><u>1140.3</u></p>	<p><b><u>Health Professions Training Programs Trainee Completion Documentation.</u></b>  <u>Case Files will be maintained for all "completers/graduates" who have successfully completed the accredited Health Professions Training Program and those enrolled but do not complete.</u></p>	<p><b><u>Temporary.</u></b> <u>Cutoff upon completion of the program.</u>  <u>Maintain records onboard;</u>  <u>transfer to inactive storage.</u>  <u>Destroy 50 years after cutoff.</u></p> <p><b><u>NOTE:</u></b> <u>Transfer to Federal Records Center is not authorized.</u></p>	<p><b><u>DAA-0015-2018-0004-0001</u></b></p>

1150- Office of Quality and Performance

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>1150.1</b></p> <p><b>Health Care Provider Credentialing and Privileging Records.</b></p> <p>Information pertaining to the individual's name, address, date of birth, social security number, name of medical or professional school attended and year of graduation. It also includes information involving the individual's license, registration or certification by a state licensing board and/or national certifying body, citizenship, honor and awards, professional performance, experience, judgement, education qualifications, Drug Enforcement administration certification, information about mental and physical status, evaluation of clinical and/or technical skills, and involvement in any administrative, professional or judicial proceedings.</p>	<p>a. <u>Paper Source Documents.</u> Hardcopy version of information manually entered or scanned into electronic credentialing and privileging records.</p>	<p>1. Paper records that have not been scanned into electronic system.</p>	<p><b>Temporary.</b> Cutoff 3 years after employee separates from VA employment; transfer to off-site inactive storage. Destroy by WITNESS DISPOSAL 30 years after employee separation from VA employment.</p>	
		<p>2. Paper records that have been scanned and verified for accuracy into an electronic system.</p>	<p><b>Temporary.</b> Destroy by WITNESS DISPOSAL after verification for accuracy.</p>	<p>N1-015-10-07, item 1</p>
	<p>b. <u>Electronic Files.</u> Electronic version of information entered directly into the electronic credentialing and privileging records information system.</p>	<p><b>Temporary.</b> Delete 30 years after the last episode of employment, appointment, contract, etc. from VA.</p>	<p>N1-015-10-07, item 1</p>	
<p><b>1150.2</b></p> <p><b>Health Care Provider not selected for VA employment.</b></p> <p>Health Care Provider credentialing and privileging records on application who are not selected for VA employment.</p>	<p>a. <u>Paper Source Documents.</u> Hardcopy version of information manually entered or scanned into electronic credentialing and privileging records.</p>		<p><b>Temporary.</b> Paper records that have not been scanned will be destroyed by WITNESS DISPOSAL 2 years after non-selection or when the file is no longer needed for reference, whichever is sooner. Paper files that have been scanned and verified for accuracy may be destroyed by WITNESS DISPOSAL.</p>	<p>N1-015-10-07, item 2</p>
	<p>b. <u>Electronic Files.</u> Electronic version of information entered directly into the electronic credentialing and privileging records information system.</p>		<p><b>Temporary.</b> Delete 2 years after non-selection or when no longer needed for reference, whichever is sooner.</p>	<p>N1-015-10-07, item 2</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1150.3	<b>Quality Management (QM) Records (Confidential and Non-confidential).</b> Memoranda, minutes, notes, letters, reports, statements of witnesses, reports of interviews and hearings, related correspondence and exhibits, findings and recommendations, and other records to document QM activities.	<b>Temporary.</b> Destroy after 3 years. Records needed for research studies, legal purposes, or quality assurance purposes may be held longer.	N1-015-97-04

1160- Office of the Medical Inspector

Item Number	Records Description	Disposition Instructions	Disposition Authority
1160.1	<p><b>Medical Inspector's Investigation Records.</b> Documents, memoranda, reports, and other records related to quality assurance investigations.</p>	<p><b>Temporary.</b> Destroy 10 years after closure of the case or assessment.</p>	<p>N1-015-94-1, item 1a</p>
1160.2	<p><b>Medical Inspector Site Visit Records.</b> Site visit reports and other record documents related to site visits.</p>	<p><b>Temporary.</b> Destroy 20 years after closure of case or assessment.</p>	<p>N1-015-94-1, item 1b</p>

**1170- Office of the Inspector General, Department of Veterans Affairs**

Item Number	Records Description	Disposition Instructions	Disposition Authority
1170.1	<b>Hotline Records.</b>	<b>Temporary.</b> Cutoff after contract is closed. Destroy 7 years after cutoff.	DAA-0015-2013-0004-0001
	a. <u>Hotline Contacts.</u> Communication containing actionable information that is evaluated and considered for referral to an OIG line element or Department.	<b>Temporary.</b> Cutoff when case is closed. Destroy 7 years after cutoff.	DAA-0015-2013-0004-0002
1170.2	<b>Congressional Case Work.</b> Documents related to responses to congressional inquiries generated through the OIG Hotline or other sources.	<b>Temporary.</b> Cutoff when response is sent. Destroy 7 years after cutoff.	DAA-0015-2013-0004-0003
1170.3	<b>Executive Correspondence.</b> Official documents related to the mission of OIG, signed by the IG or Deputy IG.	<b>PERMANENT.</b> Cutoff at end of FY. Transfer to NARA immediately after 3 years.	DAA-0015-2013-0004-0004
1170.4	<b>IG Personal Papers.</b> Personal documents generated by the IG.	<b>Temporary.</b> These records are transitory and will be scheduled under GRS 23.7	DAA-0015-2013-0004-0005
1170.5	<b>Project Oversight Records.</b> Official, final copies (hardcopy/electronic) of reports produced by any line element of the OIG.	<b>PERMANENT.</b> Cutoff at end of FY in which the report is issued and maintain onsite for 5 years from date issued. Transfer to the National Archives 5 years after cutoff.	DAA-0015-2013-0004-0006
1170.6	<b>Working Papers.</b> Hardcopy and electronic working papers and records in existing system of records.	<b>Temporary.</b> Cutoff at end of FY in which the final report was closed or final peer review report was issued. Destroy 3 years after closure of final report.	DAA-0015-2013-0004-0007



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Item Number	Records Description		Disposition Instructions	Disposition Authority
1170.7	<b>Follow-up Records.</b> Records related to follow-up actions on open reports recommendations.		<b>Temporary.</b> Cutoff at end of FY in which the last recommendation closed. Destroy 5 years after last recommendation.	DAA-0015-2013-0004-0008
1170.8	<b>Semiannual Report to Congress and Strategic Plan.</b> Semiannual report as mandated by the Inspector General Act of 1978 and the multi-year OIG Strategic Plan.		<b>PERMANENT.</b> Cutoff at the end of the FY. Transfer to NARA in 5-year blocks, 5 years after cutoff.	DAA-0015-2013-0004-0009
1170.9	<b>Investigative Case Files.</b> These files contain reports of criminal and other investigation of the OIG, Office of Investigations (OI).		<b>Temporary.</b> Cutoff at end of FY. Destroy 10 years after cutoff.	DAA-0015-2013-0004-0010
1170.10	<b>Joint Review Reports.</b>	a. <u>Joint Review Reports.</u> Official, final copies (hardcopy or electronic) of reports.	<b>Temporary.</b> Cutoff at end of FY in which the review was closed. Transfer to the National Archives 5 years after in year-increments.	DAA-0015-2013-0004-0011
		b. <u>Electronic Working Papers.</u> Working papers related to the product of the Joint Reviews.	<b>Temporary.</b> Cutoff at the end of the FY in which the review was closed. Destroy 3 years after publication date of the review.	DAA-0015-2013-0004-0012
1170.11	<b>Hearing/Testimony Records.</b> Documents related to final submission for hearings and testimony by OIG employees.		<b>Temporary.</b> Cutoff at the end of each Congressional term. Destroy immediately 6 years after cutoff.	DAA-0015-2013-0004-0013
1170.12	<b>Government Accountability Office (GAO) Audit/Performance Review Files.</b> GAO notification letters, e-mails, reports of contact to include entrance and exit conferences, GAO draft and final reports, comments on draft reports from VA administrations and staff offices and status updates.		<b>Temporary.</b> Retain until no longer needed for business purposes. Destroy 8 years after issuance or the final GAO report.	DAA-0015-2013-0003-0001

**1180- Office of General Counsel, VA Central Office (VACO) and Regional Offices**

The majority of the records contained in this set of schedules will be maintained within the offices of Office of General Counsel (OGC); VACO and Regional Offices. In most cases the cases files/records stored at the VHA facilities are convenience copies of the original record and shall not be stored in the facilities any longer than the original copy found in the set of schedules below. Care should be taken to ensure that there is nothing in the convenience file copy that is not in the original (OGC) file.

It is imperative that these files match in content.

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1180.1	<b>Correspondence.</b>	a. <u>General Correspondence, circulars, and memoranda pertaining to activities, operations and administration of the Office of General Counsel, such as individual letters on benefits, insurance, personnel inquiries, claims statement of fees, and related materials that are not considered part of veterans' claim folders, litigation, case material or involve agency policy.</u>	<b>Temporary.</b> Cutoff file at end of third fiscal year. Destroy 3 years after cutoff if no additional material is received.	N1-15-06-02, item 1
	b. <u>Draft Correspondence.</u>	<b>Temporary.</b> Destroy after preparation of final correspondence.	N1-15-06-02, item 1b	
	c. <u>Electronic Mail that is transitory in nature, records of short-term interest (180 days or less), including in electronic form (e.g. email, messages) which have minimal or no documentary or evidential value.</u>	Rescinded with no replacement by NARA Transmittal #24, August 2015.		
1180.2	<p><b>Electronic Tracking and Control Database.</b></p> <p>Electronic database to include tracking and other control databases and/or records contained, entered, or maintained in a database to include all media.</p> <p><b>NOTE:</b> GRS 4.2 and 6.3 (formerly GRS 27) provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIO's at agency or department central office and records of deputy and subordinates CIO's at the bureau or field office level. 36 CFR 1228.50(d) require that GRS changes be submitted within 6 months of receipt. GRS 3.1, 3.2, and 5.8 (formerly GRS 20 and GRS 24) cover certain records associated with day-to-day operation of individual information systems and related support services.</p>	<b>Temporary.</b> Retain for 10 years onsite and then transfer disk media to long-term storage unless superseded by new technology advancements. If superseded by new technology, destroy data files and documentation after replacement and/or upgrade. Current operable systems will not be scheduled for destruction or transfer. Systems remain onsite and operable until obsolescence and/or upgraded.	N1-15-06-02, item 3	

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
1180.3	<p><b>Labor Management Relations General and Case Files.</b> Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other administrative litigation groups.</p>	<p><b>Temporary.</b> Cutoff receipt of final correspondence. Destroy 6 years after cutoff.</p>	<p>N1-15-06-02, item 4</p>	
1180.4	<p><b>Equal Employment Opportunity Commission (EEOC) Record Case Files.</b> Correspondence, complaints, memoranda, reports, pleading, statement, depositions and/or records of hearing involving litigation resolved within the agency, by EEOC, administrative board, and/or the courts.</p>	<p><b>Temporary.</b> Close case file after resolution of the case or after receipt of final communication. Cutoff closed files at the end of FY. Destroy 4 years after cutoff.</p>	<p>GRS 2.8, item 010 DAA-GRS-2016-0006-0001</p>	
1180.5	<p><b>Administrative Grievance, Adverse Action &amp; Disciplinary Records.</b> Files involving grievances, disciplinary and adverse actions other than EEO issues raised by agency employees generated by Central Office of OGC.</p>	<p><b>Temporary.</b> Close case file after resolution of the case or after receipt of final communication. Cutoff closed files at the end of FY. Destroy 5 years after cutoff.</p>	<p>GRS 2.3, item 060 DAA-GRS-2015-0007-0017</p>	
1180.6	<p><b>Real Property Litigation Case Files.</b> Records relating to property acquired after December 31, 1920, other than abstracts or certification of title.</p>	<p><b>Temporary.</b> Close case file after filing of documents and settlement of case. Cutoff closed files at end of FY. Destroy 10 years after cutoff.</p>	<p>N1-15-06-02, item 7</p>	
1180.7	<p><b>Freedom of Information &amp; Privacy Act Request.</b> Original request for release of information under FOIA/PA from Office of General Counsel and appeals of agency FOIA/PA decisions in other parts of Department of Veterans Affairs and Regional Offices.</p>	<p>a. <u>Correspondence and acknowledgement for requests referred to another DVA division.</u></p>	<p><b>Temporary.</b> Cutoff 3 years from case closure and destroy immediately.</p>	<p>N1-15-06-02, item 8</p>
		<p>b. <u>OGC initial FOIA request granting access to all documents or partial access (not appealed).</u></p>	<p><b>Temporary.</b> Cutoff after 3 years from case closure and destroy.</p>	<p>N1-15-06-02, item 8</p>
		<p>c. <u>Denied or partially denied FOIA/PA request (not appealed).</u></p>	<p><b>Temporary.</b> Cutoff after 3 years from case closure and destroy.</p>	<p>N1-15-06-02, item 8</p>
		<p>d. <u>Appealed FOIA/PA decisions.</u></p>	<p><b>Temporary.</b> Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.</p>	<p>N1-15-06-02, item 8</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority	
1180.8	<b>Ethics Material.</b> Reports, correspondence, reviews, determinations, confidential financial disclosure forms and waivers involving all VA personnel.	a. <u>Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.</u>	1. SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.	<b>Temporary.</b> Destroy 1 year after nominee or candidate ceases to be under consideration for the position, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	N1-GRS-01-1, item 2a1
		2. All other SF 278s.	<b>Temporary.</b> Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	N1-GRS-01-1, item 2a2	
		b. <u>Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.</u>	1. OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.	<b>Temporary.</b> Destroy 1 year after nominee or candidate ceases to be under consideration for the position, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	N1-GRS-01-1, item 2b1
		2. All other OGE Form 450s and OGE Optional 450-As.	<b>Temporary.</b> Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	N1-GRS-01-1, item 2b2	
		c. <u>Alternative or additional financial disclosure reports and related records.</u>	1. Reports for individuals not subsequently confirmed by the U.S. Senate.	<b>Temporary.</b> Destroy 1 year after nominee or candidate ceases to be under consideration for the position, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	N1-GRS-01-1, item 2c1
		2. All other alternative or additional financial disclosure reports.	<b>Temporary.</b> Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	N1-GRS-01-1, item 2c2	

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1180.9	<p><b>Hospital Reimbursement Records.</b> Documentation of collections or collection attempts to obtain hospital reimbursement funds due to the government.</p>	<p><b>Temporary.</b> Close case file at completion of reimbursement activities or when funds have been recovered. Cutoff closed files at end of FY. Destroy 5 years after cutoff.</p>	<p>N1-15-06-2, item 10</p>
1180.10	<p><b>Debt Collection Records.</b> Documentation of effort to obtain satisfaction and collect funds in cases involving education overpayments, loan guaranty debts, and medical debts.</p>	<p><b>Temporary.</b> Close case file at completion of reimbursement activities or after funds have been collected. Cutoff closed files at the end of FY. Destroy 5 years after cutoff.</p>	<p>N1-15-06-2, item 11</p>
1180.11	<p><b>Litigation Files.</b> Working papers and other litigation papers on forfeiture, tort, loan guaranty, civil litigation and other cases originating in Central Office OGC or Regional Offices.</p>	<p><b>Temporary.</b> Close case file after resolution of case or after receipt of final correspondence. Cutoff closed files at end of FY. Maintain files on-site for two years. Transfer to records center after two years. Destroy 6 years 3 months after cutoff (if there is no further action).</p>	<p>N1-15-06-2, item 12</p>
1180.12	<p><b>Administrative Tort Claims.</b> Claims against the VA under the Federal Tort Claims Act by any person plus supporting reports, pictures, statements, and other documents as are necessary to properly adjudicate the cases.</p>	<p><b>Temporary.</b> Close case file after completion of case. Cutoff close files at the end of the FY. Maintain files on-site for two years then transfer to the records center. Destroy 7 years after cutoff.</p>	<p>N1-15-06-2, item 13</p>
1180.13	<p><b>Bankruptcy Records.</b> Records asserting the claims of the VA for repayment of benefits (Education, loan guaranty, etc.) from individuals or businesses in bankruptcy proceedings.</p>	<p><b>Temporary.</b> Close case file after resolution or decision. Cutoff close files at the end of the FY. Destroy 5 years after cutoff.</p>	<p>N1-15-06-2, item 14</p>
1180.14	<p><b>Office Administrative Files.</b> Records accumulated in individual offices that relate to internal OGC/RO administration or housekeeping activities, non-functional and non-procedural office records to include procedures, staffing, fax logs, and day to day administrative papers.</p>	<p><b>Temporary.</b> Cutoff files at the end of the FY. Destroy 3 years after cutoff.</p>	<p>N1-15-06-2, item 15</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority	
1180.15	<p><b>Contract Files.</b></p> <p>Working papers and contracts for procurement goods, services and construction including easement, licenses, leases, and agreements plus any appeals of these subject areas.</p>		<p><b>Temporary.</b> Destroy working papers after 3 years from case closure. Cutoff after case closure and destroy contracts 5 years and 3 months after cutoff.</p>	<p>GRS 1.1, item 010</p> <p>DAA-GRS-2013-0003-0001</p>	
1180.16	<p><b>Accreditation of Representatives &amp; Service Organizations.</b></p> <p>Material submitted to DVA by veterans' service organizations concerning VA recognition and VA accreditation of service organization representatives, and material submitted by service organization representatives and independent claims agents in support of applications for VA accreditation. This material includes documents submitted to VA in disputes concerning recognition of organizations and accreditation of representatives and may include material originally submitted to VA Regional Offices and VA Regional Counsels, held up to two years, then transferred to VACO.</p> <p>The material includes VA's revocation of recognition and termination or suspension of accreditation records, as well as termination or suspension of accreditation reports provided to employing entities, licensing bodies, state bar associations, and courts.</p>		<p>a. <u>Individuals who are no longer accredited.</u></p>	<p><b>Temporary.</b> After 2 years transfer records pertaining to individuals who are no longer accredited via any veterans' service organization or who are no longer accredited as independent claims agents to VACO Records Management Office (005R1B). Destroy 3 years after transfer.</p>	<p>N1-15-06-2, item 17</p>
		<p>b. <u>Applicants who failed to submit documentation in support of an application.</u></p>	<p><b>Temporary.</b> Destroy after three years those records pertaining to applicants for accreditation who fail to submit any documentation in support of an application during the one-year period following VA's most recent correspondence concerning the application. This includes records pertaining to individuals who seek but are denied accreditation by VA.</p>	<p>N1-15-06-2, item 17</p>	
		<p>c. <u>Correspondence from organizations seeking VA recognition.</u></p>	<p><b>Temporary.</b> Destroy after three years from VA's receipt, correspondence from organizations that seek VA recognition whose applications are denied or incomplete.</p>	<p>N1-15-06-2, item 17</p>	
		<p>d. <u>VA's revocation of service organization.</u></p>	<p><b>Temporary.</b> Destroy after five years those records pertaining to VA's revocation of service organization recognition pursuant to request of service organizations officials.</p>	<p>N1-15-06-2, item 17</p>	

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Item Number	Records Description		Disposition Instructions	Disposition Authority	
1180.17	<p><b>Veterans Benefits.</b> Records dealing with individual issues that establishes VA policy for veteran’s benefits to include health coverage, compensation, and pension, burial issues, vocational rehabilitation and education, insurance, etc.</p>		<p><b>PERMANENT.</b> Cutoff after receipt of last relevant correspondence. Transfer to NARA 50 years after cutoff.</p>	<p>N1-15-06-2, item 18</p>	
1180.18	<p><b>Appellate Litigation Files.</b> Case files of appeals of decisions made by the Board of Veterans Appeals to the Court of Appeals for Veterans Claims, or other appellate files sent forward to other adjudicating courts of higher authority.</p>		<p><b>Temporary.</b> Close case file after completion of cases and receipt of last resolved motion or action. Cutoff closed files at the end of the fiscal years. Maintain files on-site for one year and then transfer to closest Federal Records Center. Destroy 7 years after cutoff.</p>	<p>N1-15-06-2, item 19</p>	
1180.19	<p><b>Budget Materials.</b> Material used in formulation and administration of Office of General Counsel budget including annual budget estimates, budget worksheets, etc.</p>		<p><b>Temporary.</b> Cutoff at end of FY. Destroy 5 years after cutoff.</p>	<p>N1-15-06-2, item 20</p>	
1180.20	<p><b>Enhanced Use Leases.</b> Records relating to property leased after August 14, 1991 pursuant to VA’s enhanced use leasing authority (38 U.S.C. 8161 et seq.).</p>		<p><b>Temporary.</b> Close case file at expiration of lease. Cutoff closed files at the end of the FY. Destroy 10 years after cutoff.</p>	<p>N1-15-06-2, item 21</p>	
1180.21	<p><b>Patent and Invention Licensing.</b> Copies of determinations of rights, patent applications, licenses negotiations and agreements, etc. dealing with intellectual property in which DVA has/has not retained an interest.</p>		<p>a. <u>Where DVA has an interest.</u></p>	<p><b>Temporary.</b> Retain information onsite for 10 years where DVA has an interest then transfer to closest Federal Records Center for 40 years after file has been imaged. Destroy 40 years after transfer.</p>	<p>N1-15-06-2, item 22</p>
			<p>b. <u>Where DVA has no interest.</u></p>	<p><b>Temporary.</b> Retain information onsite for 7 years where DVA has no interest then transfer to closest Federal Records Center after 3 years. Destroy after 3 years from transfer to records center.</p>	<p>N1-15-06-2, item 22</p>



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Item Number	Records Description	Disposition Instructions	Disposition Authority	
1180.22	<p><b>State Licensing Board.</b></p> <p>Copies of determinations made on decisions for State licensing whether affirmative or negative.</p>	<p><b>Temporary.</b> Close case file a completion of determination case. Cutoff closed files at end of FY. Destroy 4 years after cutoff.</p>	<p>N1-15-06-2, item 23</p>	
1180.23	<p><b>Procurement Correspondence.</b></p> <p>Review of operating procurement unit contracts.</p>	<p><b>Temporary.</b> Destroy after 3 years from final decision.</p>	<p>N1-15-06-2, item 24</p>	
1180.24	<p><b>Attorney Reviews of Agency Material.</b></p> <p>OGC review of agency publications and submissions to Congress and or other federal entities, including annual reports, manuals, handbooks, directives, notices, etc.</p>	<p><b>Temporary.</b> Close case file at completion of the review. Cutoff closed files at the end of the fiscal year. Destroy 3 years after final review.</p>	<p>N1-15-06-2, item 25</p>	
1180.25	<p><b>Legal Opinions.</b></p> <p>Requests for and responses to request for legal interpretations and opinions made to office of General Counsel. Opinions determined to be precedent (interpreting veterans' law and regulations) and those considered as vital records.</p>	<p>a. <u>Precedent, Advisory, and Conclusive Opinions.</u></p>	<p><b>PERMANENT.</b> Precedent, advisory, and conclusive opinions will be sent to the records center after 10 years from the date of final interpretation or opinion and after imaging. Transfer to the NARA after 15 years.</p>	<p>N1-15-06-2, item 26</p>
		<p>b. <u>Non-precedent, non-advisory, or non-conclusive opinions.</u></p>	<p><b>Temporary.</b> Non-precedent, non-advisory, or non-conclusive opinions remain onsite until superseded or determined obsolete, then transfer to closest Federal Records Center after 7 years. Destroy 17 years after superseded or obsolete.</p>	<p>N1-15-06-2, item 26</p>
		<p>c. <u>Background material.</u></p>	<p><b>Temporary.</b> Background material for the opinions will be destroyed after 5 years.</p>	<p>N1-15-06-2, item 26</p>
1180.26	<p><b>Interagency Agreements.</b></p> <p>Negotiated agreements with other government agencies to cooperate in research, sharing electronic and paper data, sharing resources, exchange of agency information, structured settlements, business associate agreements, etc.</p>	<p><b>Temporary.</b> Close at the end of agreement terms. Cutoff closed files at the end of the FY. Destroy 4 years after cutoff.</p>	<p>N1-15-06-2, item 27</p>	



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Item Number	Records Description	Disposition Instructions	Disposition Authority	
1180.27	<p><b>Reports Files.</b></p> <p>Narratives and statistical recurring and nonrecurring reports (including work sheets and backup material) required for reporting to higher echelons. These budget materials are submitted to VACO for creation of the OGC annual budget.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy 3 years after cutoff.</p>	<p>GRS 1.3, item 031</p> <p>DAA-GRS-2015-0006-0004</p>	
1180.28	<p><b>Other Legal Services.</b></p> <p>Miscellaneous legal matters including Touhy regulations, reorganizations, criminal investigations, information disclosures that are non- FOIA/PA, and canteen services including legal matters for benefits issues, cemetery and burial matters, patient safety, commitment, and eligibility.</p>	<p>a. <u>Miscellaneous Legal Files.</u></p>	<p><b>Temporary.</b> Destroy after 3 years, except accreditation records.</p>	<p>N1-15-06-2, item 29</p>
		<p>b. <u>Accreditation Records.</u></p>	<p><b>Temporary.</b> Transfer Regional Office accreditation records to VACO (Records Management Division 005R1B) after 2 years. Destroy 3 years after transfer.</p>	<p>N1-15-06-2, item 29</p>
1180.29	<p><b>Fiduciary and Guardianship.</b></p> <p>Documents dealing with fiduciary and guardianship of veterans.</p>	<p><b>Temporary.</b> Cutoff and destroy 4 years from the end of agreement or fiduciary term date.</p>	<p>N1-15-0602, item 30</p>	
1180.30	<p><b>Electronic Mail and Word Processing.</b></p>	<p>. Deleted by NARA with no replacement</p>		

**1201- Ionizing Radiation Registry (IRR)**

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>1201.1</b></p>	<p><b>Ionizing Radiation Registry (IRR) Records.</b></p> <p>Hardcopy and electronic records created in connection with Ionizing Radiation Registry Program. The record media includes paper, optical disks, magnetic tapes, etc.</p> <p><b>NOTE:</b> Once filed into the veteran's health record, this record will take on the records schedule for the veteran's health records.</p>	<p>a. <u>Original Code Sheets (or worksheets).</u></p>	<p><b>Temporary.</b> File with the veteran's health record folder.</p>	<p>N1-015-00-2, item 1a</p>
		<p>b. <u>Other Copies of Code Sheets (or worksheets).</u></p>	<p><b>Temporary.</b> Destroy after date from code sheets are entered into IRR's master database, scanned onto optical disk, and verified for accuracy.</p>	<p>N1-015-00-2, item 1b</p>
		<p>c. <u>IRR Optical Disks.</u></p>	<p><b>Temporary.</b> Cutoff at the end of CY in which the IRR program terminates. Destroy 75 years after cutoff.</p>	<p>N1-015-00-2, item 1c</p>
		<p>d. <u>Reports.</u></p>	<p><b>Temporary.</b> Destroy when 2 years old or when no longer needed for administrative and program purposes.</p>	<p>N1-015-00-2, item 1d</p>
		<p>e. <u>Master Data Files (copies).</u> Inclusive dates 1991-thereafter.</p>	<p><b>PERMANENT.</b> Cutoff at the end of CY. Transfer records to NARA in 5-year blocks 1 year after the cutoff of the most recent records in the block.</p>	<p>N1-015-00-2, item 1e</p>
		<p>f. <u>IRR Documentation.</u></p>	<p><b>PERMANENT.</b> Transfer to NARA with corresponding IRR Master Files item.</p>	<p>N1-015-00-2, item 1f</p>
		<p>g. <u>Backup copies of the Master and History data files.</u></p>	<p><b>Temporary.</b> Destroy after 2 additional backup cycles have been completed.</p>	<p>N1-015-00-2, item 1h</p>

1202- Gulf War Registry (GWR)

Item Number	Records Description		Disposition Instructions	Disposition Authority
1202.1	<p><b>Gulf War Registry (GWR) Records.</b></p> <p>Hardcopy and electronic records created in connection with Gulf War Registry Program. The Record media includes paper, optical disk, etc.</p> <p><b>NOTE:</b> Once filed into the veteran's health record, this record will take on the records schedule for the veteran's health records.</p>	a. <u>Original Code Sheets</u> (or worksheets).	<b>Temporary.</b> File with the veteran's health record folder.	N1-015-00-2, item 2a
		b. <u>Other copies of Code Sheets</u> (or worksheets).	<b>Temporary.</b> Destroy after date from code sheets are entered into GWR's master database, scanned onto optical disk, and verified for accuracy.	N1-015-00-2, item 2b
		c. <u>GWR Optical Disks.</u>	<b>Temporary.</b> Cutoff at the end of CY in which the GWR program terminates. Destroy 75 years after cutoff.	N1-015-00-2, item 2c
		d. <u>Reports.</u>	<b>Temporary.</b> Destroy when 2 years old or when no longer needed for administrative and program purposes.	N1-015-00-2, item 2d
		e. <u>Master Data Files (copies).</u> Inclusive dates 1991-thereafter.	<b>PERMANENT.</b> Cutoff at the end of CY. Transfer records to NARA in 5-year blocks 1 year after the cutoff of the most recent records in the block.	N1-015-00-2, item 2e
		f. <u>GWR Documentation.</u>	<b>PERMANENT.</b> Transfer to NARA with corresponding GWR Master Files item.	N1-015-00-2, item 2f
		g. <u>Backup copies of the Master and History data files.</u>	<b>Temporary.</b> Destroy after 2 additional backup cycles have been completed.	N1-015-00-2, item 2g
1202.2	<b>Electronic copies created on electronic mail and work processing systems.</b>		<b>Superseded</b> by GRS 5.1, item 030, DAA-GRS-2016-0016-0003. See item 1001.3.	

1203- Agent Orange Registry (AOR)

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>1203.1</b></p> <p>Hardcopy and electronic records created in connection with the Agent Orange Registry (AOR) Program. The records consist of code sheets or worksheets, data files, correspondence and other records generated for the AOR.</p> <p><b>NOTE:</b> Once filed into the veteran's health record, this record will take on the records schedule for the veteran's health records.</p>	<p>a. <u>Un-scanned code sheets</u> (or worksheets).</p>		<p><b>Temporary.</b> File with the veteran's health record folder.</p>	<p>N1-015-01-3, item 1</p>
	<p>b. <u>Input Code Sheets.</u> (or worksheets)</p>	<p>1. Originals.</p>	<p><b>Temporary.</b> File with the veteran's health record folder.</p>	<p>N1-015-01-3, item 1</p>
		<p>2. Copies Scanned onto Optical disk.</p>	<p><b>Temporary.</b> Destroy after scanned to electronic medium (optical disk) and verified for accuracy.</p>	<p>N1-015-01-3, item 2b</p>
	<p>c. <u>AOR Master Database.</u></p>	<p>1. Master Data files (copies).</p>	<p><b>PERMANENT.</b> Cutoff at the end of CY. Transfer records to NARA in 5-year blocks 1 year after the cutoff of most recent records in the block.</p>	<p>N1-015-01-3, item 3a</p>
		<p>2. Original AOR Master Database.</p>	<p><b>Temporary.</b> Destroy 75 years after termination of the program, or when no longer needed.</p>	<p>N1-015-01-3, item 3b</p>
	<p>d. <u>Documentation for AOR Master Database.</u></p>		<p><b>PERMANENT.</b> Transfer a copy to NARA with initial transfer of copy of AOR database. Send up dated copy of documentation as necessary.</p>	<p>N1-015-01-3, item 4</p>
	<p>e. <u>Output generated from AOR Master Database.</u></p>		<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>N1-015-01-3, item 5</p>
	<p>f. <u>Optical disk copy and documentation.</u></p>	<p>1. Optical disk copy of code sheets or worksheets with index.</p>	<p><b>Temporary.</b> Destroy 75 year after termination of program, or when no longer needed.</p>	<p>N1-015-01-3, item 6</p>
		<p>2. Documentation for optical disk system.</p>	<p><b>Temporary.</b> Destroy when no longer needed for system maintenance.</p>	<p>N1-015-01-3, item 6a</p>
<p>g. <u>Output generated from optical disk copy of code sheets (or worksheets).</u></p>		<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>N1-015-01-3, item 7</p>	

### 1250- Health Eligibility Center (HEC) Records

The Health Eligibility Center (HEC) is the VHA’s authoritative source for enrollment and eligibility activities which support the delivery of VA health care benefits. The HEC supports VA’s health care enrollment system by providing centralized eligibility verification and determination services. HEC also supports, coordinates and implements VHA’s financial assessment process for determining veteran’s copay responsibilities for medical care and pharmaceutical services. The HEC provides national leadership for advancing business practices that support patient care by managing eligibility and enrollment activities for VA’s health care benefits package and services.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1250.1	<p><b>Health Eligibility Center (HEC) Records.</b></p> <p>Paper and electronic records of veterans who have applied for medical benefits at VA health care facilities, including data on the veterans’ spouses. The records contain identifying information including name, address, date of birth, social security number, current eligibility category, family information, including spouse and dependent(s) name, address, social security number; employment information on veteran and spouse including occupation, employer(s) name(s) and address(es); financial information including family income, assets, expenses, debts; and third-party health plan contract information including health insurance carrier name and address, policy number and time period covered by the policy; facility location(s) where treatment is provided, type of treatment provided, i.e., inpatient or outpatient, and length of stay or number of visits.</p>	<p><b>Temporary.</b> Destroy 7 years after the income year for which the means test verification was conducted, when all phases of veteran’s appeal rights have ended. If an appeal is filed, retain record until all phases of the appeal have ended.</p>	<p>DAA-0015-2018-0001, item 0001</p>
1250.2	<p><b>Tapes received from Social Security Administration (SSA) and Internal Revenue Service (IRS).</b></p> <p>Documents generated as a result of income verification by computer match with records from (IRS) and (SSA) and during the notification, verification and due process (appeals process) periods including initial verification letters, income verification forms, income difference/final letters, confirmation/due process letters, non-response confirmation letters, clarification letters, and all subpoena documentation.</p>	<p><b>Temporary.</b> Destroy 30 days after the data has been validated as being a true copy of the original data.</p>	<p>DAA-0015-2018-0001, item 0002</p>
1250.3	<p><b>Summary Reports and Other Output Records.</b></p> <p>All forms of individual correspondence generated during the process or provided to HEC by match participants include, but is not limited to, copies of death certification; discharge certification; DD 214, notice of separation; disability award letter; IRS documents (i.e., forms 1040’s W-2’s, etc.); State Welfare and food Stamp application; VA and other pension applicants; VA form 10-10, Application for Medical Benefits, and 10-10F, Financial Worksheet; workers compensation form; and various annual earnings statement as well as pay stubs.</p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>DAA-0015-2018-0001, item 0003</p>

**1260- Care in Community, Health and Medical Care Program, VA**

Item Number	Records Description	Disposition Instructions	Disposition Authority	
1260.1	<p><b>Care in Community:</b> Care in the Community, Health and Medical Care Program records include but not limited to: Veteran and beneficiary claim and administrative records related to receiving health care services at VA expense outside VA facilities. A typical record file includes eligibility information, claim forms, medical records in support of claims and data concerning health care providers, services provided, amounts claimed and paid for health care services.</p>	<p>a. <u>Unscanned Records.</u> All documents maintained in paper form.</p>	<p><b>Temporary.</b> Destroy 6 years after all individuals in the record become ineligible for program benefits.</p>	<p>N1-15-03-1, item 1</p>
		<p>b. <u>Input Scanned Records.</u> Paper source documents that have been scanned for electronic media storage (optical disk).</p>	<p><b>Temporary.</b> Destroy after successfully scanned to electronic medium.</p>	<p>N1-15-03-1, item 2</p>
		<p>c. <u>Electronic Records.</u> (Master Files) Electronic records produced from scanned documents or records received electronically (optical disk, magnetic tape or other electronic medium).</p>	<p><b>Temporary.</b> Destroy 6 years after all individuals in the record become ineligible for program benefits.</p>	<p>N1-15-03-1, item 3</p>
		<p>d. <u>Output document.</u> Paper copies of documents generated from electronic files.</p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>N1-15-03-1, item 4</p>
		<p>e. <u>Backup-duplicate files.</u> Electronic copies retained in case the master file is damaged or inadvertently erased.</p>	<p><b>Temporary.</b> Delete when identical records have been captured in a subsequent backup/duplicate file.</p>	<p>N1-15-03-1, item 5</p>
		<p>f. <u>Documentation Records.</u> Data system specifications, codebooks, record layouts, data dictionaries, etc.</p>	<p><b>Temporary.</b> Destroy when superseded or obsolete.</p>	<p>N1-15-03-1, item 6</p>
		<p>g. <u>Electronic Indexes.</u> Indexes used to provide access to electronic files.</p>	<p><b>Temporary.</b> Delete when related files are no longer needed.</p>	<p>N1-15-03-1, item 7</p>
		<p>h. <u>Electronic Mail and Word Processing.</u></p>	<p>Deleted by NARA with no replacement</p>	

**1270- Disaster Emergency Medical Personnel System (DEMPS)**

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>1270.1</b></p> <p><b>Disaster Emergency Medical Personnel System (DEMPS) Records.</b></p> <p>Records pertain to VA Employees, fulltime, who have applied for participation in DEMPS and are considered for deployment as health care providers primarily in time of national emergencies in response to domestic disasters resulting from natural and technological hazards, terrorist attacks, and the employment of nuclear, biological, and/or chemical weapons of mass destruction.</p> <p>Records include employees' full name, facility, Veterans Integrated Service Network (VISN) assignment, facility address and phone number, professional/job series, grade, specialty, current job assignment, description of advance degrees/certifications (if any) physical limitations (if any), prior experience in disaster response (if any) specialized training, related military medical training, other relevant training and dates, and other information related to the employee's participation in DEMPS.</p>	<p>a. <u>Paper records.</u> (Input)</p>	<p><b>Temporary.</b> Destroy when superseded obsolete or upon separation or transfer of employee.</p>	<p>GRS 5.3 Item 020, DAA-GRS-2016-004-0002</p>
	<p>b. <u>Magnetic tape, disk, or other electronic database.</u></p>	<p><b>Temporary.</b> Destroy when superseded obsolete or upon separation or transfer of employee.</p>	<p>GRS 5.3 Item 020, DAA-GRS-2016-004-0002</p>
	<p>c. <u>Backup Files.</u></p>	<p><b>Temporary.</b> Destroy when superseded obsolete or upon separation or transfer of employee.</p>	<p>GRS 5.3 Item 020, DAA-GRS-2016-004-0002</p>
	<p>d. <u>Output Records.</u> Output records extracted from electronic files (e.g., reports and printouts of specific data).</p>	<p><b>Temporary.</b> Destroy when superseded obsolete or upon separation or transfer of employee.</p>	<p>GRS 5.3 Item 020, DAA-GRS-2016-004-0002</p>
	<p>e. <u>Codebooks.</u> Data system specifications, codebooks, etc. (documentation).</p>	<p><b>Temporary.</b> 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>GRS 5.2, item 020 DAA-GRS-2017-0003-0001</p>
<p><b>1270.2</b></p>	<p><b>Electronic Copies Created on Electronic Mail and Work Processing Systems.</b></p>	<p><b>Superseded</b> by GRS 5.1, item 030, DAA-GRS-2016-0016-0003. See item 1001.3.</p>	

1300-Patient Representation Program

Item Number	Records Description	Disposition Instructions	Disposition Authority
1300.1	<p><b>Patient Representation Program Records.</b></p> <p>The records contain information on patients and family members, VA health care providers, community members, congressional Liaisons, veterans service organizations (VSO), attorneys, and other individuals interested in improving the relationship between VHA and the veteran community.</p>	<p>a. <u>Paper files.</u> Records used to create and update electronic files.</p>	<p><b>Temporary.</b> Destroy when 7 years old.</p> <p>N1-15-05-2, item 1</p>
		<p>b. <u>Electronic Files.</u> Electronic records used to update the master files.</p>	<p><b>Temporary.</b> Delete after the information has been entered into the master file.</p> <p>N1-15-05-2, item 2</p>
		<p>c. <u>Master Files.</u> Records and information extracted from the electronic files.</p>	<p><b>Temporary.</b> Destroy when files are updated or superseded. Longer retention is authorized if the files are needed for business purpose/need.</p> <p>N1-15-05-2, item 3</p>
		<p>d. <u>Backup Files.</u> Electronic copies of electronic files and master files.</p>	<p><b>Temporary.</b> Destroy after two additional backup cycles have been completed. Longer retention is authorized if the files are needed for business purposes.</p> <p>N1-15-05-2, item 4</p>
		<p>e. <u>Reports.</u> Hardcopy reports generated from electronic files and master files.</p>	<p><b>Temporary.</b> Destroy after 2 years old. Earlier disposal is authorized if the reports are no longer needed for business purposes.</p> <p>N1-15-05-2, item 5</p>
		<p>f. <u>Documentation.</u> Records used to operate and maintain electronic files and software.</p>	<p><b>Temporary.</b> Destroy when superseded or obsolete.</p> <p>N1-15-05-2, item 6</p>



## 1900- Public Affairs Records

The Office of Public Communications (10B2B) ensures development, clearance and issuance of VHA messages primarily through news releases and media channels in tandem with the public affairs officers in the Office of the Deputy Under Secretary for Health for Operations and Management (DUSHOM) and in collaboration with VHA OPIA. The Office of Public Communications sustains an operational communications capability and time sensitive processes with OPIA and organizations throughout VHA that will enable VHA to better and expeditiously communicate the VHA story. Functions and Activities include:

- Support all USH priorities that enhance Personalized, Proactive, Patient-Driven Health Care
- Media Queries
- Communication Plans
- Fact Sheets
- Talking Points
- News Releases
- Media Training
- Communications Counsel
- Inter- and Intra-Agency Coordination
- TCF Program
- Conduct special projects of overall interest to USH
- Coordinates as needed with VA Office of Congressional and Legislative Affairs (OCLA), through VHA's OCLA, and Office of General Counsel (OGC) to the group we closely work with on actions.
- Office of Inspector General (OIG)/General Accounting Office (GAO)/US Office of Special Counsel (OSC) Communication Summary Sheets

**VISN and Medical Center Public Affairs.** VISN communication offices work to create and enhance regional public trust and support of VA's mission by supporting VA's OPIA and VHA's Office of Public Communications (10B2B) in the distribution and dissemination of communications products originating in VACO, as well as developing and coordinating and disseminating local and regional products. VISN communications directly supports the VISN mission by establishing communications goals and objectives tied to regional priorities.

VAMC Public Affairs offices perform many of the same functions; however, limit their efforts to communications activities focused on their medical center and outpatient clinics. Functions and Activities of VISN and VAMC Public Affairs Offices amplify OPIA's and VHA's communication efforts by pushing them out to veterans, caregivers, Veteran Service Organizations, legislative staffs, civic and business leaders and other stakeholders using local/regional legacy media (radio, television and newspaper) and new social media, as well as:

- VISN and VAMC Public Affairs Offices Provide public affairs counsel and guidance to leadership
- Respond to local/regional media queries
- Produce press releases and media advisories
- Coordinate responses to national/international media with OPIA and VHA
- Develop talking points and communications plans in support of local/regional issues
- Provide media training to subject matter experts
- Coordinate with legislative affairs (OCLA and VHA/Legislative Affairs (LA) with regard to local/regional congressional issues
- Support outreach efforts through engagement with Veteran Service organizations
- Capture events for use by the VHA History Office

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**NOTE:** Items 1900.1-1900.10 apply to VHA and VACO with some overlap to VHA VISN's. Schedules 1900.11-1900.13 apply to VISNs and VAMCs Public Affairs Offices. Schedules 1900.14-1900.18 applies to all Public Affairs offices.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1900.1	<p><b>Testimony (Statement) By Representative Before the House and Senate.</b></p> <p>Statements made by Veterans Health Administration, Under Secretary, Principal Deputy Under Secretary for Health/Health for Operations and Management, Deputy Under Secretaries and Assistant Deputy Under Secretaries (ADUSH), Chief of Staff, Deputy Chief of Staff and some Executive Directors depending on the historical and policy context at hearings held by members of the House and Senate.</p>	<p><b>PERMANENT.</b> Cutoff at the end of each Presidential Administration. Transfer directly to NARA 5 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0001</p>
1900.2	<p><b>Testimony of All Other Officials at the VHA Headquarters Level not covered in item 1a above.</b></p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 7 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0002</p>
1900.3	<p><b>Speeches and Journal Articles by Veterans Health Administration, Under Secretary, Principal Deputy Under Secretary for Health/Health for Operations and Management, Deputy Under Secretaries and Assistant Deputy Under Secretaries (ADUSH), Chief of Staff and Deputy Chief of Staff.</b></p> <p>Speeches prepared for delivery at civic functions, service organization and professional conferences and meetings. Articles prepared for media publication in professional magazines or journals.</p>	<p><b>PERMANENT.</b> Cutoff at the end of each Presidential Administration. Transfer directly to NARA 5 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0003</p>
1900.4	<p><b>Speeches and Journal Articles by All Other Officials at the VACO Level not covered in item 2 above.</b></p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0004</p>
1900.5	<p><b>Original Daily, Weekly, Monthly Briefing Book/Binders.</b></p> <p>Collection of original news clips from a cross section of media sources to the Veterans Health Administration, Under Secretary, Principal Deputy Under Secretary for Health/Health for Operations and Management.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0005</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1900.6	<p><b>Audiovisual Records Related to High-Level Officials.</b></p> <p>Audiovisual records, consisting of analog and digital still photographs, motion pictures, videos, and sound recordings including official portraits, with current metadata information (captioning) relating to time, place, date and event for activities involving the Veterans Health Administration Under Secretary, Principal Deputy Under Secretary for Health/Health for Operations and Management; at public events and events within the Department of Veterans Affairs. Portraits include biographical information about these officials.</p> <p><b>NOTE:</b> Send a copy to the Veterans Health Administration Historian at cutoff.</p>	<p><b>PERMANENT.</b> Cutoff at the end of each Presidential Administration. Transfer directly to NARA 1 year after cutoff.</p>	<p>DAA-0015-2016-0003, item 0006</p>
1900.7	<p><b>Audio Visual Records Related to Public Service Announcements and Promotional Material.</b></p> <p>Print, Television and radio commercials or announcements, including film, sound recordings, final layouts, and scripts used to provide the public, or Veteran Service Organizations (VSO) with the information on the Department of Veterans Affairs, Veterans Health Administration, mission, policies and services.</p>	<p><b>PERMANENT.</b> Cutoff at the end of each Presidential Administration. Transfer directly to NARA 1 year after cutoff.</p>	<p>DAA-0015-2016-0003, item 0007</p>
1900.8	<p><b>Veterans Health Administration Headquarters level magazines or newsletters with a national distribution.</b></p>	<p><b>PERMANENT.</b> Cutoff at the end of each Presidential Administration. Copy to the VHA Historian at cutoff. Transfer to the National Archives in 4-year blocks 15 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0008</p>
1900.9	<p><b>VHA Senior Executive Service (SES). All other VHA Senior Executive Service (SES) members serving in key public billets where Biographical sketches and Portraits are shared with the public.</b></p> <p>File consists of biographical sketches and portrait photographs.</p> <p><b>NOTE:</b> Send one copy of above record to Veterans Health Administration Historian at cutoff.</p>	<p><b>Temporary.</b> Cutoff at end of employment. Destroy 5 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0010</p>
1900.10	<p><b>VHA Senior level, Senior Executive Service (SES) personnel daily calendar and Appearance files (Non-CAPSTONE Officials).</b></p> <p>Files that cover daily calendar, travel, press conferences and public appearances by the Secretary and contains copies of invitations, itineraries, and other background information VA policy and GRS 6.1.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 5 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0011</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<b>VISN and Medical Center Public Affairs Offices</b>			
1900.11	<p><b>Speeches and Articles by High Level Regional Employees.</b></p> <p>Speeches and articles delivered by VISN and VAMC Directors that deal with significant or controversial issues, e.g., a speech presented at groundbreaking for new clinic is significant; whereas, a speech delivered at the annual Memorial Day event is not.</p>	<p><b>PERMANENT.</b> Cutoff at end of CY. Transfer to National Archives in 5-year blocks when most recent record is 15 years old.</p>	<p>DAA-0015-2016-0003, item 0012</p>
1900.12	<p><b>Audio Visual Recordings of Significant Relating Regional Events.</b></p> <p>Digital Photographs, Photographs, digital film video, sound motion recorded media; with captions relating to time, place, date and event with current metadata that document significant events such as a grand opening of a medical center; the 25th, 50th, 75th anniversary of a facility; a high-level visit from President or foreign dignitary; a first of its kind procedure that bears national interest. Recurring events such as those to recognize the 4th of July, Memorial Day or Veterans Day are by nature not significant.</p>	<p><b>PERMANENT.</b> Cutoff at end of CY. Transfer to National Archives in 5-year blocks when most recent record is 15 years old.</p>	<p>DAA-0015-2016-0003, item 0013</p>
1900.13	<p><b>News Releases.</b></p> <p>News releases from VISNs, Medical Centers or on specific issues such as new services offered, new director or directors, special events, new buildings or programs that may require follow up after completion of the event.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0014</p>
1900.14	<p><b>Consent Forms.</b></p> <p>Consent forms for any type of news release or media release such as but not limited to photographs, digital photographs, motion picture films, video, DVD's, and sound recordings. If not stored in the related media's individual case file.</p> <p><b>NOTE 1:</b> 1900.14 applies to all VHA Program Offices, VISNs, VAMCs, Vet Centers, CBOCs, and other VHA Offices.</p> <p><b>NOTE 2:</b> This schedule does not cover medical consent forms. Care should be taken to ensure that medical-related videos and photographs use the proper medical consent forms.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2016-0003, item 0017</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>NARA Public Affairs Records</b></p> <p>This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest. Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.</p>			
<p><b>1900.15</b></p>	<p><b>Public Affairs-Related Routine Operational Records.</b></p> <p>Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:</p> <ul style="list-style-type: none"> <li>▪ logistics, planning, and correspondence records for routine conferences and events</li> <li>▪ correspondence and records on speakers and speaking engagements, including biographies</li> <li>▪ case files and databases of public comments (related to public affairs activities only)</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old or no longer needed, whichever is later.</p>	<p>DAA-GRS-2016-0005-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1900.16	<p><b>Public Correspondence and Communications Not Requiring Formal Action.</b></p> <p>Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes: comments the agency receives but does not act upon or that do not require a response, such as:</p> <ul style="list-style-type: none"> <li>▪ write-in campaigns</li> <li>▪ personal opinions on current events or personal experiences</li> <li>▪ routine complaints or commendations o anonymous communications</li> <li>▪ suggestion box comments</li> <li>▪ public correspondence addressed to another entity and copied to the agency or that the agency receives in error</li> <li>▪ comments posted by the public on an agency website that do not require response or that the agency does not collect for further use                             <ul style="list-style-type: none"> <li>▪ communications from the public that the agency responds to but takes no formal action on</li> <li>▪ agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting</li> </ul> </li> </ul> <p><b>NOTE 1:</b> For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010.</p> <p><b>NOTE 2:</b> The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.</p> <p><b>EXCLUSION 1:</b> <i>Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.</i></p> <p><b>EXCLUSION 2:</b> <i>Public comments that the agency takes action on or uses to take action are not covered by this GRS.</i></p>	<p><b>Temporary.</b> Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0005-0002</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
1900.17	<p><b>Public Affairs Product Production Files.</b></p> <p>Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:</p> <ul style="list-style-type: none"> <li>▪ news clippings</li> <li>▪ marketing research</li> <li>▪ copies of records used for reference in preparing products</li> <li>▪ research notes</li> <li>▪ printers' galleys</li> <li>▪ drafts and working copies (see Exclusion 3)</li> <li>▪ preparatory or preliminary artwork or graphics</li> <li>▪ bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4)</li> <li>▪ clearances related to release of products (see Exclusions 5 and 6)</li> </ul> <p><b>NOTE:</b> Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item.</p> <p><b>EXCLUSION 1:</b> Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.</p> <p><b>EXCLUSION 2:</b> This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.</p> <p><b>EXCLUSION 3:</b> This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.</p> <p><b>EXCLUSION 4:</b> This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.</p> <p><b>EXCLUSION 5:</b> Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.</p> <p><b>EXCLUSION 6:</b> This item does not cover clearances for release of information related to declassification review.</p>	<p><b>Temporary.</b> Destroy when no longer needed for business use.</p>	<p>DAA-GRS-2016-0005-0003</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1900.18	<p><b>Routine Audiovisual Records.</b></p> <p>Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.</p> <p><b>NOTE:</b> Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.</p>	<p><b>Temporary.</b> Destroy when 2 years old but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0005-0004</p>
1900.20	<p><b>Routine Media Relations Records.</b></p> <p>Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:</p> <ul style="list-style-type: none"> <li>▪ requests and responses for interviews</li> <li>▪ requests and responses for information or assistance for media stories</li> <li>▪ daily or spot news recordings or videos available to local radio and TV stations</li> <li>▪ notices or announcements of media events</li> <li>▪ public service announcements</li> <li>▪ copies or articles created by the agency for publication in news media</li> </ul> <p><b>EXCLUSION:</b> <i>Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.</i></p>	<p><b>Temporary.</b> Destroy when no longer needed for business use.</p>	<p>DAA-GRS-2016-0005-0006</p>



1925- Public Customer Service Records Including Call Centers

Item Number	Records Description	Disposition Instructions	Disposition Authority
1925.1	<p><b>Public Customer Service Operations Records.</b></p> <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 solve technical difficulties with external-facing systems or programs. Includes:</p> <ul style="list-style-type: none"> <li>▪ incoming request and responses</li> <li>▪ trouble tickets and tracking logs</li> <li>▪ recording of call center phone conversations with customers used for quality control and customer service training</li> <li>▪ system data, including customer ticket numbers and visit tracking</li> <li>▪ evaluation and feedback about customer service</li> <li>▪ information about customer services, such as “Frequently Asked Questions” (FAQs) and user guides</li> <li>▪ reports generated from customer management data</li> <li>▪ complaints and commendation records; feedback and satisfaction surveys, including survey instruments, data, background material, and reports.</li> </ul> <p><i><b>EXCLUSION 1:</b> Records of call or service center the public uses to provide tips or allegations to oversight and enforcement agencies/offices.</i></p> <p><i><b>EXCLUSION 2:</b> Reports that recommend changes or revisions to an agency’s customer service operations; agencies must schedule these records on agency-specific schedules.</i></p>	<p><b>Temporary.</b> Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>	<p>GRS 6.5, item 020</p> <p>DAA-GRS-2017-0002-0001</p>
1925.2	<p><b>Customer/Client Records.</b></p> <p>Distribution list used by agency to deliver specific good or services. Records include:</p> <ul style="list-style-type: none"> <li>▪ contact information for customer/clients</li> <li>▪ subscription databases for distributing information such as publications and data sets produced by the agency</li> <li>▪ files and databases related to constituent and community outreach or relations</li> <li>▪ sign-up, request, and opt-out forms</li> </ul>	<p><b>Temporary.</b> Delete when superseded, obsolete, or when customer requests the agency to remove the records.</p>	<p>GRS 6.5, item 020</p> <p>DAA-GRS-2017-0002-0002</p>
1925.3	Reserved		

**1930- Veteran Health Administration Call Centers**

Item Number	Records Description	Disposition Instructions	Disposition Authority
1930.1	<p><b>The National Department of Veteran Affairs Veterans Crisis Line.</b></p> <p>This crisis line provides emergency crisis intervention for Veterans throughout the United States. This center operates 24/7/365 in Canandaigua, NY, or any other future location and provides crisis modification via phone, chat, and text: rescue services for high-risk situations; follow-up with caregivers at the local VAMC to verify patient has been contacted and is involved in a plan of care; education and information for callers about local VAMC &amp; community resources; and warm transfers to local support agencies. Call responders at Canandaigua and Suicide Prevention Coordinators (SPCs) at facilities across the country use the VCL software, which is hosted at the Austin Information Technology Center (AITC) in Austin, TX, to log clinical information obtained on the call and share relevant data for Veterans who are referred for additional care in support of the plan of care.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy when 4 years old.</p>	<p>DAA-0015-2017-0001-0001</p>
1930.2	<p><b>Medical Advice/Direction Call Centers.</b></p> <p>Call Centers such as but not limited to weekend, holiday evening and night medical advice lines manned by qualified professionals, all other audio recordings of hotline/Call Center/phone line/case files, regardless of media used, for the purpose of providing medical advice/direction to a patient such as but not limited to VHA nurse advice helplines.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy when 4 years old based on medical need.</p>	<p>DAA-0015-2017-0001-0002</p>
1930.3	<p><b>Contract/Finance-Related Call Center Records such as but not limited to: Chief Business Office Purchased Case (CBOPC).</b></p> <p>Any audio recordings of hotline/Call Center/phone line/paper case file regardless of media that provides information to patient, providers and contractors on benefits, contracts, medical equipment purchase, allowable amounts for services/payment methodologies and financials such as claims processing activities under the authority of the Chief Business Office Purchased Case (CBOPC) or other VHA Call Centers.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy when 6 years old, based on financial need of the Call Center.</p>	<p>DAA-0015-2017-0001-0003</p>
1930.4	<p><b>Veterans Administration and/or Veteran Benefits Call Centers not covered in other schedules.</b></p> <p>Any audio recordings of hotline/Call Center/phone line/paper case file regardless of media that provides detailed administration information of veteran benefits and information not covered in item 1 &amp; 2 but are needed as reference in future call that may develop into a complex case.</p>	<p><b>Temporary.</b> Cutoff at end of FY. Destroy when 2 years old.</p>	<p>DAA-0015-2017-0001-0004</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
1930.5	<b>Facility General Information Call Center.</b> Any audio recordings of phone line, Call Center phone call that is set-up or advertised with the purpose of providing routine information such as facility location, phone numbers, transportation schedules and how to receive forms etc.	<b>Temporary.</b> Destroy after 7-30 days, depending on business needs of the organization.	DAA-0015-2017-0001-0005

## 1950- Library Services

Library Network (VALNET) VA Records consist of records on the following individuals: employees and patients who have checked out or requested library materials such as books, audiovisual software, and equipment and periodicals; employees who have requested the loan of books, audiovisuals and periodicals from other libraries via interlibrary loan, and current patients who use computers located in the library. Also included are Library cards containing information on employees and patients who check out materials from the library.

Item Number	Records Description	Disposition Instructions	Disposition Authority
1950.1	<p><b>Library Administrative Records.</b></p> <p>Records documenting a library’s planning and management. Records may document library policies, procedures, and statistics. Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ strategic plans, project plans</li> <li>▪ policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material</li> <li>▪ promotional material describing library services and resources</li> <li>▪ correspondence and records on library staffing and relations with other libraries</li> <li>▪ quick guides to library databases and resources, topical or customized reading lists, and bibliographies</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. Longer retention is authorized for business use.</p>	<p>DAA-GRS-2015-0003-0001</p>
1950.2	<p><b>Library Operations Records.</b></p> <p>Records documenting the daily activities of running a library. Includes:</p> <ul style="list-style-type: none"> <li>▪ reference inquiries and responses</li> <li>▪ correspondence and records about normal cataloging, circulation, and document delivery activities</li> <li>▪ visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms</li> <li>▪ photocopying and digitization requests</li> </ul>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2015-0003-0002</p>
1950.3	<p><b>Inter Library-Loan (ILL) Requests.</b></p> <p><b>NOTE:</b> Agency library and information centers collect material related to their agency’s mission or focus. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document a library’s administration and daily operations. This schedule does not cover non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserved only for convenient reference, and stocks of publications and of processed documents. This schedule also does not include unique or special collections, which agencies must schedule based on their content.</p>	<p><b>Temporary.</b> Destroy 5 years after completing the transaction.</p>	<p>DAA-GRS-2015-0003-0003</p>

## **Chapter 2- Information Technology**

The records described in this chapter relate to the management and operations of all types of information technology and systems. They are created, purchased or accumulated by VA Program Offices, service lines, departments and work centers that exercise management control or formulate and prescribe information technology policies and procedures and by activities and offices applying these procedures and providing information technology services. Information technology records describe and technology that helps to produce, manipulate, store, communicate, and/or disseminate information.

### **2000- General Technology Management Records**

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

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

Item Number	Records Description	Disposition Instructions	Disposition Authority
2000.1	<p><b>Information Technology Development Project Records.</b></p> <p>a. <u>Infrastructure project records.</u> 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"> <li>▪ maintaining network servers, desktop computers, and other hardware</li> <li>▪ installing and upgrading network operating systems and shared applications</li> <li>▪ providing data telecommunications</li> <li>▪ infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting</li> </ul> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ installation and testing records</li> <li>▪ installation reviews and briefings</li> <li>▪ quality assurance and security review</li> <li>▪ requirements specifications</li> <li>▪ technology refresh plans</li> <li>▪ operational support plans</li> <li>▪ test plans</li> <li>▪ models, diagrams, schematics, and technical documentation</li> </ul> <p><b>EXCLUSION:</b> 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><b>NOTE:</b> Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p>	<p><b>Temporary.</b> Destroy 5 years after project is terminated, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0006, item 010</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>System development records.</u> These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ feasibility studies</li> <li>▪ cost analyses</li> <li>▪ requirements documents</li> <li>▪ compliance documents including:               <ul style="list-style-type: none"> <li>○ Privacy Threshold Analyses (PTAs)</li> <li>○ Privacy Impact Assessments (PIAs)</li> <li>○ Security Plan</li> <li>○ Information Protection Plan</li> </ul> </li> <li>▪ change control records</li> <li>▪ project schedule</li> <li>▪ Plan of Action and Milestones (POA&amp;M)</li> <li>▪ configuration management plan</li> <li>▪ resource management plan</li> <li>▪ risk assessment/mitigation plan</li> <li>▪ security plan</li> <li>▪ disaster recovery plan</li> <li>▪ test /acceptance plan</li> <li>▪ quality control plan</li> <li>▪ deployment guide</li> <li>▪ user guide</li> <li>▪ training guide</li> </ul> <p><b>EXCLUSION:</b> <i>This item does not apply to system data or content.</i></p> <p><b>NOTE 1:</b> For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.</p> <p><b>NOTE 2:</b> This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.</p>	<p><b>Temporary.</b> Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0007, item 11</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>c. <u>Special purpose computer programs and applications.</u> Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.</p> <p><b>EXCLUSION 1:</b> <i>This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the NARA.</i></p> <p><b>EXCLUSION 2:</b> <i>This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.</i></p> <p><b>NOTE:</b> Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.</p>	<p><b>Temporary.</b> Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0008, item 012</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority
2000.2	<p><b>Information Technology Operations and Maintenance Records.</b></p> <p>Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ files identifying IT facilities and sites</li> <li>▪ files concerning implementation of IT facility and site management <ul style="list-style-type: none"> <li>○ equipment support services provided to specific sites: reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, related correspondence</li> </ul> </li> <li>▪ inventories of IT assets, network circuits, and building or circuitry diagrams</li> <li>▪ equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of (approved) personally-owned devices</li> <li>▪ requests for service</li> <li>▪ work orders</li> <li>▪ service histories</li> <li>▪ workload schedules</li> <li>▪ run reports</li> <li>▪ schedules of maintenance and support activities</li> <li>▪ problem reports and related decision documents relating to the software infrastructure of the network or system <ul style="list-style-type: none"> <li>○ reports on operations, measures of benchmarks</li> <li>○ performance indicators, critical success factors</li> <li>○ error and exception reporting</li> <li>○ self-assessments, performance monitoring</li> <li>○ management reports</li> <li>○ website administration: frames, templates, style sheets, site maps, codes that determine site architecture, change requests, site posting logs, clearance records, requests for correction of incorrect links or content posted, requests for removal of duplicate information, user logs, search engine logs, audit logs</li> </ul> </li> <li>▪ records to allocate charges and track payment for software and services</li> </ul> <p><b>NOTE 1:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p><b>NOTE 2:</b> Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.</p>	<p><b>Temporary.</b> Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0004, item 020</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
2000.3	<p><b>Configuration and Change Management Records.</b></p> <p>Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes:</p> <ul style="list-style-type: none"> <li>▪ data and detailed reports on implementation of systems, applications and modifications</li> <li>▪ application sizing, resource and demand management records</li> <li>▪ documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes</li> <li>▪ documentation of software distribution (including COTS software license management files) and release or version management</li> </ul> <p><b>NOTE 1:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.</p> <p><b>NOTE 2:</b> Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>NOTE 3:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by NARA.</p>	<p><b>Temporary.</b> Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0005, item 030</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
2000.4	<p><b>Information Technology Oversight and Compliance Records.</b></p> <p>Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:</p> <ul style="list-style-type: none"> <li>• recurring and special reports</li> <li>• responses to findings and recommendations</li> <li>• reports of follow-up activities</li> <li>• statistical performance data, metrics, web use statistics</li> <li>• inventory of web activity</li> <li>• comments/feedback from web site or application users</li> <li>• internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act</li> <li>• system availability reports</li> <li>• target IT architecture reports</li> <li>• systems development lifecycle handbooks</li> <li>• computer network assessments and follow-up documentation</li> <li>• vulnerability assessment reports</li> <li>• assessment and authorization of equipment</li> <li>• Independent Verification and Validation (IV&amp;V) reports</li> <li>• contractor evaluation reports</li> <li>• quality assurance reviews and reports</li> <li>• market analyses and performance surveys</li> <li>• benefit-cost analyses</li> <li>• make vs. buy analysis</li> <li>• reports on implementation of plans</li> <li>• compliance reviews</li> <li>• data measuring or estimating impact and compliance</li> </ul> <p><b>NOTE:</b> Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.</p>	<p><b>Temporary.</b> Destroy 5 years after the project/activity/ transaction is completed or superseded, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0010, item 040</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>2000.5</b></p>	<p><b>Data Administration Records.</b> Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.</p> <p>a. <u>Documentation necessary for preservation of permanent electronic records.</u> Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:</p> <ul style="list-style-type: none"> <li>▪ data/database dictionary records</li> <li>▪ data systems specifications</li> <li>▪ file specifications</li> <li>▪ code books</li> <li>▪ record layouts</li> <li>▪ metadata</li> <li>▪ user guides</li> <li>▪ output specifications</li> </ul> <p><b>NOTE 1:</b> Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p><b>NOTE 2:</b> Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	<p><b>PERMANENT.</b> Transfer to the NARA with the permanent electronic records to which the documentation relates.</p>	<p>DAA-GRS-2013-0005-0002, item 050</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</u> Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:</p> <ul style="list-style-type: none"> <li>▪ data/database dictionary records</li> <li>▪ data systems specifications</li> <li>▪ file specifications</li> <li>▪ code books</li> <li>▪ record layouts</li> <li>▪ metadata</li> <li>▪ user guides</li> <li>▪ output specifications</li> </ul> <p>And also the following records for all electronic records whether scheduled as temporary or permanent:</p> <ul style="list-style-type: none"> <li>▪ software operating manuals</li> <li>▪ data standards</li> <li>▪ table and dependency description</li> <li>▪ taxonomies</li> <li>▪ schemas</li> <li>▪ registries</li> <li>▪ source code</li> <li>▪ physical data model</li> <li>▪ logical data model</li> </ul>	<p><b>Temporary.</b> Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0005-0003, item 51</p>
<p>2000.6</p>	<p><b>Technology Management Administrative Records.</b> Records on day-to-day, routine information technology management. Records include:</p> <ul style="list-style-type: none"> <li>▪ correspondence</li> <li>▪ subject files, including briefing, reports, presentations, and studies that do not relate to high-level decision-making</li> <li>▪ data calls</li> <li>▪ operational and managerial guidance to organizational segment of the agency</li> </ul>	<p><b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if needed for business use.</p>	<p>GRS 3.1, item 001  DAA-GRS-2016-0013-0002</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
2000.7	<p><b>Help Desk Services Provided by Service Centers to Respond to Government and Contract Employees' Technical and Administrative Questions.</b></p> <p>This schedule covers records on managing administrative, technical, and information technology (IT) help desk. 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. Includes technical and administrative help desk operations records:</p> <ul style="list-style-type: none"> <li>• records of incoming request (and responses) made by phone, email, web-portal, etc.</li> <li>• trouble tickets and tracking logs</li> <li>• quick guides and "Frequently Asked Questions" (FAQs)</li> <li>• evaluations and feedback about help desk services</li> <li>• analysis and reports generated from customer management data</li> <li>• customer/client feedback and satisfaction surveys, including survey instruments, data, background material, and reports</li> </ul>	<p><b>Temporary.</b> Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.</p>	<p>GRS 5.8, item 010</p> <p>DAA-GRS-2017-0001-0001</p>

## 2100- Information Systems Security Records

Item Number	Records Description	Disposition Instructions	Disposition Authority
2100.1	<p><b>Systems and Data Security Records.</b></p> <p>These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ system security plans</li> <li>▪ disaster recovery plans</li> <li>▪ Continuity of Operations Plans (COOP)</li> <li>▪ published computer technical manuals and guides</li> <li>▪ examples and references used to produce guidelines covering security issues related to specific systems and equipment</li> <li>▪ records on disaster exercises and resulting evaluations</li> <li>▪ network vulnerability assessments</li> <li>▪ risk surveys</li> <li>▪ service test plans</li> <li>▪ test files and data</li> </ul>	<p><b>Temporary.</b> Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.</p>	<p>DAA-GRS-2013-0006-0001, item 010</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
2100.2	<p><b>Computer Security Incident Handling, Reporting and Follow-up Records.</b></p> <p>A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ reporting forms</li> <li>▪ reporting tools</li> <li>▪ narrative reports</li> <li>▪ background documentation</li> </ul> <p><b>NOTE:</b> Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.</p>	<p><b>Temporary.</b> Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0006-0002, item 20</p>	
2100.3	<p><b>System Access Records.</b></p> <p>These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ user profiles</li> <li>▪ log-in files</li> <li>▪ password files</li> <li>▪ audit trail files and extracts</li> <li>▪ system usage files</li> <li>▪ cost-back files used to assess charges for system use</li> </ul> <p><b>EXCLUSION 1:</b> Excludes records relating to electronic signatures.</p> <p><b>EXCLUSION 2:</b> Does not include monitoring for agency mission activities such as law enforcement.</p>	<p>a. <u>Systems not requiring special accountability for access.</u> These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0006-0003, item 030</p>
		<p>b. <u>Systems requiring special accountability for access.</u> These are user identification records associated with systems which are highly sensitive and potentially vulnerable.</p>	<p><b>Temporary.</b> Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0006-0004, item 31</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority	
2100.4	<p><b>System Backups and Tape Library Records.</b></p> <p>Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p>	<p>a. <u>Incremental backup files.</u></p>	<p><b>Temporary.</b> Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</p>	<p>DAA-GRS-2013-0006-0005, item 040</p>
		<p>b. <u>Full back-up files.</u></p>	<p><b>Temporary.</b> Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.</p>	<p>DAA-GRS-2013-0006-0006, item 041</p>
2100.5	<p><b>Backups of Master Files and Databases.</b></p> <p>Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.</p>	<p>a. <u>File identical to permanent records scheduled for transfer to the NARA.</u></p>	<p><b>Temporary.</b> Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by NARA, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0006-0007</p>
		<p>b. <u>File identical to temporary records authorized for destruction by a NARA-approved records schedule.</u></p>	<p><b>Temporary.</b> Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0006-0008</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p>2100.6 (a-c)</p>	<p><b>Public Key Infrastructure (PKI) Administrative Records.</b></p> <p>Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records.</p> <p>Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system.</p> <p>Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security.</p> <p>Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.</p>		

Item Number	Records Description		Disposition Instructions	Disposition Authority
		a. <u>Federal Bridge Certification Authority (FBCA) and Certification Authority (CA).</u>	<b>Temporary.</b> Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3, item 13a1/060
		b. <u>Other (non-FBCA <i>et. al.</i>) CAs.</u>  <b>NOTE:</b> Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.	<b>Temporary.</b> Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.	N1-GRS-07-3, item 13a2/061

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

## 2201- Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

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

Item Number	Records Description	Disposition Instructions	Disposition Authority
2201.1	<p><b>Transitory Records.</b> 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"> <li>▪ messages coordinating schedules, appointments, and events</li> <li>▪ 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</li> <li>▪ received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees</li> <li>▪ messages received from agency distribution lists</li> <li>▪ “to-do” or task lists and assignments</li> </ul>	<p><b>Temporary.</b> Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.</p>	<p>GRS 5.1, item 010  DAA-GRS-2017-0003-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
2201.2	<p><b>Intermediary Records.</b></p> <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: 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, reference, or consultation, and associated transmittals, notes, reference, and background materials.</p> <ul style="list-style-type: none"> <li>▪ 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)</li> <li>▪ dictation recordings</li> <li>▪ 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:</li> <li>▪ hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)</li> <li>▪ electronic input source records such as transaction files or intermediate input/output files</li> <li>▪ ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report</li> <li>▪ data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2)</li> </ul> <p><b>EXCLUSION 1:</b> <i>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 unclassified, the agency must submit a schedule for them.</i></p> <p><b>EXCLUSION 2:</b> <i>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):</i></p> <ul style="list-style-type: none"> <li>▪ <i>files created only for public access purposes summarized information from unclassified electronic records or inaccessible permanent records</i></li> <li>▪ <i>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</i></li> </ul>	<p><b>Temporary.</b> 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>GRS 5.2, item 020</p> <p>DAA-GRS-2017-0003-0001</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> <li>▪ <i>data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)</i></li> </ul> <p><b>NOTE:</b> 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><b>Legal Citation:</b> 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>		

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## **2310- Information Access and Protection Records**

### **GRS 6.3**

This schedule covers records about Federal agency Information Technology (IT) program planning, which includes designing and operating major IT management processes; acquiring and managing IT capital investments; monitoring IT program performance; and developing and maintaining an agency's IT architecture. This schedule does not include records of the Office of Management and Budget (OMB) documenting OMB's oversight role relating to Government-wide information resources management and IT spending. These records are scheduled by an OMB-specific schedule. Related records are covered elsewhere in the GRS. IT records are covered in GRS 3.1, General Technology Management, and 3.2, Information Systems Security Records.



Item Number	Records Description	Disposition Instructions	Disposition Authority
2310.1	<p><b>Information Technology Program and Capital Investment Planning Records.</b></p> <p>Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as Tech Stat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:</p> <ul style="list-style-type: none"> <li>▪ strategic and tactical plans</li> <li>▪ records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications</li> <li>▪ records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities</li> <li>▪ reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting</li> <li>▪ portfolio management records, including clearance and review</li> <li>▪ Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions</li> <li>▪ business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets</li> </ul> <p><b>EXCLUSION 1:</b> Policy records generated by the CIO (agencies must schedule these separately).</p> <p><b>EXCLUSION 2:</b> Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately).</p> <p><b>EXCLUSION 3:</b> System data or content (agencies must schedule these separately).</p> <p><b>EXCLUSION 4:</b> Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these).</p> <p><b>EXCLUSION 5:</b> Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).</p>	<p><b>Temporary.</b> Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0009-0001, GRS 6.3</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
2310.2	<p><b>Enterprise Architecture Records.</b></p> <p>Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.</p> <p><i><b>EXCLUSION:</b> Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).</i></p>	<p><b>Temporary.</b> Destroy 7 years after creating a new iteration of the enterprise or information architecture, but longer retention is authorized if required for business use.</p>	<p>GRS 6.3, item 020</p> <p>DAA-GRS-2017-0009-0001</p>

## 2525- Mail, Printing, and Telecommunication Service Management Records

This schedule covers records related to: organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies, administering printing/binding/duplicating services.

This schedule specifically excludes certain records from coverage: objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item’s subject matter content); records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010); information technology (IT) records (covered under GRS 3.1); unique agency publications produced by a printing service (the publishing agency must schedule these records); records documenting agency programs that provide printing services (e.g. the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (e.g. the Armed Forces Radio and Television Service) (those agencies must schedule these records).

Item Number	Records Description	Disposition Instructions	Disposition Authority
2525.1	<p><b>Mail, Printing, and Telecommunication Services Administrative and Operational Records.</b></p> <p>Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes:</p> <ul style="list-style-type: none"> <li>▪ agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use</li> <li>▪ records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment</li> <li>▪ telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data</li> <li>▪ records documenting allocation, distribution, and use of telephone calling cards</li> <li>▪ statistical reports on mail and package shipment volume and costs</li> <li>▪ related correspondence</li> </ul> <p><b>EXCLUSION:</b> Agreements used to support payment vouchers. (GRS 1.1, item 010 covers these)</p>	<p><b>Temporary.</b> Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0012-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
2525.2	<p><b>Mail, Printing, and Telecommunication Services Control Records.</b></p> <p>Records of general day-to-day communication service administration and specific transmission tracking. Includes:</p> <ul style="list-style-type: none"> <li>▪ records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages</li> <li>▪ messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity</li> <li>▪ reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment</li> <li>▪ records that document requisitioning and receiving stamps and postage meter balances</li> <li>▪ documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger</li> <li>▪ staff and office directories the agency uses to ensure correct mail and package delivery</li> <li>▪ printing requisitions, work orders, samples, manuscript clearances, and related documents</li> <li>▪ mailing and contact lists a mailroom or similar office manages</li> <li>▪ telephone message registers and logs</li> </ul> <p><i><b>EXCLUSION 1:</b> United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately.</i></p> <p><i><b>EXCLUSION 2:</b> Requisitions used to support payment vouchers. (GRS 1.1, item 010 covers these)</i></p> <p><i><b>EXCLUSION 3:</b> Mailing lists for public distribution of material. (GRS 6.5, item 020 covers these)</i></p>	<p><b>Temporary.</b> Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0012-0002
2525.3	<p><b>Metered Mail Records.</b></p> <p>Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.</p>	<p><b>Temporary.</b> Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0012--0003
2525.4	<p><b>Lost, Destroyed, or Damaged Shipment Records.</b></p> <p>Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.</p>	<p><b>Temporary.</b> Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0012-0004

### Chapter 3- Civilian Personnel

The records described in this chapter relate to the administration of Civilian Personnel functions throughout the Department of Veterans Affairs. This schedule covers the disposition of all Official Personnel Folders (OPFs) of civilian employees and all other records relating to civilian personnel. The format used for this series follows that of the “Guide to Personnel Records Keeping”, formally the Federal Personnel Manual (FPM) issued by the Office of Personnel Management (OPM).

#### 3010- Employee Acquisition Records

This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies’ employee selection processes. Its procedural rules and best practices are spelled out in its “Delegated Examining Operations Handbook”. This schedule reflects OPM’s determinations on appropriate records retention periods.

This schedule applies only to civilian employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore, these records are not covered in the GRS.

Item Number	Records Description		Disposition Instructions	Disposition Authority
3010.1	<p><b>Classification Standards.</b> Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval.</p>		<p><b>Temporary.</b> Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate) but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, item 010  DAA-GRS-2014-0002-0001</p>
3010.2	<p><b>Position Descriptions.</b> Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.</p>	<p>a. <u>Official record copy of position description.</u> Copy held at Human Resources office.</p>	<p><b>Temporary.</b> Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, item 020  DAA-GRS-2014-0002-0002</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor's personnel file.</u></p> <p>c. <u>All other related records.</u> Includes:</p> <ul style="list-style-type: none"> <li>▪ case file at position's program office</li> <li>▪ background material in Human Resources case file</li> <li>▪ other copies of records in item 020</li> </ul>	<p><b>Temporary.</b> Destroy in accordance with disposal instructions for associated file.</p> <p><b>Temporary.</b> Destroy when position description is final, but longer retention is authorized if required for business use.</p>	<p>See GRS 2.2 section on OPFs.</p> <p>GRS 2.1, item 021</p> <p>GRS 2.2 item 022</p> <p>DAA-GRS-2014-0002-0003</p>
<p><b>3010.3</b></p>	<p><b>Position Reviews and Classification Appeals.</b></p> <p>Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits</p>	<p><b>Temporary.</b> Destroy 3 years after final decision, but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, item 030</p> <p>DAA-GRS-2014-0002-0004</p>
<p><b>3010.4</b></p>	<p><b>Certificates of Classification.</b></p> <p>Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.</p>	<p><b>Temporary.</b> Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, Item 040, DAA-GRS-2014-0002-0005</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>3010.5</b></p>	<p><b>Job Vacancy Case Files.</b></p> <p>Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:</p> <ul style="list-style-type: none"> <li>▪ request for lists of eligible candidates</li> <li>▪ job announcement</li> <li>▪ examination announcement</li> <li>▪ job analysis, assessment criteria, and crediting plan</li> <li>▪ basis for certification</li> <li>▪ applications, resumes, supplemental forms, other attachments</li> <li>▪ list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification</li> <li>▪ certificates, registers or lists of eligible candidates issued to selecting officials</li> <li>▪ job-related test records</li> <li>▪ annotated certificates of eligible candidates returned by selecting officials</li> <li>▪ job offers</li> <li>▪ records of job offer being accepted or declined</li> <li>▪ correspondence/documentation of announcement or recruiting operation</li> </ul> <p><b>Legal Citation:</b> 5 CFR 335.103</p>	<p><b>Temporary.</b> Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.</p>	<p>GRS 2.1, item 050</p> <p>DAA-GRS-2014-0002-0006</p>
		<p><b>Temporary.</b> Destroy 2 years after termination of register.</p>	<p>GRS 2.1, item 051</p> <p>DAA-GRS-2014-0002-0007</p>
<p><b>3010.6</b></p>	<p><b>Job Application Packages.</b></p> <p>Application packages for competitive positions, in USA Jobs or its successors, and other systems, whether electronic or analog. Includes:</p> <ul style="list-style-type: none"> <li>▪ application</li> <li>▪ resume</li> <li>▪ supplemental forms</li> <li>▪ other attachments</li> </ul> <p><b>NOTE:</b> This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files (items 050 and 051).</p>	<p><b>Temporary.</b> Destroy 1 year after date of submission.</p>	<p>GRS 2.1, item 060</p> <p>DAA-GRS-2014-0002-0011</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
3010.7	<p><b>Case files on Lost or Exposed Job Test Materials.</b></p> <p>Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.</p>	<p><b>Temporary.</b> Destroy 5 years after date of final report.</p>	<p>GRS 2.1, item 070</p> <p>DAA-GRS-2014-0002-0012</p>	
3010.8	<p><b>Requests for Non-Competitive Personnel Action.</b></p> <p>Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.</p>	<p><b>Temporary.</b> Destroy 1 year after approval is granted or denied.</p>	<p>GRS 2.1, item 080</p> <p>DAA-GRS-2014-0002-0013</p>	
3010.9	<p><b>Interview Records.</b></p> <p>Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:</p> <ul style="list-style-type: none"> <li>▪ copies of records in the job vacancy case file (item 050 and 051)</li> <li>▪ notes of interviews with selected and non-selected candidates</li> <li>▪ reference check documentation</li> </ul> <p><b>Legal Citation:</b> 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.</p>	<p><b>Temporary.</b> Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.</p>	<p>GRS 2.1, item 090</p> <p>DAA-GRS-2014-0002-0008</p>	
3010.10	<p><b>Political Appointment (Schedule C) Records.</b></p> <p>Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401).</p>	<p>a. <u>Records (except ethics pledges and waivers) related to appointees.</u></p>	<p><b>Temporary.</b> Destroy after separation. Retention up to end of administration under which individual was hired is authorized if required for business use.</p>	<p>GRS 2.1, item 100</p> <p>DAA-GRS-2014-0002-0014</p>
		<p>b. <u>Ethics pledges and waivers of appointees.</u></p>	<p>File in appointee's Official Personnel File, per Executive Order 13490.</p>	<p>GRS 2.1, item 101</p>



Item Number	Records Description		Disposition Instructions	Disposition Authority	
	c. <u>Records related to non-appointees.</u>		<b>Temporary.</b> Destroy 1 year after consideration of the candidate ends. Retention up to end of administration under which individual was considered is authorized if required for business use.	GRS 2.1, item 102  DAA-GRS-2014-0002-0015	
3010.11	<p><b>Excepted Service Appointment Records.</b></p> <p>Records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):</p> <ul style="list-style-type: none"> <li>▪ application, attachments, and supplemental forms</li> <li>▪ documentation of eligibility for excepted service appointment</li> <li>▪ proof of special qualifications</li> <li>▪ resume or other proof of employment, education, or relevant experience</li> <li>▪ proof of disability issued by a licensed medical professional</li> <li>▪ certification of job readiness</li> <li>▪ notice of appointment, terms, and acceptance</li> </ul> <p><b>NOTE:</b> Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p> <p><b>Legal authorities:</b> 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>		a. <u>Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).</u>	<b>Temporary.</b> Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.	GRS 2.1, item 110  DAA-GRS-2014-0002-0018
			b. <u>Case files related to all other appointees.</u>	<b>Temporary.</b> Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.	GRS 2.1, item 111  DAA-GRS-2014-0002-0019
3010.12	<p><b>Special Hiring Authority Program Records.</b></p> <p>Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.</p>		<b>Temporary.</b> Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	GRS 2.1, item 120  DAA-GRS-2014-0002-0016	

Item Number	Records Description		Disposition Instructions	Disposition Authority		
3010.13	<p><b>Records Related to Individual Employees Hired Under Special Temporary Authority.</b> Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.</p>		<p><b>Temporary.</b> Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, item 130  DAA-GRS-2014-0002-0017</p>		
3010.14	<p><b>Pre-Appointment Files.</b> Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.</p>		<p>a. <u>Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions.</u> Included are forms in the SF-85 family, finger print charts, and related correspondence.</p>	<p>Instructions: Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.</p>	<p>GRS 2.1, item 140</p>	
			<p>b. <u>Records appropriate for inclusion in OPF.</u> Such as designation of beneficiary, life insurance election, and health benefits registration.</p>	<p>(1) Records concerning prospective employees who enter on duty.</p>	<p>Instructions: Forward to appropriate human resources office to include in OPF after employee enters on duty.</p>	<p>GRS 2.1, item 141</p>
				<p>(2) Records concerning prospective employees who do not enter on duty.</p>	<p><b>Temporary.</b> Destroy 1 year after prospective employee is no longer a candidate.</p>	<p>GRS 2.1 item 142  DAA-GRS-2014-0002-0009</p>
			<p>c. <u>Copies of records included in Job vacancy case file (items 050 or 051).</u></p>	<p><b>Temporary.</b> Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.</p>	<p>GRS 2.1, item 143  DAA-GRS-2014-0002-0010</p>	
3010.15	<p><b>Records of Delegation of Authority for Examination and Certification.</b> Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment.</p>		<p><b>Temporary.</b> Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, item 150  DAA-GRS-2014-0002-0021</p>		

Item Number	Records Description	Disposition Instructions	Disposition Authority	
3010.16	<p><b>Delegated Authority Audits.</b>            Reports of delegated examining operations audit delivered to the audited agency.</p>	<p><b>Temporary.</b> Destroy when 3 years old but longer retention is authorized if required for business use.</p>	<p>GRS 2.1, item 160             DAA-GRS-2014-0002-0022</p>	
3010.17	<p><b><u>Adverse Impact Files.</u></b>  <u>Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures. Includes records documenting:</u></p> <ul style="list-style-type: none"> <li>▪ <u>number of applicants by sex, race, and national origin</u></li> <li>▪ <u>number of people hired, promoted, and terminated by sex, race, and national origin</u></li> <li>▪ <u>selection procedures and their validity</u></li> </ul>	<p><b>a. <u>Records revealing no adverse impact.</u></b></p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p><b><u>GRS 2.1, item 170</u></b>   <b><u>DAA-GRS-2018-0008-0001</u></b></p>
	<p><b>b. <u>Records revealing an adverse impact.</u></b></p> <p><b><u>Legal Citation: 29 CFR 1607.15A(2)(b)</u></b></p>	<p><b>Temporary.</b> Destroy 2 years after eliminating the adverse impact, but longer retention is authorized if required for business use.</p>	<p><b><u>GRS 2.1, item 171</u></b>   <b><u>DAA-GRS-2018-0008-0002</u></b></p>	
3010.18	<p><b><u>Recruitment Records.</u></b>  <u>Records documenting agency in-person and online recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes:</u></p> <ul style="list-style-type: none"> <li>▪ <u>records documenting planning and logistics of individual recruitment events</u></li> <li>▪ <u>record copy of advertisement and materials for distribution (see Exclusion 2)</u></li> <li>▪ <u>contact information and interest areas collected from potential job candidates</u></li> <li>▪ <u>recruitment event reports</u></li> <li>▪ <u>correspondence with prospective candidates</u></li> </ul> <p><b><u>EXCLUSION 1: Military recruitment advertising records must be scheduled by military establishments.</u></b></p> <p><b><u>EXCLUSION 2: Recruitment posters must be scheduled by agencies.</u></b></p>	<p><b>Temporary.</b> Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	<p><b><u>GRS 2.1, item 180</u></b>   <b><u>DAA-GRS-2018-0008-0003</u></b></p>	

### 3015- Employee Health and Safety Records

This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore, these records are not covered in the GRS.

Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees. Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

Note that this schedule does not apply to Veteran who receive care and services from the Department of Veteran affairs. Care shall be taken to maintain separate Health Records for employees that are both employees and who receive care and services from the Veteran Health Administration. Records should not be co-mingled.

Item Number	Records Description	Disposition Instructions	Disposition Authority
3015.1	<p><b>Clinic Scheduling Records.</b> Scheduling records of clinic visits, both occupational and non-occupational. Includes:</p> <ul style="list-style-type: none"> <li>▪ patient's name, time of appointment, and type of work to be performed</li> <li>▪ details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit</li> <li>▪ notifications about appointment updates</li> <li>▪ patient visit and other scheduling-related statistics</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0001, item 010</p>
3015.2	<p><b>Occupational Injury and Illness Program Records.</b> Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> <li>▪ miscellaneous reports, annual summaries or reports to the Secretary of Labor</li> <li>▪ correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA)</li> <li>▪ OSHA 300 Log</li> <li>▪ OSHA 301 Incident Report</li> <li>▪ OSHA 300A Summary or equivalent</li> </ul> <p><b>Legal Citations:</b> 29 CFR Part 1904.33 and 29 CFR Part 1960.69</p>	<p><b>Temporary.</b> Destroy when 6 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0002, item 020</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
3015.3	<p><b>Occupational Health and Safety Training Records.</b></p> <p>Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p><b>EXCLUSION 1:</b> Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p><b>EXCLUSION 2:</b> Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p><b>Legal Citation:</b> 29 CFR Part 1910.120 App E (9)</p>		<p><b>Temporary.</b> Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0010-0003, item 030</p>
3015.4	<p><b>Workplace Environmental Monitoring and Exposure Records.</b></p> <p>Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p><b>NOTE 1:</b> Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p><b>NOTE 2:</b> These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	<p>a. <u>OSHA-regulated substance monitoring and exposure records.</u> Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p><b>EXCLUSION:</b> Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p><b>Legal Citations:</b> 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)</p>	<p><b>Temporary.</b> Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0004, item 040</p>
		<p>b. <u>Occupational noise monitoring and exposure records.</u></p> <p><b>EXCLUSION:</b> Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p><b>Legal Citation:</b> 29 CFR Part 1910.95(m)(3)(i)</p>	<p><b>Temporary.</b> Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0005, item 041</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>c. <u>Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.</u></p> <p><b>EXCLUSION:</b> <i>Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</i></p> <p><b>Legal Citation:</b> 29 CFR Part 1910.1045 App A(vi)(C)</p> <p>d. <u>Background data.</u> Records such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p> <p><b>NOTE:</b> Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p> <p><b>Legal Citation:</b> 29 CFR Part 1910.1020(d)(1)(ii)(A)</p>	<p><b>Temporary.</b> Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0006, item 042</p>
		<p><b>Temporary.</b> Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0007, item 043</p>
<p><b><u>3015.5</u></b></p>	<p><b><u>Safety Data Sheets (SDS).</u></b></p> <p><u>Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</u></p> <p><b>NOTE 1:</b> <u>Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained.</u></p> <p><b>NOTE 2:</b> <u>Note VHA uses the SDS to document employee exposure to substance and or agents. This why it is important to maintain these records for 30 years.</u></p>	<p><b>Temporary.</b> <u>Cutoff once use of substance of agent ceases. Destroy 30 years after cutoff.</u></p>	<p><b><u>DAA-GRS-2017-0010-0008, item 050</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>3015.6</b></p>	<p><b>Occupational Individual Medical Case Files.</b>            These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> <li>▪ personal and occupational health histories</li> <li>▪ opinions and written evaluations generated in the course of diagnosis and employment-related treatment/examination by medical health care professionals and technicians</li> <li>▪ employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise)</li> <li>▪ employee audiometric testing records</li> </ul> <p><b>NOTE:</b> For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p> <p><b>EXCLUSION:</b> Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>	<p>a. <u>Long-term records.</u></p> <p><b>EXCLUSION:</b> Individual non-occupational medical records are covered by item 070.</p> <p><b>NOTE 1:</b> While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504)</p> <p><b>NOTE 2:</b> For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p><b>NOTE 3:</b> For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p><b>Legal Citations:</b> 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii)</p>	<p><b>Temporary.</b> Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.</p>	<p>DAA-GRS-2017-0010-0009, item 060</p>
	<p>b. <u>Short-term records.</u></p>	<p><b>Temporary.</b> Destroy 1 year after employee separation or transfer.</p>	<p>DAA-GRS-2017-0010-0010, item 061</p>	
	<p>c. <u>Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</u></p>	<p><b>Temporary.</b> Destroy 60 years after retirement to the NARA records storage facility.</p>	<p>DAA-GRS-2017-0010-0011, item 062</p>	



Item Number	Records Description	Disposition Instructions	Disposition Authority
3015.7	<p><b>Non-Occupational Individual Medical Case Files.</b></p> <p>Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual’s medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as “patient records” in Title 5 Part 293 Subpart E.</p> <p><b>Legal Citations:</b> American Health Information Management Association (AHIMA) Recommended Retention Standards (Appendix D from the 2011 update) and 31 U.S.C. 3731(b), False Claims Act</p>	<p><b>Temporary.</b> Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0012, Item 070</p>
3015.8	<p><b>Non-occupational Health and Wellness Program Records.</b></p> <p>Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> <li>▪ health risk appraisals</li> <li>▪ biometric testing</li> <li>▪ health coaching</li> <li>▪ disease management</li> <li>▪ behavioral management</li> <li>▪ preventive services</li> <li>▪ fitness programs</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0013, item 080</p>
3015.9	<p><b>Employee Assistance Program (EAP) Counseling Records.</b></p> <p>Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p> <p>a. <u>Records related to employee performance or conduct.</u> Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> <li>▪ leave and attendance</li> <li>▪ performance</li> <li>▪ alleged inappropriate behavior or workplace violence</li> <li>▪ reason for referral</li> <li>▪ management interventions</li> <li>▪ illegal drug or alcohol use</li> <li>▪ test results for use of illegal drugs</li> <li>▪ test results for alcohol consumption on the job</li> <li>▪ substance abuse assessment, treatment, aftercare and monitoring records</li> </ul> <p><b>NOTE:</b> GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>	<p><b>Temporary.</b> Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.</p>	<p>DAA-GRS-2017-0010-0014, item 090</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>Records not related to performance or conduct.</u> Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> <li>▪ Privacy Act and signed written consent forms</li> <li>▪ psychosocial history and assessments</li> <li>▪ medical records</li> <li>▪ correspondence with the client</li> <li>▪ clinical and education interventions</li> <li>▪ records of attendance at treatment, kinds of treatment, and counseling programs</li> <li>▪ identity and contact information of treatment providers</li> <li>▪ name, address, and phone number of treatment facilities</li> <li>▪ notes and documentation of internal EAP counselors</li> <li>▪ insurance data</li> <li>▪ intervention outcomes</li> </ul>	<p><b>Temporary.</b> Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0015, item 091</p>
<p>3015.10</p>	<p><b>Employee Drug Test Plans, Procedures, and Scheduling Records.</b></p> <p>Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:</p> <ul style="list-style-type: none"> <li>▪ agency copies of plans and procedures, with related drafts, correspondence, and memoranda</li> <li>▪ lists of selectees</li> <li>▪ notification letters</li> <li>▪ testing schedules</li> </ul> <p><b>EXCLUSION 1:</b> Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p><b>EXCLUSION 2:</b> Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records.</p> <p><b>EXCLUSION 3:</b> Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.</p>	<p><b>Temporary.</b> Destroy when 3 years old or when superseded or obsolete.</p>	<p>DAA-GRS-2017-0010-0016, item 100</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
3015.11	<b>Employee Drug Test Acknowledgment of Notice Forms.</b> Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.		<b>Temporary.</b> Destroy when employee separates from testing-designated position.	DAA-GRS-2017-0010-0017, item 110
3015.12	<b>Employee Drug Testing Specimen Records.</b> Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.		<b>Temporary.</b> Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0018, item 120
3015.13	<b>Employee Drug Test Results.</b> Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.	a. <u>Positive results.</u>	<b>Temporary.</b> Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019, item 130
		b. <u>Negative results.</u>	<b>Temporary.</b> Destroy when 3 years old.	DAA-GRS-2017-0010-0020, item 131

### 3020- Employee Management Records

This schedule covers records Federal agencies create while carrying out the work of employee management; supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

Item Number	Records Description	Disposition Instructions	Disposition Authority
3020.1	<p><b>Employee Management Administrative Records.</b></p> <p>Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> <li>▪ reports, including annual reports to the Department of State concerning the number of official passports issued and related matters</li> <li>▪ reports from subordinate units regarding statistics and other reporting measures</li> <li>▪ general correspondence with internal agency offices and with OPM</li> <li>▪ general correspondence with travelers regarding official passport application procedures and documentation requirements</li> <li>▪ statistics, including lists of official passport holders</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 010</p> <p>DAA-GRS-2017-0007-0001</p>
3020.2	<p><b>Workforce and Succession Planning Records.</b></p> <p>Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> <li>▪ planning and analysis models</li> <li>▪ planning data</li> <li>▪ briefing materials</li> <li>▪ studies and surveys</li> <li>▪ lists of functions and staff at key locations</li> </ul> <p><b>EXCLUSION:</b> Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>	<p><b>Temporary.</b> Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 020</p> <p>DAA-GRS-2017-0007-0002</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
3020.3	<p><b>Employee Incentive Award Records.</b></p> <p>Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.</p>		<p><b>Temporary.</b> Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 030</p> <p>DAA-GRS-2017-0007-0003</p>
3020.4	<p><b>Official Personnel Folder (OPF)/electronic OPF (eOPF).</b></p> <p>The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history.</p>	<p>a. <u>Long-term records.</u> Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF.</p> <p><b>EXCLUSION:</b> <i>OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.</i></p>	<p><b>Temporary.</b> Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 040</p> <p>DAA-GRS--2017-0007-0004</p>
		<p>b. <u>Short-term records.</u> Records of separated employees saved to the “temporary” folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p><b>EXCLUSION 1:</b> <i>USCIS Form 1-9 and performance-related records. See item 60 of this schedule for 1-9 Forms and items 070, 071, 072 and 073 for disposition of temporary performance-related records.</i></p> <p><b>EXCLUSION 2:</b> <i>Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</i></p> <p><b>NOTE 1:</b> For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.</p> <p><b>NOTE 2:</b> Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.</p>	<p><b>Temporary.</b> Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.</p>	<p>GRS 2.2, item 041</p> <p>DAA-GRS-2017-0007-0005</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
	<i>Hold for Title 38 OPF's</i>			
3020.5	<p><b>Notifications of Personnel Actions.</b> Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.</p> <p><b>EXCLUSION:</b> SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.</p>		<b>Temporary.</b> Destroy when business use ceases.	GRS 2.2, item 050  DAA-GRS-2017-0007-0006
3020.6	<p><b>Employment Eligibility Verification Records.</b> Employment Eligibility Verification form I-9 and any supporting documentation.</p>		<b>Temporary.</b> Destroy 3 years after employee separates from service or transfers to another agency.	GRS 2.2, item 060  DAA-GRS-2017-0007-0006
3020.7	<p><b>Employee Performance File System Records.</b> Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.</p> <p>a. <u>Acceptable performance appraisals of non-senior executive service employees.</u> Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p><b>EXCLUSION:</b> Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p><b>Legal Citation:</b> 5 CFR Part 293.404</p>		<b>Temporary.</b> Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.	GRS 2.2, item 70  DAA-GRS-2017-0007-0008
	<p>b. <u>Unacceptable performance appraisals of non-senior executive service employees.</u> Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p> <p><b>Legal Citation:</b> 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p>		<b>Temporary.</b> Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.	GRS 2.2, item 071  DAA-GRS-2017-0007-0009

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>c. <u>Records of senior executive service employees.</u> Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p><b>EXCLUSION:</b> Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p><b>Legal Citation:</b> 5 CFR Part 293.404</p>	<p><b>Temporary.</b> Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 072</p> <p>DAA-GRS-2017-0007-0010</p>
	<p>d. <u>Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</u> Superseded performance records of both non-senior executive service employees and senior executive service employees.</p> <p><b>Legal Citation:</b> 5 CFR Part 293.404</p>	<p><b>Temporary.</b> Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>GRS 2.2, item 73</p> <p>DAA-GRS-2017-0007-0011</p>
3020.8	<p><b>Supervisors' Personnel Files.</b></p> <p>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 are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p><b>EXCLUSION 1:</b> 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><b>EXCLUSION 2:</b> 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><b>Temporary.</b> Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p>	<p>GRS 2.2, item 080</p> <p>DAA-GRS-2017-0007-0012</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>3020.9</b></p>	<p><b>Records Related to Official Passports.</b> The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p>	<p><b>Temporary.</b> Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 90  DAA-GRS-2017-0007-0013</p>
	<p>a. <u>Application records.</u> Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> <li>▪ copies of passport and visa applications</li> <li>▪ passport and visa requests</li> <li>▪ special invitation letters</li> <li>▪ visa authorization numbers</li> <li>▪ courier receipts</li> <li>▪ copies of travel authorizations</li> </ul>	<p><b>Temporary.</b> Destroy when superseded or obsolete.</p>	<p>GRS 2.2, item 91  DAA-GRS-2017-0007-0014</p>
	<p>c. <u>Official passports of transferred or separated agency personnel.</u></p> <p><b>EXCLUSION:</b> Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>	<p>Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.</p>	<p>GRS 2.2, item 92  Filing instructions only</p>
<p><b>3020.10</b></p>	<p><b>Volunteer Service Case Files.</b> Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students.</p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 100  DAA-GRS-2017-0007-0015</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
3020.11	<p><b>Volunteer Service Case Files.</b></p> <p>Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include:</p> <ul style="list-style-type: none"> <li>▪ Volunteer agreements documenting position title, office title, duty location, days/hours on duty.</li> <li>▪ Parental approval forms</li> <li>▪ Performance evaluation</li> <li>▪ Training information</li> <li>▪ Certificate of appreciation</li> <li>▪ Correspondence documenting inclusive dates of service and total hours or days worked.</li> </ul>	<p>a. <u>Case files on volunteers.</u></p>	<p><b>Temporary.</b> Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.</p>	<p>GRS 2.2, item 110</p> <p>DAA-GRS-2017-0007-0016</p>
		<p>b. <u>Case files on individuals whose applications were rejected or withdrawn.</u></p> <p><b>EXCLUSION:</b> <i>Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.</i></p>	<p><b>Temporary.</b> Destroy when 1 year old.</p>	<p>GRS 2.2, item 111</p> <p>DAA-GRS-2017-0007-0017</p>
3020.12	<p><b>Skill Set Records.</b></p> <p>Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>GRS 2.2, item 120</p> <p>DAA-GRS-2017-0007-0018</p>	



### 3050- Employee Relations Records

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>3050.1</u></b></p>	<p><b><u>Employee Relations Programs' Administrative Records.</u></b></p> <p><u>Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:</u></p> <ul style="list-style-type: none"> <li>▪ <u>program-related correspondence</u></li> <li>▪ <u>copies of statutes, regulations, directives, and instructions</u></li> <li>▪ <u>timetables and guidelines for processing case files and appealing decisions</u></li> <li>▪ <u>planning records</u></li> <li>▪ <u>meeting minutes</u></li> <li>▪ <u>program evaluations and reports to senior management</u></li> <li>▪ <u>Statistical records tracking program participation and participants</u></li> <li>▪ <u>records tracking programs' compliance with relevant Executive Orders and other requirements</u></li> <li>▪ <u>records arranging for outside mediator and facilitator involvement in case settlements</u></li> </ul> <p><b><u>EXCLUSION 1: Records specific to individual cases (covered by GRS 2.3, items 020 to 111).</u></b></p> <p><b><u>EXCLUSION 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).</u></b></p> <p><b><u>EXCLUSION 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).</u></b></p>	<p><b><u>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</u></b></p>	<p><u>GRS 2.3, item 010</u></p> <p><u>DAA-GRS-2018-0002-0001</u></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
3050.2	<p><b>Reasonable Accommodation Case Files.</b></p> <p>Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:</p> <ul style="list-style-type: none"> <li>▪ request approvals and denials</li> <li>▪ notice of procedures for informal dispute resolution or appeal processes, including ADR processes</li> <li>▪ forms</li> <li>▪ correspondence</li> <li>▪ emails</li> <li>▪ policy guidance documents</li> <li>▪ records of oral conversations</li> <li>▪ medical records</li> <li>▪ supporting notes and documentation</li> </ul>	<p><b>Temporary.</b> Destroy 3 years after employee separation from the agency or all appeals are concluded, whichever is later, but longer retention is authorized if required for business use.</p>	<p>GRS 2.3, item 020</p> <p>DAA-GRS-2018-0002-0002</p>
3050.3	<p><b>Equal Employment Opportunity (EEO) Discrimination Complaint Case Files.</b></p> <p>Includes:</p> <ul style="list-style-type: none"> <li>▪ intake sheet</li> <li>▪ summary report</li> <li>▪ notes</li> <li>▪ supporting documentation</li> <li>▪ correspondence</li> </ul>	<p>a. <u>Informal Process.</u> Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.</p> <p>b. <u>Formal Process.</u> Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.</p> <p><i><u>EXCLUSION: Corresponding case files at EEOC (must be scheduled by EEOC).</u></i></p> <p>c. <u>Records Documenting Contractor Compliance with EEO Regulations. Reviews, background documents, and correspondence relating to contractor employment practices.</u></p>	<p>Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.</p> <p>GRS 2.3, item 110</p> <p>DAA-GRS-2018-0002-0012</p> <p><b>GRS 2.3, item 111</b></p> <p><b>DAA-GRS-2018-0002-0013</b></p> <p><b>GRS 2.3, item 120</b></p> <p><b>DAA-GRS-2018-0002-0014</b></p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
3050.4	<p><b>Harassment Complaint Case Files.</b></p> <p>Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes:</p> <ul style="list-style-type: none"> <li>▪ Complaint, correspondence, notes, forms, and supporting material</li> <li>▪ Records of investigation, statements of witnesses</li> <li>▪ Determination as to whether harassment occurred</li> <li>▪ Documentation of preventive or corrective measures</li> </ul> <p><b>NOTE:</b> If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.</p>	<p><b>Temporary.</b> Destroy 7 years after close of case, but longer retention is authorized if required for business use.</p>	<p>GRS 2.3, item 050</p> <p>DAA-GRS-2018-0002-0005</p>
3050.5	<p><b><u>Labor Management Relations Agreement Negotiation Records.</u></b></p> <p>Records relating to negotiations with labor unions. Includes:</p> <ul style="list-style-type: none"> <li>▪ <u>negotiation agreements</u></li> <li>▪ <u>requests to bargain</u></li> <li>▪ <u>bargaining session records/notes</u></li> <li>▪ <u>correspondence</u></li> <li>▪ <u>memoranda</u></li> <li>▪ <u>reports</u></li> <li>▪ <u>forms</u></li> <li>▪ <u>other records relating to the negotiated agreements and general relationship between management, employee, unions and other groups</u></li> </ul>	<p><b>Temporary.</b> Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use.</p>	<p><b><u>GRS 2.3, item 130</u></b></p> <p><b><u>DAA-GRS-2018-0002-0015</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>3050.6</u></b></p>	<p><b><u>Administrative Grievance, Disciplinary, Performance-Based, and Adverse Action Case Files.</u></b></p> <p>Includes:</p> <ul style="list-style-type: none"> <li>▪ <u>Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit).</u> <ul style="list-style-type: none"> <li>○ <u>statement of grievance, supporting documentation, and evidence</u></li> <li>○ <u>statements of witnesses, records of interviews and hearings</u></li> <li>○ <u>examiner’s findings, recommendations, decisions</u></li> </ul> </li> <li>▪ <u>Records of disciplinary and performance-based actions against employees.</u> <ul style="list-style-type: none"> <li>○ <u>performance appraisal, performance improvement plans, and supporting documents</u></li> <li>○ <u>recommended action, employee’s reply</u></li> <li>○ <u>records of hearings and decisions</u></li> <li>○ <u>records of appeals</u></li> </ul> </li> <li>▪ <u>Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees.</u> <ul style="list-style-type: none"> <li>○ <u>proposed adverse action, employee’s reply</u></li> <li>○ <u>statements of witnesses</u></li> <li>○ <u>records of hearings and decisions</u></li> <li>○ <u>letters of reprimand</u></li> <li>○ <u>records of appeals</u></li> </ul> </li> </ul> <p><b><u>NOTE:</u></b> Letter of reprimand filed in an employee’s Official Personnel File is scheduled by GRS 2.2, item 041.</p>	<p><b><u>Temporary.</u></b> <u>Destroy no sooner than 7 years after case is closed or final settlement on appeal, as appropriate.</u></p>	<p><b><u>GRS 2.3, item 060</u></b></p> <p><b><u>DAA-GRS-2018-0002-0006</u></b></p>
<p><b><u>3050.7</u></b></p>	<p><b><u>Dislocated Worker Program Case Files.</u></b></p> <p>Includes applications, registrations, and supporting documentation.</p>	<p><b><u>Temporary.</u></b> <u>Destroy 1 year after employee eligibility for program expires, but longer disposition is authorized if required for business use.</u></p>	<p><b><u>GRS 2.3, item 030</u></b></p> <p><b><u>DAA-GRS-2018-0002-0003</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><u>3050.8</u></p>	<p><b><u>Telework/Alternate Worksite Program Case Files.</u></b>  <u>Includes:</u></p> <ul style="list-style-type: none"> <li>▪ <u>agency/employee agreements</u></li> <li>▪ <u>records such as questionnaires relating to the safety of the worksite</u></li> <li>▪ <u>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</u></li> </ul>	<p><b><u>Temporary.</u></b> <u>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.</u></p>	<p><b><u>GRS 2.3, item 040</u></b>   <b><u>DAA-GRS-2018-0002-0004</u></b></p>
<p><u>3050.9</u></p>	<p><b><u>Labor Arbitration (negotiated grievance procedure) Case Records.</u></b>  <u>Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.</u></p>	<p><b><u>Temporary.</u></b> <u>Destroy 3 years after close of case, but longer retention is authorized if required for business use.</u></p>	<p><b><u>GRS 2.3, item 090</u></b>   <b><u>DAA-GRS-2018-0002-0010</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>3050.10</u></b></p>	<p><b><u>Federal Labor Relations Authority (FLRA) Case Files.</u></b>  <u>Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:</u></p> <ul style="list-style-type: none"> <li>▪ <u>Records of representation proceedings</u> <ul style="list-style-type: none"> <li>○ <u>petitions, notice of petitions, cross-petitions, motions</u></li> <li>○ <u>records documenting adequate showing of interest</u></li> <li>○ <u>challenges to the status of a labor organization</u></li> <li>○ <u>records of meetings, hearings, and prehearing conferences</u></li> <li>○ <u>statements of witnesses</u></li> <li>○ <u>dismissals of petitions</u></li> <li>○ <u>decisions, orders</u></li> </ul> </li> <li>▪ <u>Records of unfair labor practices proceedings</u> <ul style="list-style-type: none"> <li>○ <u>charges/allegations of unfair labor practices, amendments, and supporting evidence</u></li> <li>○ <u>records of charges/allegations investigation, including subpoenas</u></li> <li>○ <u>complaints by FLRA Regional Director</u></li> <li>○ <u>motions, responses, stipulations</u></li> <li>○ <u>records of hearings, decisions, and settlements</u></li> </ul> </li> <li>▪ <u>Records of negotiability proceedings.</u> <ul style="list-style-type: none"> <li>○ <u>petitions for review</u></li> <li>○ <u>records of post-petition conferences</u></li> <li>○ <u>agencies' statements of position, unions' responses and agencies' counter-responses</u></li> <li>○ <u>decisions, orders</u></li> </ul> </li> <li>▪ <u>Records of review of arbitration awards</u> <ul style="list-style-type: none"> <li>○ <u>exceptions to arbitrators' award rendered pursuant to arbitrations</u></li> <li>○ <u>oppositions to exceptions</u></li> <li>○ <u>determination of grounds for review</u></li> <li>○ <u>decisions, orders</u></li> </ul> </li> </ul> <p><b><u>EXCLUSION: Corresponding case files at FLRA (must be scheduled by FLRA).</u></b></p>	<p><b><u>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</u></b></p>	<p><b><u>GRS 2.3, item 100</u></b>  <b><u>DAA-GRS-2018-0002-0011</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>3050.11</u></b></p>	<p><b><u>Merit Systems Protection Board (MSPB) Case Files.</u></b>  <u>Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:</u></p> <ul style="list-style-type: none"> <li>▪ <u>petitions for appeal, agencies' responses to petitions</u></li> <li>▪ <u>hearing notices, transcripts, testimony, briefs, and exhibits</u></li> <li>▪ <u>MSPB initial decisions</u></li> <li>▪ <u>petitions for review, responses of opposing party to petition</u></li> <li>▪ <u>orders granting or denying intervention</u></li> <li>▪ <u>MSPB final opinions, orders, and decisions</u></li> </ul> <p><b><i><u>EXCLUSION: Corresponding case files at MSPB (must be scheduled by MSPB).</u></i></b></p>	<p><b><u>Temporary.</u></b> <u>Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</u></p>	<p><b><u>GRS 2.3, item 080</u></b>  <b><u>DAA-GRS-2018-0002-0009</u></b></p>
<p><b><u>3050.12</u></b></p>	<p><b><u>Adverse Impact Files.</u></b>  <u>Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures. Includes records documenting:</u></p> <ul style="list-style-type: none"> <li>▪ <u>number of applicants by sex, race, and national origin</u></li> <li>▪ <u>number of people hired, promoted, and terminated by sex, race, and national origin</u></li> <li>▪ <u>selection procedures and their validity</u></li> </ul>	<p><b><u>a. Records revealing no adverse impact.</u></b></p> <p><b><u>Temporary.</u></b> <u>Destroy when 3 years old, but longer retention is authorized if required for business use.</u></p>	<p><b><u>GRS 2.1, item 080</u></b>  <b><u>DAA-GRS-2018-0002-0009</u></b></p>
	<p><b><u>b. Records revealing an adverse impact.</u></b></p> <p><b><u>Legal Citation: 29 CFR 1607.15A(2)(b)</u></b></p>	<p><b><u>Temporary.</u></b> <u>Destroy 2 years after eliminating the adverse impact, but longer retention is authorized if required for business use.</u></p>	<p><b><u>GRS 2.1, item 080</u></b>  <b><u>DAA-GRS-2018-0002-0009</u></b></p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>3050.13</u></b></p>	<p><b><u>Recruitment Records.</u></b>  <u>Records documenting agency in-person and online recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes:</u></p> <ul style="list-style-type: none"> <li>▪ <u>records documenting planning and logistics of individual recruitment events</u></li> <li>▪ <u>record copy of advertisement and materials for distribution (see Exclusion 2)</u></li> <li>▪ <u>contact information and interest areas collected from potential job candidates</u></li> <li>▪ <u>recruitment event reports</u></li> <li>▪ <u>correspondence with prospective candidates</u></li> </ul> <p><b><u>EXCLUSION 1: Military recruitment advertising records must be scheduled by military establishments.</u></b></p> <p><b><u>EXCLUSION 2: Recruitment porters must be scheduled by agencies.</u></b></p>	<p><b><u>Temporary.</u></b> Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	<p><b><u>GRS 2.1, item 180</u></b></p> <p><b><u>DAA-GRS-2018-0008-0003</u></b></p>



### 3075- Employee Compensation and Benefits Records

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b><u>3075.1</u></b></p>	<p><b><u>Records Used to Calculate Payroll, Arrange Paycheck Deposit, and Change Previously Issued Paychecks.</u></b></p> <p><u>Includes:</u></p> <ul style="list-style-type: none"> <li>▪ <u>additions to paychecks</u> <ul style="list-style-type: none"> <li>○ <u>child care subsidies</u></li> <li>○ <u>Internal Revenue Service Form W-9 (Request for Taxpayer Identification Number)</u></li> <li>○ <u>other additions</u></li> </ul> </li> <li>▪ <u>deductions from paychecks</u> <ul style="list-style-type: none"> <li>○ <u>insurance</u></li> <li>○ <u>retirement accounts (e.g. Thrift Savings Plan, my Retirement Account, etc.)</u></li> <li>○ <u>flexible spending accounts, such as medical savings and dependent care assistance</u></li> <li>○ <u>union dues</u></li> <li>○ <u>Combined Federal Campaign</u></li> <li>○ <u>garnishments (IRS form 668A—Notice of Levy—and similar records)</u></li> <li>○ <u>Treasury bond purchases of other deductions</u></li> <li>○ <u>authorizations for deposits into bank accounts</u></li> </ul> </li> <li>▪ <u>changes or corrections to previous transactions either at paying agency or payroll processor</u></li> <li>▪ <u>Fair Labor Standards Act exemption worksheets</u></li> </ul>	<p><b><u>Temporary. Destroy 3 years after paying agency or payroll processor validates data, but longer retention is authorized if required for business use.</u></b></p>	<p><b><u>GRS 2.4, item 010</u></b></p> <p><b><u>DAA-GRS-2019-0004-0001</u></b></p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
3075.2	<p><b>Tax Withholding and Adjustment Documents.</b> Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees.</p> <p><b>Legal Citation:</b> IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.</p>		<p><b>Temporary.</b> Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 020  DAA-GRS-2016-0015-0002</p>
3075.3	<p><b><u>Time and Attendance Records.</u></b> <u>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.</u></p> <p><b>Legal Citation:</b> 29 U.S.C. 516.5a</p>		<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p><b>GRS 2.4, item 030</b>  <b><u>DAA-GRS-2019-0004-0002</u></b></p>
3075.4	<p><b>Agency Payroll Record for Each Pay Period.</b> Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.</p> <p><b>Legal Citation:</b> 5 U.S.C. 8466</p>		<p><b>Temporary.</b> Destroy when 56 years old.</p>	<p>GRS 2.4, item 040  DAA-GRS-2016-0015-0004</p>
3075.5	<p><b>Wage and Tax Statements.</b> Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents</p> <p><b>Legal Citation:</b> Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).</p>		<p><b>Temporary.</b> Destroy when 4 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 050  DAA-GRS-2016-0015-0005</p>
3075.6	<p><b>Payroll Program Administrative Records.</b> Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.</p>	<p>a. <u>Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.</u></p>	<p><b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 060  DAA-GRS-2016-0015-0006</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
		<p>b. <u>Payroll system reports providing fiscal information on agency payroll.</u></p>	<p><b>Temporary.</b> Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 061  DAA-GRS-2016-0015-0007</p>
3075.7	<p><b>Compensation and Benefits Administrative Program Records.</b></p>	<p>a. <u>Donated leave program administrative records.</u> Records related to managing the program, including:</p> <ul style="list-style-type: none"> <li>▪ records of leave bank management</li> <li>▪ records of leave bank governing board award decisions</li> <li>▪ publicity and program announcements</li> <li>▪ statistical and narrative reports</li> <li>▪ similar records not linked to individual employee participation</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 070  DAA-GRS-2016-0015-0008</p>
		<p>b. <u>Donated Leave Program Individual Case Files.</u> Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.</p>	<p><b>Temporary.</b> Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 071  DAA-GRS-2016-0015-0010</p>
3075.8	<p><b>Wage Survey Files.</b> Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).</p>		<p><b>Temporary.</b> Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 080  DAA-GRS-2016-0015-0010</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
3075.9	<p><b>Incentive Package Records.</b></p> <p>Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.</p>	<p><b>Temporary.</b> Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 090</p> <p>DAA-GRS-2016-0015-0011</p>	
3075.10	<p><b>Workers' Compensation (personnel injury compensation) Records.</b></p> <p>Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:</p> <ul style="list-style-type: none"> <li>▪ forms, reports, correspondence, claims</li> <li>▪ medical and investigatory records</li> <li>▪ administrative determinations or court rulings</li> <li>▪ payment records</li> </ul>	<p>a. <u>Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.</u></p> <p>b. <u>Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.</u></p> <p><b>EXCLUSION 1:</b> <i>Copies filed in the Employee Medical Folder.</i></p> <p><b>EXCLUSION 2:</b> <i>Records created and maintained by the Department of Labor's Office of Workers' Compensation.</i></p>	<p><b>Temporary.</b> Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.</p> <p><b>Temporary.</b> Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.</p>	<p>GRS 2.4, item 100</p> <p>DAA-GRS-2016-0015-0012</p> <p>GRS 2.4, item 101</p> <p>DAA-GRS-2016-0015-0013</p>
3075.11	<p><b>Requests for Health Benefits Under Spouse Equity.</b></p> <p>Applications and related papers. If applications are denied, may include denial.</p>	<p>a. <u>Successful applications, including those denied and successfully appealed.</u></p>	<p>Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.</p> <p>GRS 2.4, 110</p>	

Item Number	Records Description		Disposition Instructions	Disposition Authority
		<p>b. <u>Denied applications.</u></p>	<p><b>Temporary.</b> Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.</p>	<p>GRS 2.4, item 111 DAA-GRS-2016-0015-0014</p>
3075.12	<p><b>Child Care Subsidy Program Administrative Records.</b></p>	<p>a. <u>Records related to managing the program</u>, including:</p> <ul style="list-style-type: none"> <li>▪ determining amount of subsidy available to employees</li> <li>▪ verifying child care centers' accreditation</li> <li>▪ tracking funds disbursed to individual child care centers</li> <li>▪ publicity and program announcements</li> <li>▪ statistical and narrative reports</li> <li>▪ similar records not linked to individual employee participation</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 120 DAA-GRS-2016-0015-0015</p>
		<p>b. <u>Child care subsidy program individual case files.</u> Case files of individual employee participation in child care subsidy programs, such as:</p> <ul style="list-style-type: none"> <li>▪ enrollment documentation</li> <li>▪ applications and supporting documents</li> <li>▪ eligibility verification (employment, proof of income)</li> <li>▪ records of other subsidies the employee received</li> <li>▪ agreements between agencies and employees</li> <li>▪ notice of approval or denial of participation in program</li> <li>▪ child care provider information</li> </ul>	<p><b>Temporary.</b> Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 121 DAA-GRS-2016-0015-0016</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
3075.13	<b>Transportation Subsidy Program Administrative Records.</b>	a. <u>Records related to managing the program</u> , including: <ul style="list-style-type: none"> <li>▪ determining subsidy amount available to employees</li> <li>▪ publicity and program announcements</li> <li>▪ records of program-wide benefit delivery and receipt</li> <li>▪ statistical and narrative reports</li> <li>▪ similar records not linked to individual employee participation</li> </ul>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	GRS 2.4, item 130  DAA-GRS-2016-0015-0017
		b. <u>Transportation subsidy program individual case files.</u> Case files of individual employee participation in transportation subsidy programs, such as: <ul style="list-style-type: none"> <li>▪ applications and supporting documents</li> <li>▪ eligibility verification               <ul style="list-style-type: none"> <li>○ notice of approval or denial of participation in program</li> <li>○ participant training documentation</li> <li>○ periodic estimates of transit expenses</li> <li>○ record of individual benefit delivery and receipt</li> <li>○ de-enrollment documents</li> </ul> </li> <li>▪ settlement of outstanding debts by employee or Government when employee leaves program</li> </ul>	<b>Temporary.</b> Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.	GRS 2.4, item 131  DAA-GRS-2016-0015-0018
3075.14	<b>Family Medical Leave Act Program.</b>	a. <u>Administrative records.</u> Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.  <b>Legal Citation:</b> 29 CFR 825.500	<b>Temporary.</b> Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.	GRS 2.4, item 140  DAA-GRS-2016-0015-0019

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>Family Medical Leave Act program individual case files.</u> Includes:</p> <ul style="list-style-type: none"> <li>▪ employee eligibility to participate in program</li> <li>▪ eligibility notice given to employee</li> <li>▪ notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them</li> <li>▪ medical certifications</li> <li>▪ employee identification data</li> <li>▪ records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid</li> <li>▪ leave request, approval/non-approval</li> <li>▪ leave records</li> <li>▪ records of premium payments of employee benefits</li> <li>▪ records of disputes between employers and eligible employees regarding designation of leave as FMLA leave</li> <li>▪ periodic reports of employee status and intent to return to work</li> </ul> <p><b>Legal Citation:</b> 29 CFR 825.500</p>	<p><b>Temporary.</b> Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.</p>	<p>GRS 2.4, item 141</p> <p>DAA-GRS-2016-0015-0020</p>
<p><b><u>3075.15</u></b></p>	<p><b><u>Phased-Retirement Employees' Overtime Documentation.</u></b></p> <p><u>Records documenting, ordering, or permitting phased-retirement employees to work overtime.</u></p> <p><b><u>Legal Citation:</u></b> 5 CFR 831.1715, section 4</p>	<p><b><u>Temporary.</u></b> Destroy when 6 years old.</p>	<p><b><u>GRS 2.4, item 035</u></b></p> <p><b><u>DAA-GRS-2018-0001-0001</u></b></p>

3200- Scholarships & Clinical Education and Education Loan Repayment Service

Item Number	Records Description		Disposition Instructions	Disposition Authority	
3200.1	<p><b>Scholarships &amp; Clinical Education (SCE) and Education Loan Repayment Service (ELRS) Records within Workforce Management and Consulting.</b></p> <p>SCE records consist of the Employment Incentive Scholarship Program (EISP) records, Health Professionals Scholarship Program (HPSP) records, Visual Impairment and Orientation and Mobility Professionals Scholarship Program (VIOMPSP) records.</p> <p>ELRS records consist of Education Debt Reduction Program (EDRP) records and Student Loan Repayment Program (SLRP) records.</p>	a. <u>EISP, HPSP, and VIOMPSP Records.</u>	(1) Records of applicants who were not selected to receive scholarship awards.	<b>Temporary.</b> Destroy/delete 2 years after applicant was not selected to receive an award.	N1-015-02-006, item 1a
			(2) Participant records.	<b>Temporary.</b> Destroy/delete 6 years and 3 months after participant's premature termination from the Program or participant's completion of service obligation, whichever is applicable.	N1-015-02-006, item 1b
		b. <u>EDRP Records.</u>	(1) Records of applicants who were not selected to receive scholarship awards.	<b>Temporary.</b> Destroy/delete 2 years after applicant was not selected to receive an award.	N1-015-02-006, item 2a
			(2) Participant records.	<b>Temporary.</b> Destroy/delete 6 years and 3 months after participant's premature termination from the Program or participant's completion of service obligation, whichever is applicable.	N1-015-02-006, item 2b



### 3300- Employee Separation Records

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

Item Number	Records Description		Disposition Instructions	Disposition Authority
3300.1	<p><b>Separation Program Management Records.</b> Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:</p> <ul style="list-style-type: none"> <li>▪ registers of separation or transfers such as SF-2807, SF-3103, or similar records</li> <li>▪ retention registers and related records</li> <li>▪ reports, correspondence, and control documents</li> <li>▪ exit interview compilations identifying and tracking trends</li> </ul>	a. <u>Records not specific to an agency separation initiative.</u>	<b>Temporary.</b> Destroy when no longer required for business use.	GRS 2.5, item 010  DAA-GRS-2014-0004-0001
		b. <u>Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.</u>	<b>Temporary.</b> Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.	GRS 2.5, item 011  DAA-GRS-2014-0004-0002

Item Number	Records Description	Disposition Instructions	Disposition Authority
3300.2	<p><b>Individual Employee Separation Case Files.</b></p> <p>Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> <li>▪ records of counseling activities and outplacement services</li> <li>▪ exit interview records</li> <li>▪ exit clearances</li> <li>▪ checklists of returned property</li> <li>▪ certifications of removal/non-removal of government records</li> <li>▪ records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation</li> <li>▪ records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance)</li> <li>▪ records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement)</li> <li>▪ copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use.</li> </ul> <p><b>EXCLUSION:</b> Records required to be filed in employee's OPF are excluded from this item.</p>	<p><b>Temporary.</b> Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.</p>	<p>GRS 2.5, item 020</p> <p>DAA-GRS-2014-0004-0003</p>
3300.3	<p><b>Records Documenting Capture of Institutional and Specialized Knowledge.</b></p> <p>Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p><b>EXCLUSION:</b> Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p>	<p><b>Temporary.</b> Destroy when no longer required for business use</p>	<p>GRS 2.5, item 030</p> <p>DAA-GRS-2014-0004-0004</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
3300.4	<p><b>Individual Employee Separation Records Required to Be Placed in Separating Employee’s OPF.</b></p> <p>As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:</p> <ul style="list-style-type: none"> <li>▪ resignation letter</li> <li>▪ reason for separation (such as reduction in force)</li> <li>▪ documentation of retirement-option elections and coverage</li> <li>▪ documentation of indebtedness</li> <li>▪ documentation of payment or repayment to, or refund from FERS or CSRS</li> <li>▪ record of employee leave prepared upon transfer or separation</li> <li>▪ records of most recent performance ratings</li> <li>▪ designation of beneficiary</li> </ul>	<p>File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.</p> <p>See item 3020.4.</p>	<p>GRS 2.5, item 040</p>
3300.5	<p><b>Phased Retirement Administrative Records.</b></p> <p>Records related to managing the program including:</p> <ul style="list-style-type: none"> <li>▪ procedural guidance on program administration</li> <li>▪ information/marketing/publicizing materials</li> <li>▪ general correspondence</li> <li>▪ reports to OPM</li> <li>▪ memoranda of understanding (MOU) and significant documentation of bargaining unit negotiation</li> <li>▪ documentation of program structure and details as uniquely instituted by agency</li> </ul> <p><b>EXCLUSION:</b> <i>This item does not cover records held at the OPM office overseeing the phased retirement program for the entire government.</i></p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer retention is authorized if required for business use.</p>	<p>GRS 2.5, Item 50</p> <p>DAA-GRS-2016-0007-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
3300.6	<p><b>Phased Retirement Individual Case File.</b></p> <p>Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none"> <li>▪ application for immediate retirement</li> <li>▪ evidence of eligibility</li> <li>▪ review/recommendations by supervisor and others</li> <li>▪ notice of approval or disapproval</li> <li>▪ retirement benefits estimates</li> <li>▪ annuity calculations</li> <li>▪ phased retirement agreement</li> <li>▪ records documentation knowledge transfer actives</li> <li>▪ action/project plan and logs</li> <li>▪ correspondence</li> </ul> <p><b>NOTE:</b> Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to retention period file per GRS 2.5, item 020. See 3300.2, Individual employee separation case files.</p> <p><b>EXCLUSION:</b> <i>This item does not cover records held at OPM concerning staff at other agencies.</i></p>	<p><b>Temporary.</b> Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.</p>	<p>GRS 2.5, item 051</p> <p>DAA-GRS-2016-0007-0002</p>

### 3400- Employee Training Records

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency’s program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

Item Number	Records Description	Disposition Instructions	Disposition Authority
3400.1	<p><b>Non-Mission Employee Training Program Records.</b></p> <ul style="list-style-type: none"> <li>▪ plans, reports and program evaluations</li> <li>▪ organizational and occupational needs assessments</li> <li>▪ employee skills assessments</li> <li>▪ employee training statistics</li> <li>▪ notices about training opportunities, schedules, or courses</li> <li>▪ mandatory training tracking and reporting files</li> <li>▪ logistics and coordination documents</li> <li>▪ Authorization, Agreement and Certification of Training (SF-182) and similar records</li> <li>▪ registration forms, employee attendance records</li> <li>▪ syllabi, presentations, instructor guides, handbooks, and lesson plans</li> <li>▪ reference and working files on course content</li> <li>▪ other course materials, such as presentations and videos</li> <li>▪ student, class, or instructor evaluations</li> </ul>	<p><b>Temporary.</b> 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>	<p>GRS 2.6, item 010  DAA-GRS-2016-0014-0001</p>
3400.2	<p><b>Ethics Training Records.</b></p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>▪ administration of new employee ethics orientations. annual, and other types of ethics training</li> <li>▪ agency’s annual written plans</li> <li>▪ notices about training requirements and course offerings</li> <li>▪ rosters of employees required to attend and verification of training completed</li> <li>▪ instructor guides, handbooks, handouts and other materials</li> </ul>	<p><b>Temporary.</b> Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use.</p>	<p>GRS 2.6, Item 020  DAA-GRS-2016-0014-0002</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
3400.3	<p><b>Individual Employee Training Records.</b></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"> <li>▪ completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors)</li> <li>▪ Individual Development Plans (IDPs)</li> <li>▪ mentoring or coaching agreements</li> </ul>		<p><b>Temporary.</b> 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>	<p>GRS 2.6, item 030</p> <p>DAA-GRS-2016-0014-0003</p>
3400.4	<p><b>Senior Executive Service Candidate Development Program (SESCDP).</b></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>a. <u>Program records.</u> Records documenting program scope, policies, planning, budget, and curriculum planning.</p>	<p><b>Temporary.</b> Destroy when no longer needed for business use.</p>	<p>GRS 2.6, item 040</p> <p>DAA-GRS-2016-0014-0004</p>
		<p>b. <u>Case records on SESCDP participants.</u> Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p>	<p><b>Temporary.</b> 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>	<p>GRS 2.6, item 041</p> <p>DAA-GRS-2016-0014-0005</p>

## Chapter 4- Finance Management

### 4000- Financial Management and Reporting Records

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

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

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under current GRS 5, which will likely reappear as new GRS 10.3. This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

Item Number	Records Description	Disposition Instructions	Disposition Authority
4000.1.a	<p><b>Financial Management and Reporting Administrative Records.</b></p> <p>Records related to managing financial activities and reporting. Records include:</p> <ul style="list-style-type: none"> <li>▪ correspondence</li> <li>▪ subject files</li> <li>▪ feeder reports</li> <li>▪ workload management and assignment records</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>GRS 1.1, item 001</p> <p>DAA-GRS-2016-0013-0001</p>
4000.1.b (1-3)	<p><b>Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting.</b></p> <p>Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.</p> <p>Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.</p> <p><u>Procuring goods and services</u> is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. <u>Paying bills</u> means disbursements of federal funds for goods and services, and fulfilling financial</p>		

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



Item Number	Records Description	Disposition Instructions	Disposition Authority
	<ul style="list-style-type: none"> <li>○ revolving fund records</li> <li>▪ fee and fine collection records</li> <li>▪ garnishments</li> <li>▪ sale of excess and surplus personal property</li> <li>▪ fee or rate schedules and supporting documentation</li> <li>▪ out-leases of Federal property</li> <li>▪ debt collection files and cash receipts</li> <li>▪ write-offs</li> <li>▪ copies of checks</li> <li>▪ payment billing coupons</li> <li>▪ letters from lenders</li> <li>▪ payment records</li> <li>▪ money orders</li> <li>▪ journal vouchers</li> <li>▪ collection schedules</li> </ul> <p>Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:</p> <ul style="list-style-type: none"> <li>▪ Accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:               <ul style="list-style-type: none"> <li>○ statements of transactions</li> <li>○ statements of accountability</li> <li>○ collection schedules and vouchers</li> <li>○ disbursement schedules and vouchers</li> </ul> </li> <li>▪ vouchers</li> <li>▪ certificates of closed accounts</li> <li>▪ certificates of periodic settlements</li> <li>▪ general funds files</li> <li>▪ general accounting ledgers</li> <li>▪ appropriation, apportionment, and allotment files</li> <li>▪ posting and control files</li> <li>▪ Bills of lading</li> <li>▪ transportation and travel requests, authorizations, and vouchers</li> <li>▪ commercial freight vouchers</li> <li>▪ unused ticket redemption forms</li> </ul>		

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
	<p><b>NOTE 1:</b> Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p><b>NOTE 2:</b> Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.</p> <p><b>NOTE 3:</b> The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.</p> <p>Note 4: For Business Associate Agreements see 1006.20 for record disposition.</p>			
		<p>1. <u>Official record held in the office of record.</u></p>	<p><b>Temporary.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 010 DAA-GRS-2013-0003-0001</p>
		<p>2. <u>All Other copies.</u> Copies used for administrative or reference purposes.</p>	<p><b>Temporary.</b> Destroy when business use ceases.</p>	<p>GRS 1.1, item 011 DAA-GRS-2013-0003-0002</p>
		<p>3. <u>Bids and neither solicited nor accepted.</u> Bids and proposals that are both unsolicited and the subject of no further agency action.</p>	<p><b>Temporary.</b> Destroy when no longer required for business use.</p>	<p>GRS 1.1, item 012 DAA-GRS-2016-0001-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
4000.2	<p><b>Records Supporting Compilation of Agency Financial Statements and Related Audit, and All Records of All Other Reports.</b></p> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ Schedules and reconciliations prepared to support financial statements</li> <li>▪ Documentation of decisions re-accounting treatments and issue resolutions</li> <li>▪ Audit reports, management letters, notifications of findings, and recommendations</li> <li>▪ Documentation of legal and management representations and negotiations</li> <li>▪ Correspondence and work papers</li> <li>▪ Interim, quarterly and other reports</li> </ul>	<p><b>Temporary.</b> Destroy 2 years after completion of audit or closure of financial statement/accounting treatment /issue, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 020</p> <p>DAA-GRS-2013-0003-0011</p>
4000.3	<p><b>Property, Plant and Equipment (PP&amp;E) and Other Asset Accounting.</b></p> <p>Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&amp;E, such as:</p> <ul style="list-style-type: none"> <li>▪ Purchase orders and contracts</li> <li>▪ Invoices</li> <li>▪ Appraisals</li> <li>▪ Costing and pricing data</li> <li>▪ Transactional schedules</li> <li>▪ Titles</li> <li>▪ Transfer, acceptance and inspection records</li> <li>▪ Asset retirement, excess and disposal records</li> <li>▪ Plant account cards and ledgers pertaining to structures</li> <li>▪ Correspondence and work papers</li> </ul> <p><b>EXCLUSION:</b> Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.</p>	<p><b>Temporary.</b> Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 030</p> <p>DAA-GRS-2013-0003-0004</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
4000.4	<p><b>Cost Accounting for Stores, Inventory, and Materials.</b></p> <p>Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:</p> <ul style="list-style-type: none"> <li>▪ Invoices or equivalent papers used for inventory accounting purposes</li> <li>▪ Inventory accounting returns and reports</li> <li>▪ Working files used in accumulating inventory accounting data</li> <li>▪ Plant account cards and ledgers, other than those pertaining to structures</li> <li>▪ Cost accounting reports and data</li> <li>▪ Depreciation lists/costs</li> <li>▪ Contractor cost reports re contractor-held-government-owned materials and parts</li> <li>▪ Receiving, inspection, and acceptance documentation</li> </ul>		<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 040</p> <p>DAA-GRS-2013-0003-0012</p>
4000.5	<p><b>Construction Contractors' Payroll Files.</b></p> <p>Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.</p>		<p><b>Temporary.</b> Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 050</p> <p>DAA-GRS-2013-0003-0003</p>
4000.6	<p><b>Accounting Administrative Files.</b></p> <p>Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.</p>	<p>a. <u>Files used for workload and personnel management purposes.</u></p>	<p><b>Temporary.</b> Destroy when 2 years old.</p>	<p>GRS 1.1, item 0001</p> <p>DAA-GRS-2016-0013-0001</p>
		<p>b. <u>All other files.</u></p>	<p><b>Temporary.</b> Destroy when 3 years old.</p>	<p>NC-64-77-11, item 5b</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
4000.7	<p><b>Administrative Claims By or Against the United States.</b></p> <p>Records of monetary or property claims by the United States Subject to the Federal Claims Collection Standards, competed or closed by:</p> <ul style="list-style-type: none"> <li>▪ Payment in full</li> <li>▪ Compromise agreement</li> <li>▪ Termination of collection action</li> <li>▪ Determination that money or property is not owed to the United States</li> <li>▪ Approval of denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard</li> <li>▪ Lifting of court order</li> </ul> <p>Also, records of monetary claims against the United States, completed or closed by;</p> <ul style="list-style-type: none"> <li>▪ Disallowance in full</li> <li>▪ Allowed in full or in part with final payment awarded</li> <li>▪ Settlement, compromise, or withdrawal</li> <li>▪ Lifting of court order</li> </ul> <p><b>NOTE:</b> This schedule supersedes 4000.7.a (N1-GRS-87-13, item 1a); 4000.7.b(1) &amp; (2) (N1-GRS-87-13, Item 1b1 &amp; N1-GRS-87-13, item 1b2b); (N1-GRS-87-13 item 1b2b; 4000.7.b(2)(a) &amp; (b) (N1-GRS-87-13 item 1c), 4000.7.b(2)(c) (N1-GRS-87-13 item 1c) and 4000.8 a &amp; b (N1-GRS-88-1 item 11a) &amp; (N1-GRS-88-1 item 11b).</p> <p><b>Legal Citation:</b> 31 CFR 900-904, 28 U.S.C. 2401, 28 U.S.C. 2415(a), 31 U.S.C. 3716(c), 31 U.S.C. 3716(e)</p>	<p><b>Temporary.</b> Destroy 7 years after final action, but longer retention is authorized if required for business needs.</p>	<p>GRS 1.1, item 080</p> <p>DAA-GRS-2017-0005-0001.</p>
4000.8	<p><b>Waiver of Claims Files</b></p>	Superseded by item 4000.7.	
4000.9	<p><b>Expenditure Accounting General Correspondence and Subject Files.</b></p> <p>Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.</p> <p><b>NOTE:</b> Outpatient Fee Basis files' schedule is rescinded and replaced by 4000.9. (GRS 7, Item 1)</p>	<p><b>Temporary.</b> Destroy when 3 years old.</p>	<p>GRS 1.1, item 001</p> <p>DAA-GRS-2016-0013-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
4000.10	<p><b>Contract Appeals Case Files.</b></p> <p>Records of contract appeals arising under the contract dispute Act. Includes:</p> <ul style="list-style-type: none"> <li>▪ Notice of appeal</li> <li>▪ Acknowledgement of notice</li> <li>▪ Correspondence</li> <li>▪ Copies of contracts, plans, specifications, exhibits, change orders and amendments</li> <li>▪ Hearing transcripts</li> <li>▪ Documents received from concern parties</li> <li>▪ Final decisions</li> <li>▪ Other related papers</li> </ul>	<p><b>Temporary.</b> Destroy 1 year after final resolution, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 60</p> <p>DAA-GRS-2016-0001-0003</p>	
4000.11	<p><b>Vendor and Bidder Information.</b></p> <p>Documentation of approved, suspended, and debarred vendors and bidders.</p>	<p>a. <u>Records of suspensions and debarments for violation of the Drug-Free Workplace Act.</u></p>	<p><b>Temporary.</b> Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 070</p> <p>DAA-GRS-2016-0001-0004</p>
		<p>b. <u>Records of all other suspensions and debarments and all approved vendors and bidders.</u></p>	<p><b>Temporary.</b> Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.</p>	<p>GRS 1, item 071</p> <p>DAA-GRS-2016-0001-0005</p>

### 4100- Budgeting Preparation, Presentation, and Apportionment Records

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

Item Number	Records Description	Disposition Instructions	Disposition Authority
4100.1	<b>Budget Correspondence Files.</b>	Superseded by GRS 1.3. See item number 4110.5 (DAA-GRS-2015-0006-0007, item 050).	
4100.2	<b>Budget Background Records.</b>	Superseded by GRS 1.3. See item numbers 4110.1 and 4110.4.b (DAA-GRS-2015-0006-0007, item 040).	
4100.3	<b>Budget Reports Files.</b> 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. <u>Annual Report (end of fiscal year).</u>	Superseded by GRS 1.3. See item number 4110.3.a (DAA-GRS-2015-0006-0007, item 050).
		b. <u>All other Reports.</u>	Superseded by GRS 1.3. See item number 4110.3.b (DAA-GRS-2015-0006-0004, item 031).
4100.4	<b>Budget Apportionment Files.</b>	Superseded by GRS 1.3. See item number 4110.2 (DAA-GRS-2015-0006-0004, item 020).	

## 4110- 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.



Item Number	Records Description	Disposition Instructions	Disposition Authority
4110.1	<p><b>Budget Formulation, Estimates, Justification, and Submission Records, Fiscal Year 2017 and Forward.</b></p> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>▪ guidance and briefing materials</li> <li>▪ agency or department copy of final submission to OMB and Congress</li> <li>▪ narrative statements justifying or defending estimates (sometimes called “Green Books”)</li> <li>▪ briefing books and exhibits</li> <li>▪ language sheets and schedules</li> <li>▪ OMB and Congress pass-back responses and questions; agency appeals, responses, and answers</li> <li>▪ testimony at, and other agency records of, Congressional hearings</li> <li>▪ final settlement or approved appropriation</li> </ul> <p><i><b>EXCLUSION:</b> 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.</i></p>	<p><b>Temporary.</b> Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0001, item 010</p>
4110.2	<p><b>Budget Execution Records.</b></p> <p>Records offices create and receive in the course of implementing and tracking an appropriation. Includes:</p> <ul style="list-style-type: none"> <li>▪ allotment advice, revisions, and ceiling limitations</li> <li>▪ apportionments and reapportionments</li> <li>▪ obligations under each authorized appropriation</li> <li>▪ rescissions and deferrals</li> <li>▪ operating budgets</li> <li>▪ outlay plans</li> <li>▪ fund utilization records</li> <li>▪ fund reviews</li> <li>▪ workforce authorization and distribution</li> <li>▪ continuing resolution guidance</li> <li>▪ calculations</li> <li>▪ impact statements</li> <li>▪ <b>carryover requests</b></li> <li>▪ related records</li> </ul> <p><i><b>EXCLUSION:</b> Formal budget reports are covered in items 030 and 031.</i></p>	<p><b>Temporary.</b> Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0002, item 020</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
4110.3	<b>Budget Reports.</b> 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. <u>Full Fiscal-Year Report.</u>	<b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0003, item 030
		b. <u>All other Reports.</u>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0004, item 031
4110.4	<b>Budget Preparation Background Records.</b> 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. <u>Records held in office responsible for preparing agency's budget proposal to the White House.</u>	<b>Temporary.</b> Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0005, item 040
		b. <u>Records held at all other offices.</u>	<b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0006, item 041
4110.5	<b>Budget Administration Records.</b> Records documenting administration of budget office responsibilities. Includes: <ul style="list-style-type: none"> <li>▪ correspondence relating to routine administration, internal procedures, and other day-to-day matters</li> <li>▪ records monitoring expenditures under approved budget allocations</li> <li>▪ records of financial controls maintenance</li> <li>▪ spreadsheets and databases tracking income, expenditures, and trends</li> <li>▪ work planning documentation</li> <li>▪ cost structure and accounting code lists</li> <li>▪ feeder and statistical reports</li> <li>▪ related correspondence</li> </ul>		<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007, item 050

Chapter 5- Logistics and Facilities

5020- Facility Equipment, Vehicle, Property, and Supply Records

This schedule covers records Federal agencies create and receive while managing, operating and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocating space and managing supply stock.

Item Number	Records Description	Disposition Instructions	Disposition Authority
5020.1	<p><b>Facility, Space, Vehicle, Equipment, Stock, and Supply Administrative and Operational Records.</b></p> <p>Records relating to administering and operating facilities, spaces, Federally-owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:</p> <ul style="list-style-type: none"> <li>▪ statistical and narrative reports</li> <li>▪ studies</li> <li>▪ requests for space using Standard Form 81 or equivalent</li> <li>▪ space assignments and directories</li> <li>▪ inventories of property, equipment, furnishings, stock, and supplies</li> <li>▪ reports of survey regarding lost, damaged, missing, or destroyed property</li> <li>▪ requisitions for supplies and equipment</li> <li>▪ records tracking supply and procurement requirements</li> <li>▪ records scheduling and dispatching vehicles, monitoring use, and reporting use</li> <li>▪ related correspondence</li> </ul> <p><b>EXCLUSION 1:</b> Records of aircraft operations (item 110 in this schedule covers these).</p> <p><b>EXCLUSION 2:</b> Records of supply and property procurement (GRS 1.1, item 010 covers these).</p> <p><b>EXCLUSION 3:</b> Requisition and supply records of the General Services Administration’s GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies’ mission, so they must schedule the records separately).</p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.</p>	<p>GRS 5.2, item 010</p> <p>DAA-GRS-2016-0011-0001</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5020.2	<p><b>Real Property Ownership Records.</b></p> <p>Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise.</p> <p><i><b>EXCLUSION 1:</b> Records relating to property acquired prior to January 1, 1921 (agencies must schedule these separately).</i></p> <p><i><b>EXCLUSION 2:</b> Reports of Excess Real Property (Standard Form 118) and associated real property case files (agencies must schedule these separately).</i></p>	<p><b>Temporary.</b> Transfer to new owner after unconditional sale or Government release of conditions, restrictions, mortgages, or other liens.</p>	<p>GRS 5.4, item 020</p> <p>DAA-GRS-2016-0011-0002</p>
5020.3	<p><b>Vehicle and Equipment Ownership Records and Operation Manuals.</b></p> <p>Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.</p>	<p><b>Temporary.</b> Transfer with vehicle or item to new owner or destroy when item is excessed, as appropriate.</p>	<p>GRS 5.4, item 030</p> <p>DAA-GRS-2016-0011-0003</p>
5020.4	<p><b>Excess Personal Property, Equipment, and Vehicle Records.</b></p> <p>Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:</p> <ul style="list-style-type: none"> <li>▪ excess property inventories and lists</li> <li>▪ lists and other records identifying approved receivers of excess property</li> <li>▪ donation receipts</li> <li>▪ destruction certificates</li> <li>▪ documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle</li> <li>▪ related correspondence</li> </ul>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 040</p> <p>DAA-GRS-2016-0011-0004</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
5020.5	<p><b>Facility Design, Engineering, and Construction Records.</b>            Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes:</p> <ul style="list-style-type: none"> <li>▪ site maps and surveys</li> <li>▪ plot plans</li> <li>▪ structural drawings</li> <li>▪ architectural renderings</li> <li>▪ electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings</li> <li>▪ exterior delivery of utilities drawings</li> <li>▪ materials plans and drawings</li> <li>▪ minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams</li> <li>▪ construction progress photographs</li> <li>▪ construction inspection reports</li> <li>▪ equipment location plans</li> <li>▪ paint plans and samples</li> <li>▪ furniture design and layout drawings and plans</li> <li>▪ space occupancy plans</li> </ul>	<p>a. <u>Draft, preliminary, intermediate, working, and contract negotiation drawings.</u></p>	<p><b>Temporary.</b> Destroy when superseded, or when project terminates, as appropriate.</p>	<p>GRS 5.4, item 051  DAA-GRS-2016-0011-0005</p>
		<p>b. <u>Final and as-built drawings, plans, and designs; and all other records.</u></p>	<p><b>Temporary.</b> Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate.</p>	<p>DAA-GRS-2016-0011-0006, item 051</p>
5020.6	<p><b>Facility Design, Engineering, and Construction Operations Records.</b>            Records documenting operational support of facility design, engineering, and construction projects. Includes:</p> <ul style="list-style-type: none"> <li>▪ project requests and approvals</li> <li>▪ meeting agendas, minutes, and other records</li> <li>▪ budget and cost working files</li> <li>▪ task, punch, and action item lists</li> <li>▪ work logs</li> <li>▪ progress reports and presentation materials</li> <li>▪ related correspondence and notes</li> </ul>	<p><b>Temporary.</b> Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 060  DAA-GRS-2016-0011-0007</p>	

Item Number	Records Description	Disposition Instructions	Disposition Authority
5020.7	<p><b>Facility, Space, and Equipment Inspection, Maintenance, And Service Records.</b></p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 070  DAA-GRS-2016-0011-0008</p>
	<p>a. <u>Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally-owned and operated housing, equipment, and personal property.</u> Includes:</p> <ul style="list-style-type: none"> <li>▪ repair and maintenance work orders, requisitions, and related papers</li> <li>▪ maintenance and inspection logs and reports</li> <li>▪ job orders, service call records, action sheets, and repair logs</li> <li>▪ work, shop, or job schedules</li> <li>▪ Records documenting facility structure and long-term maintenance</li> </ul>	<p><b>Temporary.</b> Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 071  DAA-GRS-2016-0011-0009</p>
5020.8	<p><b>Housing Rental and Lease Records.</b> Applications, leases, renewals, assignments, termination notices, and related documents regarding Federally owned and operated housing facilities.</p>	<p><b>Temporary.</b> Destroy 3 years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.</p>	<p>GRS 5.4, item 080  DAA-GRS-2016-0011-0010</p>
5020.9	<p><b>Land Vehicle and Water Vessel Inspection, Maintenance, and Service Records.</b> Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes:</p> <ul style="list-style-type: none"> <li>▪ work orders, service and repair requisitions, and logs</li> <li>▪ descriptions of provided service and repair, and related papers</li> </ul> <p><b>EXCLUSION:</b> Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1 item 010 covers these).</p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized.</p>	<p>GRS 5.2, item 090  DAA-GRS-2016-0011-0011</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
5020.10	<p><b>Aircraft Inspection, Maintenance, and Modification Records.</b></p> <p>Records documenting general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding:</p> <ul style="list-style-type: none"> <li>▪ servicing, manufacturing, rebuilding and testing equipment</li> <li>▪ classifying material's condition status</li> <li>▪ preventive maintenance</li> <li>▪ aircraft or equipment configuration and material alteration</li> <li>▪ logistics services</li> </ul> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>○ technical and non-technical correspondence</li> <li>○ maintenance manuals</li> <li>○ documentation of mechanical defects and evidence of repair</li> <li>○ annotated manuals or manuals different from those the manufacturer issued</li> <li>○ bulletins directing specific inspections and records of action</li> <li>○ logbooks</li> <li>○ diagnostic checkouts</li> <li>○ spot check inspections</li> <li>○ maintenance requests</li> </ul>	<p><b>Temporary.</b> Destroy 6 years after disposing of aircraft or removing equipment from inventory, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 100</p> <p>DAA-GRS-2016-0011-0013</p>
5020.11	<p><b>Vehicle and Heavy Equipment Operator Records.</b></p> <p>Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.</p>	<p><b>Temporary.</b> Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner.</p>	<p>GRS 5.4, item 110</p> <p>DAA-GRS-2016-0011-0014</p>
5020.12	<p><b>Aircraft Flight Operations Records.</b></p> <p>Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs, destinations, and passengers; flight orders; flight plans; load manifests; dispatch releases; flight logs; and similar records.</p>	<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 120</p> <p>DAA-GRS-2016-0011-0015</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
5020.13	<p><b>Aircraft Operational Support Records.</b></p> <p>Records documenting logistical support to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes:</p> <ul style="list-style-type: none"> <li>▪ comments on regulations</li> <li>▪ directives and other records regarding logistics</li> <li>▪ management improvement reports</li> <li>▪ cost reduction reports</li> <li>▪ requests for substantive information regarding logistics</li> <li>▪ aircraft inventories</li> </ul>	<p><b>Temporary.</b> Destroy when 6 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 130</p> <p>DAA-GRS-2016-0011-0016</p>
5020.14	<p><b>Vehicle and Vessel Accident and Incident Records.</b></p> <p>Records about vehicle and vessel accidents-land, water, and air- that vehicle management offices maintain, including:</p> <ul style="list-style-type: none"> <li>▪ Standard Form 91, Motor Vehicle Accident Report</li> <li>▪ Standard Form 94, Statement of Witness</li> <li>▪ Standard Form 95, Claim for Damage, Injury, or Death</li> <li>▪ copies of investigative reports (see Exclusion for original investigative reports)</li> </ul> <p><b>EXCLUSION:</b> <i>Original formal accident and incident investigation records (covered under GRS 5.6).</i></p>	<p><b>Temporary.</b> Destroy 3 years after case is closed, but longer retention is authorized if required for business use.</p>	<p>GRS 5.4, item 140</p> <p>DAA-GRS-2016-0011-0017</p>



## 5252- Police Service, Physical Security and Protective Services Records

This schedule covers records about protecting an organization’s personnel, assets, and facilities. Activities include security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.

Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers.

Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records.

Item Number	Records Description		Disposition Instructions	Disposition Authority
5252.1	<p><b>Security Administrative Records.</b> Records about routine facility security, protective services, and personnel security program administration. Includes:</p> <ul style="list-style-type: none"> <li>▪ status reports on cleared individuals and other reports</li> <li>▪ staffing level and work planning assessments, such as guard assignment records</li> <li>▪ standard operating procedures manuals</li> </ul>		<p><b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 010  DAA-GRS-2017-0006-0001</p>
5252.2	<p><b>Key and Card Access Accountability Records.</b> Records accounting for keys and electronic access cards.</p>	<p>a. <u>Areas requiring highest level security awareness.</u> Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p><b>Temporary.</b> Destroy 3 years after return of key, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 02  DAA-GRS-2017-0006-0002</p>
		<p>b. <u>All other facility security areas.</u> Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p><b>Temporary.</b> Destroy 6 months after return of key, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 021  DAA-GRS-2017-0006-0003</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>5252.3</b></p>	<p><b>Uniform and Equipment Tracking Records.</b> Records tracking uniforms and equipment issued to security personnel.</p>	<p><b>Temporary.</b> Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 030  DAA-GRS-2017-0006-0004</p>
	<p>a. <u>Equipment issued to individual officers.</u> Includes:</p> <ul style="list-style-type: none"> <li>▪ firearms issue and ammunition (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.)</li> <li>▪ communication devices issued to security personnel such as mobile radios and walkie-talkies</li> <li>▪ body armor such as bullet-proof vests, police baton and holder, CIP, etc.,</li> <li>▪ handcuffs and keys</li> </ul> <p>b. <u>Firearm/weapons historical maintenance files.</u> These files contain: mechanical issues forms, routine maintenance schedule forms and other historical tracking forms, and correspondence pertaining to the serviceability and maintenance of the firearm.</p>	<p><b>Temporary.</b> Destroy 3 months after destruction/disposal of the firearm/weapon.</p>	<p>DAA-0015-2016-0007-0006</p>
<p><b>5252.4</b></p>	<p><b>Property Pass Records.</b> Records authorizing removal of Government and privately-owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.</p>	<p><b>Temporary.</b> Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 040  DAA-GRS-2017-0006-0005</p>
<p><b>5252.5</b></p>	<p><b>Records of Credit Card Abuse and Postal Irregularities.</b> Records about irregularities in handling mail and improper use or misuse of telephone calling cards and Government charge or purchase cards. Includes:</p> <ul style="list-style-type: none"> <li>▪ postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail</li> <li>▪ semi-annual reports on Government charge card violations</li> </ul> <p><b>EXCLUSION:</b> Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.</p>	<p><b>Temporary.</b> Destroy 3 years after completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 050  DAA-GRS-2017-0006-0006</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>5252.6</b></p>	<p><b>Unclaimed Personal Property Records.</b>                      Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:</p> <ul style="list-style-type: none"> <li>▪ lost-and-found logs and release forms</li> <li>▪ loss statements</li> <li>▪ receipts</li> <li>▪ reports</li> </ul>	<p>a. <u>Records for property valued over \$500.</u>   <b>Legal Citation:</b> 41 CFR 102 41.130</p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 060                       DAA-GRS-2017-0006-0007</p>
	<p>b. <u>Records for property valued at \$500 or less.</u>   <b>Legal Citation:</b> 41 CFR 102-41.130</p>	<p><b>Temporary.</b> Destroy 30 days after the property is found, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 061                       DAA-GRS-2017-0006-0008</p>	
	<p>c. <u>Property Custody Receipt Files.</u> Evidence ledger and evidence custody forms. Record of property found, turned-in, surrendered to, or confiscated by police not covered in 5252.6.a or 5252.6.b above.   <b>Legal Citation:</b> 41 CFR 102 41.130</p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after the date title to the property vests in the Government, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 060                       DAA-GRS-2017-0006-0007</p>	
<p><b>5252.7</b></p>	<p><b>Interagency Security Committee Member Records.</b>                      Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:</p> <ul style="list-style-type: none"> <li>▪ agendas</li> <li>▪ meeting minutes</li> <li>▪ best practice and standards documents</li> <li>▪ funding documents for security countermeasures</li> </ul> <p><b>EXCLUSION:</b> Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.</p>	<p><b>Temporary.</b> Destroy when 10 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 070                       DAA-GRS-2017-0006-0009</p>	

Item Number	Records Description		Disposition Instructions	Disposition Authority
5252.8	<p><b>Facility Security Assessment Records.</b>                      Surveys and inspections of security and safety measures at Government or privately-owned facilities assigned a security awareness status by Government agencies. Includes:</p> <ul style="list-style-type: none"> <li>▪ facility notes</li> <li>▪ inspector notes and reports</li> <li>▪ vulnerability assessments</li> <li>▪ physical security surveys</li> <li>▪ chemical agents and biohazardous agent assessment</li> </ul>	<p>a. <u>Areas requiring highest level security awareness.</u> Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p><b>Temporary.</b> Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 080  DAA-GRS-2017-0006-0010</p>
		<p>b. <u>All other facility security areas.</u> Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p><b>Temporary.</b> Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 081  DAA-GRS-2017-0006-0011</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
5252.9	<p><b>Records of Routine Security Operations.</b></p> <p>Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> <li>▪ control center key or code records</li> <li>▪ registers of patrol and alarm services</li> <li>▪ service reports on interruptions and tests</li> <li>▪ emergency alarm contact call lists</li> <li>▪ temporary identification cards</li> <li>▪ correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date</li> <li>▪ door slip summaries</li> <li>▪ round and perimeter check reports, including facility patrol tour data</li> <li>▪ surveillance records                             <ul style="list-style-type: none"> <li>○ recordings of protective mobile radio transmissions</li> <li>○ video surveillance recordings</li> <li>○ closed circuit television (CCTV) records</li> </ul> </li> </ul> <p><b>NOTE:</b> Records of accidents and incidents are covered under item 100 and records of visitor processing are covered under items 110 and 111.</p> <p><b>EXCLUSION:</b> Law enforcement officer-related records, which are covered by agency-specific schedules.</p>	<p><b>Temporary.</b> Destroy when 30 days old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 090</p> <p>DAA-GRS-2017-0006-0012</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>5252.10</b></p>	<p><b>Accident and Incident Records.</b>  Records documenting accidents and incidents occurring on, in, or at Government-owned or leased facilities, vehicles (land, water, and air), and property used by Federal agencies.</p> <p><i><b>EXCLUSION 1:</b> Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.</i></p> <p><i><b>EXCLUSION 2:</b> Records that vehicle management office maintains about vehicle and vessel accidents-land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records. (Government Vehicles registered in the motor pool)</i></p>	<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	<p>GRS 5.6, item 100  DAA-GRS-2017-0006-0013</p>
		<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	<p>GRS 5.6, item 100  DAA-GRS-2017-0006-0013</p>
		<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	<p>GRS 5.6, item 100  DAA-GRS-2017-0006-0013</p>
		<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	<p>GRS 5.6, item 100  DAA-GRS-2017-0006-0013</p>
		<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>	<p>GRS 5.6, item 100  DAA-GRS-2017-0006-0013</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>f. <u>Courtesy Violations Files.</u> Records of posted traffic infractions resulting in courtesy warning issued.</p> <p>g. <u>Motor Vehicle Accident Reports Files.</u> (involving non-government vehicles)</p> <p><b>NOTE:</b> See 5020.14 for government vehicles.</p>	<p><b>Temporary.</b> Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p> <p><b>Temporary.</b> Destroy 3 years after case is closed, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 100</p> <p>DAA-GRS-2017-0006-0013</p> <p>GRS 5.4, item 140</p> <p>DAA-GRS-2016-0011-0017</p>
<p><b>5252.11</b></p>	<p><b>Visitor Processing Records.</b> Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.</p> <p><b>NOTE:</b> GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.</p>	<p>a. <u>Areas requiring highest level security awareness.</u> Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p> <p>b. <u>All other facility security areas.</u> Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p> <p>c. <u>Vehicle Registration files.</u> Card files containing privately-owned vehicle registrations.</p>	<p><b>Temporary.</b> Destroy when 5 years old, but longer retention is authorized if required for business use.</p> <p><b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.</p> <p><b>Temporary.</b> Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.</p> <p>GRS 5.6, item 110</p> <p>DAA-GRS-2017-0006-0014</p> <p>GRS 5.6, item 111</p> <p>DAA-GRS-2017-0006-0015</p> <p>GRS 5.6, item 130</p> <p>DAA-GRS-2017-0006-0018</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>5252.12</b></p>	<p><b>Personal Identification Credentials and Cards.</b>  Records about credential badges (such as smart cards) that are:</p> <p>(1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates,</p> <p>and</p> <p>(2) used to verify the identity of individuals seeking physical access to Federally-controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p>	<p>a. <u>Application and activation records.</u> Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> <li>▪ application for identification card</li> <li>▪ a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected</li> <li>▪ lost or stolen credential documentation or police report</li> </ul> <p><b>NOTE:</b> GRS 3.2, Information Systems Security Records, covers applications for access to information systems.</p>	<p><b>Temporary.</b> Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 120</p> <p>DAA-GRS-2017-0006-0016</p>
	<p>b. <u>Cards.</u></p> <p><b>EXCLUSION:</b> Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.</p>	<p><b>Temporary.</b> Destroy after expiration, confiscation, or return .</p>	<p>GRS 5.6, item 121</p> <p>DAA-GRS-2017-0006-0017</p>	
<p><b>5252.13</b></p>	<p><b>Local Facility Identification and Card Access Records.</b>  Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> <li>▪ temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance</li> <li>▪ supplemental cards issued to access elevators</li> <li>▪ personnel identification records stored in an identity management system for temporary card issuance</li> <li>▪ parking permits</li> </ul>	<p><b>Temporary.</b> Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 130</p> <p>DAA-GRS-2017-0006-0018</p>	



Item Number	Records Description	Disposition Instructions	Disposition Authority
5252.14	<p><b>Sensitive Compartmented Information Facility (SCIF) Accreditation Records.</b> Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> <li>▪ initial Fixed Facility Checklist</li> <li>▪ pre-accreditation inspection report</li> <li>▪ Construction Security Plan (CSP)</li> <li>▪ TEMPEST Checklist</li> </ul>	<p><b>Temporary.</b> Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 140  DAA-GRS-2017-0006-0019</p>
5252.15	<p><b>Sensitive Compartmented Information Facility (SCIF) Inspection Records.</b> Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> <li>▪ Fixed Facility Checklists</li> <li>▪ accreditation authorization documents</li> <li>▪ inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation</li> <li>▪ operating procedures</li> <li>▪ Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters</li> <li>▪ memoranda of agreements (MOAs)</li> <li>▪ emergency Action Plans</li> <li>▪ copies of any waivers granted by the Cognizant Security Authority (CSA)</li> <li>▪ co-utilization approvals</li> </ul>	<p><b>Temporary.</b> Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 150  DAA-GRS-2017-0006-0020</p>
5252.16	<p><b>Canine (K-9) Service Records.</b> Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> <li>▪ acquisition records</li> <li>▪ breeder and lineage records</li> <li>▪ vaccination and medical history records</li> <li>▪ microchip number and identification records</li> <li>▪ deficiencies/remedies</li> <li>▪ training courses taken and resulting grades and certifications</li> <li>▪ initial report of positive detections and bite incidents</li> <li>▪ end-of-service documentation (through retirement or death)</li> </ul>	<p><b>Temporary.</b> Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 160  DAA-GRS-2017-0006-0021</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
5252.17	<p><b>Personnel Security Investigative Reports.</b></p> <p>Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.</p>	<p>a. <u>Personnel suitability and eligibility investigative reports.</u></p>	<p><b>Temporary.</b> Destroy in accordance with the investigating agency instruction.</p>	<p>GRS 5.6, item 170</p> <p>DAA-GRS-2017-0006-0022</p>
		<p>b. <u>Reports and records created by agencies conducting investigations under delegated investigative authority.</u></p>	<p><b>Temporary.</b> Destroy in accordance with delegated authority agreement or memorandum of understanding.</p>	<p>GRS 5.6, item 171</p> <p>DAA-GRS-2017-0006-0023</p>
5252.18	<p><b>Personnel Security and Access Clearance Records.</b></p> <p>Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:</p> <ul style="list-style-type: none"> <li>▪ questionnaires</li> <li>▪ summaries of reports prepared by the investigating agency</li> <li>▪ documentation of agency adjudication process and final determination</li> </ul> <p><b>NOTE:</b> GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.</p>	<p>a. <u>Records of people not issued clearances.</u> Includes case files of applicants not hired.</p> <p><b>EXCLUSION:</b> <i>Copies of investigative reports covered in items 170 and 171.</i></p>	<p><b>Temporary.</b> Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 180</p> <p>DAA-GRS-2017-0006-0024</p>
		<p>b. <u>Records of people clearances.</u></p> <p><b>EXCLUSION:</b> <i>Copies of investigative reports covered in items issued 170 and 171.</i></p>	<p><b>Temporary.</b> Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 181</p> <p>DAA-GRS-2017-0006-0025</p>
5252.19	<p><b>Index to the Personnel Security Case Files.</b></p> <p>Lists or reports showing the current security clearance status of individuals.</p>	<p><b>Temporary.</b> Destroy when superseded or obsolete.</p>	<p>GRS 5.6, item 190</p> <p>DAA-GRS-2017-0006-0026</p>	

Item Number	Records Description	Disposition Instructions	Disposition Authority
5252.20	<p><b>Information Security Violations Records.</b></p> <p>Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.</p> <p><i><b>EXCLUSION 1:</b> Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.</i></p> <p><i><b>EXCLUSION 2:</b> Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</i></p>	<p><b>Temporary.</b> Destroy 5 years after close of case or final action whichever occurs sooner, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 200</p> <p>DAA-GRS-2017-0006-0027</p>
5252.21	<p><b>Insider Threat Administrative and Operations Records.</b></p> <p>Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> <li>▪ correspondence related to data gathering</li> <li>▪ briefing materials and presentations</li> <li>▪ status reports</li> <li>▪ procedures, operational manuals, and related development records</li> <li>▪ implementation guidance</li> <li>▪ periodic inventory of all information, files, and systems owned</li> <li>▪ plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> <li>○ independent and self-assessments</li> <li>○ corrective action plans</li> <li>○ evaluative reports</li> </ul> </li> </ul>	<p><b>Temporary.</b> Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 210</p> <p>DAA-GRS-2017-0006-0028</p>
5252.22	<p><b>Insider Threat Inquiry Records.</b></p> <p>Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p>	<p><b>Temporary.</b> Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 220</p> <p>DAA-GRS-2017-0006-0029</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
5252.23	<p><b>Insider Threat Information.</b></p> <p>Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>▪ Counterintelligence and security information               <ul style="list-style-type: none"> <li>○ personnel security files</li> <li>○ polygraph examination reports</li> <li>○ facility access records, including visitor records</li> <li>○ security violation files</li> <li>○ travel records</li> <li>○ foreign contact reports</li> <li>○ financial disclosure filings</li> <li>○ referral records</li> <li>○ intelligence records</li> </ul> </li> <li>▪ Information assurance information               <ul style="list-style-type: none"> <li>○ personnel usernames and aliases</li> <li>○ levels of network access</li> <li>○ levels of physical access</li> <li>○ enterprise audit data which is user attributable</li> <li>○ unauthorized use of removable media</li> <li>○ print logs Human resources information</li> <li>○ personnel files</li> <li>○ payroll and voucher files</li> <li>○ outside work and activities requests</li> <li>○ disciplinary files</li> <li>○ personal contact records</li> <li>○ medical records/data</li> </ul> </li> <li>▪ Investigatory and law enforcement information               <ul style="list-style-type: none"> <li>○ statements of complainants, informants, suspects, and witnesses</li> <li>○ agency, bureau, or department data</li> </ul> </li> <li>▪ Public information               <ul style="list-style-type: none"> <li>○ court records private</li> <li>○ industry data</li> <li>○ personal biographical and identification data, including U.S. Government name check data</li> <li>○ generic open source and social media data</li> </ul> </li> </ul> <p><b>EXCLUSION:</b> Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p><b>Temporary.</b> Destroy when 25 years old, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 230</p> <p>DAA-GRS-2017-0006-0030</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
5252.24	<p><b>Insider Threat User Activity Monitoring (UAM) Data.</b></p> <p>User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:</p> <ul style="list-style-type: none"> <li>▪ identify and evaluate anomalous activity involving National Security Systems (NSS)</li> <li>▪ identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders</li> <li>▪ support authorized inquiries and investigations</li> </ul> <p><i><b>EXCLUSION:</b> Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</i></p> <p><b>Legal Citation:</b> CNSSD No. 504, 4 February 2014</p>	<p><b>Temporary.</b> Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.</p>	<p>GRS 5.6, item 240</p> <p>DAA-GRS-2017-0006-0031</p>
<b>Police Services and Security IT Systems</b>			
5252.25	<p><b>Police and Security Records-VA/Police and Software Package.</b></p> <p>Electronic Investigative Report Data Base System, maintained by the Office of Security and Law Enforcement, Law Enforcement Training Center.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 25 year(s) after cutoff.</p>	<p>DAA-0015-2016-0007-0002</p>
5252.26	<p><b>VA Police Badge and Training Record System.</b></p> <p>Electronic Badging and Training Data Base System, maintained by the Office of Security and Law Enforcement, Law Enforcement Training Center.</p>	<p><b>Temporary.</b> Destroy 5 years after separation or immediately after death.</p>	<p>DAA-0015-2016-0007-0001</p>
	a. <u>Weapon Police, Law Enforcement Jurisdiction and Arrest Authority, VA Form 9044.</u>	<p><b>Temporary.</b> Destroy 5 years after separation or immediately after death.</p>	<p>DAA-0015-2016-0007-0001</p>
	b. <u>VA Police Officer Yearly Medical and Psychological Certification, VA Form 0867f.</u>	<p><b>Temporary.</b> Destroy 5 years after separation or immediately after death.</p>	<p>DAA-0015-2016-0007-0001</p>
	c. <u>VA Police Officer Pre-Employment Screening Checklist, VA Form 0120.</u>	<p><b>Temporary.</b> Cutoff at midnight; destroy 30 days after cutoff or when no longer needed, whichever comes first.</p>	<p>DAA-0015-2016-0007-0003</p>
5252.27	<p><b>Video Surveillance Monitoring Records.</b></p> <p>Close Circuit Television system captured on a digital video recorder or similar electronic system recorded on a continuous loop.</p>	<p><b>Temporary.</b> Cutoff at midnight; destroy 30 days after cutoff or when no longer needed, whichever comes first.</p>	<p>DAA-0015-2016-0007-0003</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority								
5252.28	<p><b>Electronic Video of Significant Incidents.</b></p> <p>Monitoring video captured and stored in electronic format during facility daily operations where a significant or catastrophic event occurs, such as but not limited to, criminal activity, fire, accidents, natural disasters, etc.; or which an event has been identified at the time as having possible legal, safety, political, or media implications which is stored or saved before automatic deletion of continuous loop video capturing system.</p>	<p><b>Temporary.</b> Cutoff at the end of the significant or catastrophic event; destroy when 3 years old or when legal case, criminal case, or operational analysis is completed, whichever is later.</p>	<p>DAA-0015-2016-0007-0004</p>								
5252.29	<p><b>Management Control Records.</b></p> <ul style="list-style-type: none"> <li>▪ VA Police Service Standard Operating Procedure</li> <li>▪ Medical Center Memorandum- Generated by Police Service</li> </ul>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy when superseded.</p>	<p>N1-GRS-91-5, item 1a</p>								
<b>Police Services Administrative Record Section</b>											
5252.30	<p><b>General Correspondence.</b></p> <p>The contents of each folder in this record series consist of papers, memoranda, letters, etc., of a general nature and which do not involve policy, or establish a precedent.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy when 2 years old.</p>	<p>GRS 5.1, item 010 DAA-GRS-2016-0016-0001</p>								
5252.31	<p><b>Record Control Files.</b></p>	<p><b>Temporary.</b> Cutoff end of CY. Destroy or delete when 2 years old.</p>	<p>NI-GRS-98-2, item 45</p>								
5252.32	<p><b>Authority Files.</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20px;">a.</td> <td><u>Local Police Service Operation Authorizations</u> (Armorer, Evidence Custodian, Canine Officer, Domicile to Work Firearm Carry, Uniform Duty Firearm Carry, Plain Clothes Firearm Carry, Police Service RCS Manager/Access, Trainers, etc.).</td> </tr> <tr> <td>b.</td> <td><u>Physical Security Waivers.</u></td> </tr> <tr> <td>c.</td> <td><u>USC 902 request.</u></td> </tr> <tr> <td>d.</td> <td><u>Other Authorizations.</u></td> </tr> </table>	a.	<u>Local Police Service Operation Authorizations</u> (Armorer, Evidence Custodian, Canine Officer, Domicile to Work Firearm Carry, Uniform Duty Firearm Carry, Plain Clothes Firearm Carry, Police Service RCS Manager/Access, Trainers, etc.).	b.	<u>Physical Security Waivers.</u>	c.	<u>USC 902 request.</u>	d.	<u>Other Authorizations.</u>	<p><b>Temporary.</b> Destroy when obsolete.</p>	<p>II-NNA-2993, item 1</p>
a.	<u>Local Police Service Operation Authorizations</u> (Armorer, Evidence Custodian, Canine Officer, Domicile to Work Firearm Carry, Uniform Duty Firearm Carry, Plain Clothes Firearm Carry, Police Service RCS Manager/Access, Trainers, etc.).										
b.	<u>Physical Security Waivers.</u>										
c.	<u>USC 902 request.</u>										
d.	<u>Other Authorizations.</u>										

Item Number	Records Description	Disposition Instructions	Disposition Authority	
5252.33	<b>Equipment Record File.</b> Radar Guns, X-ray machines, Magnetometers, scales, Training Equipment Inventory, Ballistic Shields, etc.	<b>Temporary.</b> Cutoff at end of FY. Destroy after 2 years. May be retained longer if needed.	II-NN-3270, item 16	
5252.34	<b>Organization File (Police Service Organization Chart).</b>	<b>Temporary.</b> Destroy as rescinded, superseded, or replaced by current set.	II-NN-3270, item 6	
5252.35	<b>Reports (General/Miscellaneous).</b>	a. <u>Non-recurring.</u> (VA Police Initial Incident Report, VA Form 10173 and notification receipt)	<b>Temporary.</b> Cutoff at the end of CY. Destroy original after 1 year.	352-S84
	b. <u>Administrative Reports.</u>	<b>Temporary.</b> Cutoff at the end CY. Destroy 3 years after cutoff.	II-NN-32706	
	c. <u>Evaluation and Review Reports.</u> <ul style="list-style-type: none"> <li>▪ OS&amp;LE Police Service Inspection</li> <li>▪ VA Police Inspection Checklist, VA Form 0867d</li> <li>▪ Irregular hour evaluation</li> </ul>	<b>Temporary.</b> Cutoff at the end of year. Destroy 3 years after cutoff.	II-NN-163-22, item 6	
5252.36	<b>Training Education File.</b> Police Officer/Dispatcher training files (continuing in-service training schedule, examinations, and certificates will transfer with the officer from losing facility to gaining facility within the VA).	a. <u>LETC Training Units.</u>	<b>Temporary.</b> Cutoff at the end of CY. Destroy when 5 years old or 5 years after completion of specific training program.	GRS 2.6, item 010  DAA-GRS-2016-0014-0001
	b. <u>Annual Training Plan.</u>			
	c. <u>Individual Police Officer Training Folder (six-part folder).</u>			
	d. <u>Police Officer Examination File</u> (written examinations taken by VA Police Officers, Use of Force, Oleoresin Capsicum, Baton, etc.).			
	e. <u>Expired Officer Training Certificates.</u>			
	f. <u>Superseded Officer Continued In-Service Training Schedules</u> not required in the officer's individual training folder.			
	g. <u>VA Police Service Other Than Police Officer Training Examinations (Dispatcher, etc.).</u>			
	h. <u>Contract Security Guard Training provided by VA Police Service.</u>			

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Item Number	Records Description		Disposition Instructions	Disposition Authority
5252.37	<b>Evaluations and Review Reports (Police Service Inspection).</b>		<b>Temporary.</b> Cutoff at end of CY. Destroy after 3 years and after receipt of subsequent report.	II-NN-163-22, item 6
5252.38	<b>Legal Opinion (request for legal interpretations and opinions).</b> Police Service Precedent, Advisory and Conclusive Opinions.		<b>Temporary.</b> Precedent, advisory, and conclusive opinions will be sent to the records center after 10 years from the date of final interpretation or opinion and after imaging.	N1-15-06-2, item 26
5252.39	<b>Interagency Agreements (Police Service Memorandum of Understandings (MOUs).</b> Agreements to exchange agency law enforcement sensitive and personal safety information, Police Officer Shooting Investigations, Business Associate Agreements, etc.)		<b>Temporary.</b> Close at the end of agreement terms. Cutoff closed files at the end of the FY; destroy 4 years after cutoff.	N1-15-06-2, item 27
5252.40	<b>Personal Injury Files.</b> Forms, reports, correspondence, relating to on-the-job injuries, whether or not a claim for compensation was made.		<b>Temporary.</b> Cutoff on termination of compensation or when deadline for filing a claim has passed; destroy 3 years after cutoff.	N1-GRS-86-4, item 32
5252.41	<b>Position Classification Files.</b>	a. <u>Standards and guidelines issued or reviewed by OPM and used to classify and evaluate Police Service positions within the agency.</u>	<b>Temporary.</b> Destroy when superseded or obsolete.	N1-GRS-81-11, item 1
		b. <u>Position Descriptions.</u> Record copy of positions description that include information on Police Service positions, grade, duties, and responsibilities and related documents.	<b>Temporary.</b> Destroy 2 years after the position is abolished or description is superseded.	N1-GRS-88-4, item 1



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### **5254- Continuity and Emergency Planning Records**

This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

**NOTE:** This records schedule does not include records related to a national disaster or incident response. These records may be of permanent value and must be scheduled on an agency-specific records schedule.

Item Number	Records Description	Disposition Instructions	Disposition Authority
5254.1	<p><b>Continuity Planning and Related Emergency Planning Files.</b></p> <p>Records may include:</p> <ul style="list-style-type: none"> <li>▪ records on continuity and emergency planning administrative and operational activities</li> <li>▪ briefing materials and presentations</li> <li>▪ status reports or informational papers</li> <li>▪ files documenting policy or plan development, including policy studies</li> <li>▪ procedures, operational manuals, and related development records</li> <li>▪ implementation guidance of related correspondence</li> <li>▪ Memorandum (s) of Understanding</li> <li>▪ Delegations of Authority/Orders of Succession Continuity plans or directives and supporting documentation, including but not limited to:                             <ul style="list-style-type: none"> <li>○ Continuity of Operations (COOP) plans</li> <li>○ Devolution Plans o Occupant Emergency Plans (OEP)</li> <li>○ Emergency Action Plans (EAP)</li> <li>○ Facility Emergency Action Plans (FEAPS)</li> </ul> </li> </ul> <p><b>NOTE 1:</b> Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p><b>NOTE 2:</b> Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p><b>EXCLUSION 1:</b> <i>This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</i></p> <p><b>EXCLUSION 2:</b> <i>This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</i></p> <p><b>EXCLUSION 3:</b> <i>This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</i></p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p>	<p>GRS 5.3, item 010</p> <p>DAA-GRS-2016-0004-0001</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
5254.2	<p><b>Employee Emergency Contact Information.</b></p> <p>Records use to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone number or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during emergency situations.</p>	<p><b>Temporary.</b> Destroy when superseded or obsolete, or upon separation or transfer of employee.</p>	<p>GRS 5.3, item 020</p> <p>DAA-GRS-2016-0004-0002</p>	
5254.3	<i>Reserved</i>			
5254.4	<p><b>National Defense Executive Reserve (NDER) Case Files.</b></p> <p>Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.</p>	<p>a. <u>Case files on reservists.</u></p>	<p><b>Temporary.</b> Destroy 5 years after termination from NDER program.</p>	<p>NC1-GRS-87-10, item 1a</p>
		<p>b. <u>Case files on individuals whose applications were rejected or withdrawn.</u></p>	<p><b>Temporary.</b> Destroy when 5 years old.</p>	<p>NC1-GRS-87-10, item 1b</p>

**5400- Engineering Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority
5400.1	<p><b>Building, Grounds and Equipment File Plan.</b>                      Blueprints, drawing, maps, photographs, plans, specifications, tracings and related material.</p> <p><b>NOTE:</b> See also item number 5050.4, Real Property Files.</p>	<p><b>Temporary.</b> Dispose of equipment and utility plant blueprints, drawings, etc., that have not been transferred to new custodians upon removal, sale, or replacement of the equipment or utility plant.</p> <p>Transfer to the Office of the Director upon deactivation of the facility, all maps, plans blueprints, drawings etc. pertaining to building and land.</p>	II-NN-3270
5400.2	<p><b>Morgue Inspection Files.</b>                      Morgue inspections, daily records of morgue refrigeration temperature, temperature charts or graphs, weekly morgue inspection reports and related material.</p>	<p><b>Temporary.</b> Destroy after 3 months.</p>	II-NN-3270
5400.3	<p><b>Quarters Appraisal File.</b>                      Quarters appraisal records and related material.</p>	<p><b>Temporary.</b> Destroy 1 year after quarters have been reappraised.</p>	II-NN-3270
5400.4	<p><b>Construction Contract Files (Copies).</b>                      Abstracts of bids opened, applications for construction projects, award memorandums, change orders, contract information sheets, final inspection reports, final settlement recommendations, letters of acceptance, miscellaneous memorandums regarding modifications, shop drawings, specifications, delays, extension of time, final settlement guarantee expiration date, notice to proceed, photographs, progress reports and charts, requests for determination of wage rates, schedule of cost, etc. Official facility contract records are maintained in supply Service.</p> <p><b>NOTE:</b> See also item number 4000.5, Contractors' Payroll Files.</p>	<p><b>Temporary.</b> Destroy 3 years after the close of the fiscal year in which terminated.</p>	NC1-15-76-25

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5400.5	<p><b>Maintenance and Repair Contract Files.</b></p> <p>Abstracts of bids opened, award memorandum, change orders, contract, contract information reports, final settlements recommendations, letter of acceptance, miscellaneous letters and memorandums regarding modification and specifications, delays, extensions of time, final settlement, guaranty expiration dates, notice to proceed, photographs, progress reports and charts, reports of guaranty inspections, request for determination of wage rates, schedule of costs, specifications and related material.</p>	<p><b>Temporary.</b> Destroy 3 years after the close of the fiscal year in which terminated.</p>	NC1-15-76-25
5400.6	<p><b>Maintenance and Repair Work Order File.</b></p> <p>Maintenance and repair log books, work orders, job performance records and related material.</p>	<p><b>Temporary.</b> Destroy 1 year after the close of the fiscal year in which the project was completed.</p>	II-NN-3270
5400.7	<p><b>Service Contract File.</b></p> <p>Abstract of bids opened, award memorandums, change orders, contract information sheet, report year in which inspected, and related material.</p>	<p><b>Temporary.</b> Destroy 3 years after the close of the fiscal year in which terminated.</p>	NC1-15-76-25
5400.8	<p><b>Safety and Fire Prevention File.</b></p> <p>Minutes of safety meetings, reports of unhealthy and unsafe conditions, reports of periodic fire drills, reports of training activities, facility safety and fire protection inspection report, test of fire alarm circuits, device and equipment and related material.</p> <p><b>NOTE:</b> See item numbers 5252.2, Survey and Inspection Files (government-owned facilities) and 5252.4, Investigative Files.</p>	<p><b>Temporary.</b> Destroy after 3 years old or upon discontinuance of facility, whichever is sooner.</p>	NC1-15-76-25
5400.9	<p><b>Federal Occupational Injuries and Illness File.</b></p> <p>Federal occupational injuries and illnesses log.</p>	<p><b>Temporary.</b> Destroy after 5 years following the year to which they relate.</p>	NC-15-76-9
5400.10	<p><b>Accident Injury, Occupational Illness or File Reports File.</b></p> <p>Reports of accident, injury, occupational illness, or fire. Summary reports or logs of Federal occupational injuries or illness. Employees request for workplace inspection, occupational safety and health inspection reports and related material. Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.</p> <p><b>NOTE:</b> See Chapter 3, section 3015 of this manual.</p>	<p><b>Temporary.</b> Destroy when 5 years old.</p>	<p>GRS 2.7, item 020</p> <p>DAA-GRS-2017-0010-0002</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5400.11	<p><b>Inspection Report and Test File.</b></p> <p>Inspection of emergency lighting equipment, batteries and charging equipment, laundry washers service test for facility laundry, machine and/or equipment inspection sheets, refrigeration and air conditioning plant inspection report, report of lubricating, inspections of cleaning and adjusting elevators, tests of flame failure controls, boiler records and other inspection reports and tests.</p>	See test and inspections (2000.1, 2000.2, 2100.1, 5020.7, 5020.9, 5252.2, 5252.3, 5252.12, 5400.2, 5400.8, 5400.10, 5400.11 and 5700.25)	
5400.12	<p><b>Laundry Machine Maintenance Record File.</b></p> <p>Laundry machine maintenance records.</p>	<b>Temporary.</b> Forward card to receiving facility when equipment is transferred. Forward card to Central Office when equipment is turned in as partial payment on new equipment, sold or disposed of in any other manner.	II-NN-3270
5400.13	<p><b>Operating Log File.</b></p> <p>Boiler water treatment logs, daily boiler plant log sheet, daily operation logs of swimming pool and other equipment.</p>	<b>Temporary.</b> Destroy after 1 year.	II-NN-3270
5400.14	<p><b>Physical Record Card File.</b></p> <p>Boiler plant equipment record card, electrical distribution and equipment records, emergency stand by light and power out records, mechanical equipment records for main generating plant, miscellaneous boiler plant equipment records card and continuation sheet, motor generator and transformer records, records of hot water storage tanks, shop equipment record card, and other equipment.</p>	<b>Temporary.</b> Destroy cards that have been replaced by new cards. Destroy cards on equipment plants that have been removed, sold, or misplaced.	II-NN-3270
5400.15	<p><b>Physical Records Information File.</b></p> <p>Records of air conditioning plants and room coolers, records of refrigerator plants, records of sewage disposal, records of swimming pools, records of water supply and treatment and other equipment.</p>	<b>Temporary.</b> Destroy records that have been replaced by new records. Destroy records of equipment and utility plants that have been removed, sold, or misplaced.	II-NN-3270
5400.16	<p><b>Recording Charts Files.</b></p> <p>Recording charts used to record and measure temperature, humidity, steam flow, efficiency of combustion, etc.</p>	<b>Temporary.</b> Destroy after 1 year.	II-NN-3270

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5400.17	Motor Vehicle Inspection File.	<b>Temporary.</b> Cutoff after disposition of motor vehicle. Destroy 1 year after cutoff.	II-NN-3270

### 5500- Environmental Management Services

Item Number	Records Description	Disposition Instructions	Disposition Authority
5500.1	<p><b>Contract File Related to Environmental Services.</b> Copies of contract of items or services procured for Environmental Management services.</p> <p><b>NOTE:</b> This is a copy of the official file maintained in the office of Acquisition and Material Management.</p>	<b>Temporary.</b> Destroy one year after expiration of contract.	II-NN-3416
5500.2	<p><b>Pest Management Plan Files.</b> Copy of pest management plan, attachment and related materials.</p>	<b>Nonrecord.</b> Destroy after replacement with new plan.	
5500.3	<p><b>Pest Management Certification File.</b> Copy of pest management plan, attachment and related materials.</p>	<b>Nonrecord.</b> Destroy after replacement with new certifications or after reassignment of individual.	
5500.4	<p><b>Pest Management Record File.</b> Copies of VA form 10-9020 and VA form 10-9021 on pesticide usage.</p>	<b>Nonrecord.</b> Destroy after 2 years.	
5500.5	<p><b>Grounds Management File.</b></p>	<b>Nonrecord.</b> Destroy after 1 year or being replaced by new procedures.	
5500.6	<p><b>Sanitation Procedures Files.</b> Sanitation procedure, clearing and maintaining special area, such as operating rooms, isolation ward, etc., and related material.</p>	<b>Temporary.</b> Destroy after 1 year or being replaced by new procedures.	II-NN-3416
5500.7	<p><b>Sanitation Standards File.</b> Quality stands for sanitation work rate standards by method and procedure; time studies of various methods of accomplishments; i.e., machine versus hand methods, etc., and related filed material.</p>	<b>Temporary.</b> Destroy after being replaced by new standards.	II-NN-3416
5500.8	<p><b>Sanitation Maintenance File.</b> Copies of records of draperies cleaned, floor stripped and refinished, etc., and related material.</p>	<b>Temporary.</b> Destroy after 2 years.	II-NN-3416



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Item Number	Records Description	Disposition Instructions	Disposition Authority
5500.9	<b>Bed Service Operations Files.</b> Copies of schedules, procedures and methods of bed services, records of services performed and related material.	<b>Nonrecord.</b> Destroy after 1 year or being replaced by new procedures.	
5500.10	<b>Glazing Maintenance Operation File.</b> Copies of schedules, procedures and methods of grounds maintenance activates and related material.	<b>Nonrecord.</b> Destroy after 1 year or being replaced by new procedures.	
5500.11	<b>Waste Management Operation File.</b> Copies of schedules, procedures and methods of grounds maintenance activities and related material.	<b>Nonrecord.</b> Destroy after 1 year or being replaced by new procedures.	
5500.12	<b>Laundry Operations File.</b> Copies of laundry agreements; production requirements, schedules and related material.	<b>Nonrecord.</b> Destroy after 1 year or being replaced by new procedures.	
5500.13	<b>Linen Quota File.</b> Record of the linen quotas for each using element, and related material.	<b>Temporary.</b> Destroy after being replaced by new quota information.	II-NN-3416
5500.14	<b>Linen Inventory File.</b> Record of linens on hand by type, number and related material.	<b>Temporary.</b> Destroy after being replaced by current inventory.	II-NN-3416
5500.15	<b>Linen Replacement File.</b> Records of salvaged linens, copies of requisitions for replacement and related material.	<b>Temporary.</b> Destroy after 1 year.	II-NN-3416
5500.16	<b>Uniform Record File.</b> Record of uniforms issued to employees and related material.	<b>Temporary.</b> Destroy after employee relinquishes property.	II-NN-3416
5500.17	<b>Patient's Valuable Records File.</b> Valuables inventory envelope. Patient's effects inventory, temporary withdrawals, disposition actions and related materials.	<b>Temporary.</b> Destroy 6 months after discharge of patient and after accountability of all items.	II-NN-170-133

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5500.18	<p><b>Beneficiaries Effects and Valuables Audit File.</b> Records of audits of effects, valuables, Government issue clothing and incidentals and related material.</p>	<p><b>Temporary.</b> Destroy after completion of subsequent audit and after discrepancies have been resolved.</p>	II-NN-166-127
5500.19	<p><b>Locker Assignment File.</b> Records of locker assignments showing location by building, room, locker number and related material.</p>	<p><b>Temporary.</b> Destroy when locker is relinquished.</p>	II-NN-3416
5500.20	<p><b>Space Specification File.</b> Record of furniture, draperies, floor and wall coverings, color scheme, accessories, location, size and functional use of room/corridor and related materials.</p>	<p><b>Temporary.</b> Destroy after being replaced by new specification.</p>	II-NN-3416
5500.21	<p><b>Signage Specification File.</b> Record of signage/graphics, both interior and exterior and related materials.</p>	<p><b>Temporary.</b> Destroy after being replaced by new specification.</p>	II-NN-3416
5500.22	<p><b>Interior Design Plan File.</b> Copy of design/signage plan, schedules and related materials.</p> <p><b>NOTE:</b> A number of items within this section are copies, with originals are held in the Office of Acquisition and Material Management. These copies are convenience copies and therefore nonrecords. The original copies that are stored elsewhere are the NARA-approved, dispositioned records.</p>	<p><b>Temporary.</b> Destroy after being replaced by new specification.</p>	II-NN-3416

**5550- Canteen Services**

Item Number	Records Description	Disposition Instructions	Disposition Authority
5550.1	<p><b>Canteen Operation Budget File.</b> Operating budget and related material.</p>	<p><b>Temporary.</b> Destroy 1 year after close of FY covered by budget.</p>	<p>GRS 1.3, item 041  DAA-GRS-2015-0006-0006</p>
5550.2	<p><b>Vending and Service Contract Files.</b> Contracts for bottled beverages vending machines, contract renewals for bottled beverage vending machines, purchase orders, and related material.</p>	<p><b>Temporary.</b> Destroy 1 year after termination of agreement.</p>	<p>II-NN-163-47</p>
5550.3	<p><b>Price Agreement Change Notice File.</b> Price agreements change notices.</p>	<p><b>Nonrecord.</b> Destroy after posting agreement list.</p>	
5550.4	<p><b>Price Agreement List File.</b> Price agreement lists, seasonal price agreement list, and related material.</p>	<p><b>Nonrecord.</b> Destroy after list has been cancelled or superseded.</p>	
5550.5	<p><b>Equipment Inventory (Canteen).</b> Equipment inventory and related material.</p>	<p><b>Temporary.</b> Destroy after replacement by new inventory and audit by VCS auditors or verification by Canteen Officer.</p>	<p>II-NN-163-47</p>
5550.6	<p><b>Equipment Transfer File (Canteen).</b> Equipment transfers and related material.</p>	<p><b>Temporary.</b> Destroy after verification of equipment records by VCS auditors.</p>	<p>II-NN-163-47</p>
5550.7	<p><i>Reserved</i></p>		
5550.8	<p><i>Reserved</i></p>		

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5550.9	<b>Consolidated Inventory (Canteen) Summary File.</b> Consolidated inventory summary, inventory sheet, inventory recapitulation sheet, price inventory sheet, and related material.	<b>Temporary.</b> Destroy after 6 months and after audit by VCS auditors	349-S173
5550.10	<b>Food Department Cost and Inventory Control File.</b> Food department cost control worksheets, food department inventories, and related material.	<b>Temporary.</b> Destroy after 6 months and audit by VCS auditors.	349-S173
5550.11	<b>Overstock List File.</b> Consolidated overstock lists; overstock lists and related material.	<b>Temporary.</b> Destroy after 6 months.	349-S173
5550.12	<b>Receiving Register File.</b> Receiving register.	<b>Nonrecord.</b> Destroy after 1 year and after audit by VCS auditors.	
5550.13	<b>Stock Check Sheet File.</b> Stock check sheets or equivalent material.		
5550.14	<i>Reserved</i>		
5550.15	<b>Employee Work Schedule File.</b> Employee work schedules and related material.	<b>Temporary.</b> Destroy 2 weeks after new schedule is submitted to the VCS field office.	352-S253
5550.16	<b>Wage Schedule Files.</b>	<b>Nonrecord.</b> Destroy after a new schedule is received.	
5550.17	<b>Employee Compensation File (Copies).</b> Copies of claim compensation on account of death, claim for continuance of compensation on account of disability, employee notice of injury or occupational disease, report of hernia, report of termination of total or partial disability, request for treatment of injury under the United States Employees Compensation Act when cause of injury is in doubt, tuberculosis report, and related material.	<b>Temporary.</b> Destroy after 3 months.	350-S247
5550.18	<b>Exit Interview File.</b> Exit interviews related material.	<b>Temporary.</b> Destroy 1 year after close of calendar year involved.	II-NN-3395

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Item Number	Records Description	Disposition Instructions	Disposition Authority	
5550.19	<b>Notification of Personnel Action Files.</b> Standard Form 50 documenting initial employment, promotion, transfers in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.	a. <u>Chronological files copies including fact sheets, maintained in personnel offices.</u>	<b>Temporary.</b> Destroy when two years old.	GRS 2.2, item 050  DAA-GRS-2017-0007-0006
		b. <u>All other copies maintained in personnel offices.</u>	<b>Temporary.</b> Destroy when 1 year old.	GRS 2.2, item 050  DAA-GRS-2017-0007-0006
5550.20	<b>Petty Cash or Change Fund Receipt File.</b> Petty cash or change fund receipts and related material.	<b>Temporary.</b> Destroy when replaced by a new receipt.	350-S227	
5550.21	<b>Financial Statement File.</b> Income and expense statement, retail analysis, food department income and expense analysis related and supporting material.	<b>Temporary.</b> Destroy 3 years after the final year in which prepared.	NN-163-47	
5550.22	<b>Monthly Statement Files.</b> Monthly statement and related material.	<b>Temporary.</b> Destroy after 1 year.	350-S227	
5550.23	<b>Cash Register Tape File.</b> Cash register tapes.	<b>Nonrecord.</b> Destroy after 30 days, unless latest accountability is more than 1 percent short, and then retain for 6 months. (Ref: VSC-I, Part IV, Para 4.01)		
5550.24	<b>Coupon Book Register File.</b> Coupon book register.	<b>Temporary.</b> Destroy 1 year after last entry.	NN-163-47	
5550.25	<b>Payroll Deduction Receipt File (Canteen) (formerly Customer Receipt File).</b> Signed receipt for purchases exceeding \$25.	<b>Nonrecord.</b> Destroy 1 year after purchase, unless they are needed as evidence in any claim action against the Veteran Canteen Service.		

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5550.26	<p><b>ARS Document File (Formerly Sales Journal File).</b> Supporting document for entry into ARS.</p>	<p><b>Temporary.</b> Destroy after 6 months.</p>	349-S173
a. <u>Duplicate bank deposit slips.</u>			
b. <u>Cash register reports.</u>			
c. <u>Daily Cash Count Sheets.</u>			
d. <u>Cash register voids.</u>			
e. <u>Merchandise refund vouchers.</u>			
f. <u>Receipt for miscellaneous collections for any transaction not rung on cash register.</u>			
g. <u>Promotional fund checks.</u>			
5550.27	<p><b>POMS support Documents (Canteen) (formerly Daily Transmittal Records).</b> Daily Transmittal record and supporting documents. The supporting documents will be arranged in the following order:</p>	<p><b>Temporary.</b> Destroy after 6 months.</p>	349-S173
a. <u>Packing slips or related freight records for deliveries.</u>			
b. <u>Worksheets for receiving report entry into POWS.</u>			
c. <u>Invoices of continuing delivery retail purchase, food and vending purchases, or any other item purchased.</u>			
d. <u>Worksheets or back-up documentation for inter and intra canteen transfers.</u>			
e. <u>Documentation such as credit memos to support preparation of chargebacks.</u>			
5550.28	<i>Reserved</i>		

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5550.29	<p><b>Price Adjustment Voucher Worksheet File.</b> Worksheet for preparation and entry into POWS for price adjustment vouchers, selling price adjustment voucher.</p>	<p><b>Temporary.</b> Dispose of 1 fiscal year after the close of the fiscal years in which prepared and after audit by GAO.</p>	349-S173
5550.30	<p><i>Reserved</i></p>		
5550.31	<p><b>Vendors Purchase Order File.</b></p>	<p><b>Temporary.</b> Destroy after 1 year and after audit by VCS audit.</p>	NN-163-47
5550.32	<p><b>Bank Reconciliation File.</b> Bank debit memoranda, bank draft, bank statement, deposit draft, bank statement, deposit slip, and related material.</p>	<p><b>Temporary.</b> Destroy after 10 years.</p>	NN-163-49
5550.33	<p><b>Equipment Voucher File.</b> Equipment record card, equipment summary, depreciation and retirement summary, including documentation in which payment is made to vendors.</p>	<p><b>Temporary.</b> Destroy summary cards after 6 fiscal years. Equipment record cards will become part of distribution ticket file after equipment is removed, sold or replaced.</p>	NN-163-149
5550.34	<p><b>Equipment Inventory File (Finance Center).</b></p>	<p><b>Temporary.</b> Destroy after replacement and after audit by GAO.</p>	NN-163-149
5550.35	<p><b>Equipment Transfer File (Finance Center).</b> Equipment transfer and related material.</p>	<p><b>Temporary.</b> Destroy 1 year after close of fiscal year in which prepared and after audit by GAO.</p>	350-S173
5550.36	<p><b>Credit Card Receipt File (Finance Center)</b> (Formerly Canteen Ledger File).</p>	<p><b>Temporary.</b> Destroy after 3 fiscal years.</p>	NN-168-65

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5550.37	<b>General Ledger File.</b> General ledger or equivalent.	<b>Temporary.</b> Destroy when 25 years old.	NC-15-76-11
5550.38	<b>Journal Voucher File.</b> Journal vouchers and related material.	<b>Temporary.</b> Destroy after 4 years.	NN-163-49
5550.39	<b>Consolidated Inventory Summary File (Finance Office).</b> Consolidated inventory summary, food department cost control worksheets, food department inventories, inventory sheets. Inventory recapitulation sheets, price inventory sheets and related material.	<b>Temporary.</b> Destroy 1 year after close of fiscal year in which prepared and after audit by GAO.	349-S113
5550.40	<b>Voucher Stock File.</b> Documentation on which payment is made to vender.	<b>Temporary.</b> Destroy after 3 years.	352-S185
5550.41	<b>Travel Voucher File.</b> Documentation on which payment is made to travelers.	<b>Superseded</b> by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001). Disposition schedule can be found on 4000.1a of this manual.	
5550.42	<b>Purchase Card File.</b> Documentation purchase made via purchase cards.	<b>Superseded</b> by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002). Disposition schedule can be found on 4000.1b of this manual.	



**5700- Office of Acquisition and Material Management**

Item Number	Records Description		Disposition Instructions	Disposition Authority	
5700.1	<b>Purchase Order Register.</b>		<b>Temporary.</b> Destroy 2 years from date of register.	GRS 5.4, item 010  DAA-GRS-2016-0011-0001	
5700.2	<b>Schedule File.</b> Schedule of contracts, amendments, changes, etc.		<b>Temporary.</b> Destroy 3 months after expiration or cancellation of contract.	II-NNA-2540	
5700.3	<b>Contract File (On Site Audit).</b> (see notes below 3d) Contract records of agreements entered into between the VA and an individual firm, corporation, institution, state or local government, or another Federal agency, under which monies are disbursed for construction, supplies, equipment or services. These records include but are not limited to the following (items a-d):	a. <u>Procurement or purchase organization copy, and related papers.</u>	(1) Transaction dated on or after July 3, 1995, (the effective date of the Federal Acquisition Regulations (FAR) rule defining “simplified acquisition threshold”).	<b>Temporary.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	GRS 1.1, item 010  DAA-GRS-2013-0003-0001
b. <u>Obligation Copy.</u>		Rescinded per GRS Transmittal 23.			
c. <u>Other copies of records described above used by component elements of a procurement office for administrative purposes.</u>		<b>Temporary.</b> Destroy when business use ceases.	GRS 1.1, item 011  DAA-GRS-2013-0003-0002		
d. <u>Data submitted to the Federal Procurement Data System (FPDS).</u> Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to FPDS.		<b>Temporary.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.	GRS 1.1, item 013  DAA-GRS-2016-0001-0002		

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5700.4	<p><b>Vendor Performance File.</b></p> <p>Record of vendor performance containing purchase document number with data relating to follow-up or delinquent deliveries, rejections, declaration of intent to default, and default by contractor.</p>	<p><b>Temporary.</b> Destroy after 2 years from completion of contract, or 2 years after vendor becomes inactive in bidding (whichever comes first).</p>	<p>NN-170-44, item 1</p>
5700.5	<p><b>Form/Form Letter/Publication File.</b></p> <p>Advisory and Procurement Card, back orders, stock control card, title insert, local or equivalent forms used for the same purpose.</p>	<p><b>Temporary.</b> Destroy 1 year after supersession or deletion.</p>	<p>11-NNA-1192, item 14</p>
5700.6	<p><b>Forms and Publications Requests File.</b> (see note below.)</p> <p>Requisition for administrative forms, requisition for publications and related material.</p> <p><b>NOTE:</b> Record category has been superseded or otherwise altered by GRS 1.1. It is included here with the updated disposition schedule for convenience. See item 4000.1 of this manual for more information.</p>	<p><b>Temporary.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.</p>	<p>GRS 1.1, item 010</p> <p>DAA-GRS-2013-0003-0001</p>
5700.7	<p><b>Shipments Not Covered by Bill of Lading Register.</b></p>	<p><b>Temporary.</b> Destroy 2 years after date of final entry on register.</p>	<p>II-NN-169-48, item 1a</p>
5700.8	<p><b>Supply Processing and Distribution (SPD) Requisition File.</b></p> <p>SPD computer generated requisitions (Secondary Pick Tickets) or written requests for supplies from clinical areas.</p>	<p><b>Temporary.</b> Destroy after 30 days.</p>	<p>II-NN-3426, item 1</p>
5700.9	<p><b>Master Item List File.</b></p> <p>Records indicating types of stock items maintained in SPD (Primary) and identification numbers (item Master Number) for each.</p>	<p><b>Temporary.</b> Destroy when replaced by new master item list.</p>	<p>II-NN-3246, item 2</p>
5700.10	<p><b>Sterilization Record File.</b></p> <p>Charts/printouts recording sterilization of items in SPD, lab reports of sterilized cultures (Biological Indicators), sterilization registers and related material.</p>	<p><b>Temporary.</b> Destroy after 36 months.</p>	<p>II-NCI-15- 81-7, item 1</p>
5700.11	<p><b>Tray Layout Card File.</b></p> <p>Cards/instrument sheets indicating names and numbers of each SPD tray or set of items. The name and number of each item in the tray or set and photographs of each complete tray or set.</p>	<p><b>Temporary.</b> Destroy when replaced by card and photograph or when the tray or set is discontinued.</p>	<p>II-NN-3426, item 4</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5700.12	<p><b>Tax Exemption Certification File.</b>            U.S. Government Tax Exemption Certificate Accountable (voided copies), U.S. Government Tax Exemption Certificate (Tabulation Exemption Certificate (Tabulation Sheet), U.S. Government Tax Exemption Identification Card.</p>	<p><b>Temporary.</b> Destroy tax certificate books, including voided certificates, 3 years after the period covered by the related account. Destroy U.S. Government Tax Exemption ID card 3 years after period covered by the related account.</p>	
5700.13	<p><b>Catalog Listing File.</b></p>	<p><b>Temporary.</b> Destroy when superseded by new listing.</p>	<p>II-NNA-2540, item 40</p>
5700.14	<p><b>Equipment Inventory List.</b> (formerly Consolidated Memorandum Receipt File)            Adjustment voucher, certification as to condition of equipment in Personnel Quarters, consolidated memorandum receipt, list of personally owned property placed in official use, loaned property, request, turn-in, and/or receipt of property or services and related material.</p>	<p><b>Temporary.</b> Destroy the list 1 fiscal year after transfer of balances to new form. Destroy all other accountability records after inventory and final adjustments have been made and the balance brought up to date on the consolidated memorandum receipt.</p>	<p>NN-169-48, item 1f1</p>
5700.15	<p><b>Excess Property File.</b>            Authority to dispose of surplus property, circulation route sheets, combination requisition and shipping ticket and continuation sheet, excess property list, motor vehicle inspection, notification of excess serviceable stock, report of excess personal property, report of utilization disposal of personal property, and related material.</p>	<p><b>Temporary.</b> Destroy 1 fiscal year after disposition action has been completed.</p>	<p>NN-169-48, item 1h</p>
5700.16	<p><b>Gas Cylinder Register.</b></p>	<p><b>Temporary.</b> Destroy after 30 days registers that have been completely used and after all cylinders listed have been returned to the contractor.</p>	<p>II-NNA-2540 item 44</p>
5700.17	<p><b>Property Accountability File.</b>            Adjustment Voucher, Consolidated Memorandum Receipt, Reports of Survey, Request, Turn-in and/or Receipts for Property or Services, and related material.</p>	<p><b>Temporary.</b> Destroy after final entry and after adjustments have been made and the balance brought up to date.</p>	<p>NN-169-48, item 1f2</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5700.18	<p><b>Property Voucher File.</b>            Adjustment Voucher, Application for United States Flag for Burial Purposes Bill for Collection (memorandum), Book Purchase Notice and Receipt, Credit Issue Voucher, Debit Voucher, Excess Property List, Issue Lists and Supporting Papers, Issue Request, Subsistence Supplies, Monthly Summary of Departmental Issues, Over, Short, and Damaged Periodical Notification Lists, Receipt Document, and Credit Issue Voucher (VCS).</p>	<p><b>Temporary.</b> Remove to the records storage area after 1 fiscal year. Destroy after 2 years in the records storage area.</p>	<p>NN-169-48, item 1</p>
5700.19	<p><b>Property Voucher Register.</b></p>	<p><b>Temporary.</b> Remove to the records storage area 1 fiscal year after date of final entry. Destroy 2 fiscal years after date of final entry.</p>	<p>NN-169-48, item 1j</p>
5700.20	<p><b>Transaction Register.</b></p>	<p><b>Temporary.</b> Remove to the records storage area 1 fiscal year after date of final entry. Destroy 4 fiscal years after transfer to the records storage area.</p>	<p>NN-169-48, item 1k</p>
5700.21	<p><i>Reserved</i></p>		
5700.22	<p><b>Total Control Register File.</b></p>	<p><b>Temporary.</b> Destroy after 1 fiscal year.</p>	<p>NN-169-48, item 1m</p>
5700.23	<p><b>Requisition Register.</b></p>	<p><b>Temporary.</b> Destroy 2 fiscal years after date of final entry.</p>	<p>NN-169-48, item 1n</p>
5700.24	<p><b>Supply Requisition File.</b>            Combination Requisition and Shipping Ticket, Continuation Sheet, Report of Survey, Request for Initial Equipment, Request Turn-in, and/or Receipt for Property or Services, Requisition for Detergent Item, Shipping Document, and related material (Requirements Analysis Listing).</p>	<p><b>Temporary.</b> Destroy 2 fiscal years after completion or cancellation of requisitions.</p>	<p>NN-169-48, item 1o</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
5700.25	<p><b>Equipment and Testing File.</b> Testing reports of equipment, products, and related material.</p>	<p><b>Temporary.</b> Destroy after 3 years, original and/or copies in the VA Marketing Center and CO, Office of Acquisition and Material Management. Destroy field facility copies after 1 year.</p>	<p>II-NN-169-55, item 1</p>
5700.26	<i>Reserved</i>		
5700.27	<i>Reserved</i>		
5700.28	<p><b>Hearing Aid and Stump Sock Record File.</b> (Denver Distribution Center) Stump sock records, hearing aid repair and battery records or equivalent.</p>	<p><b>Temporary.</b> Retain the current and immediate prior-completed cards. Dispose of all other completed cards. Dispose of immediately cards of deceased beneficiaries, after termination of eligibility, and when items are no longer medically indicated. Dispose of card or delete information after 3 continuous years of inactivity.</p>	<p>NN-166-74</p>

Chapter 6- Healthcare Records

6000- Health Information Management Service (HIMS)

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>6000.1</b></p> <p><b>Health Records Folder File or CHR (Consolidated Health Record).</b></p> <p>This records series contains all professional and administrative material necessary to document the episodes of medical care and benefits provided to individuals by the VA health care system.</p>	<p>a. <u>Health Records Folder.</u> This file constitutes the active medical or clinical records segment of the Consolidated Health Record. It completely documents diagnostic examinations and definitive medical, surgical, psychiatric, and dental care or treatment rendered a patient at a VA health care facility or at VA expense. It contains in written and graphic form the diagnostic; treatment and sociological information compiled by various members of the medical care team who participated in the care of a patient during one or more courses of treatment. In addition, it is intended to meet the legal, administrative, teaching and research needs of the VA medical staff, and provides a means of studying and evaluating the type of care rendered. VA and other monetary benefits are sometimes decided by use of information from the Health Records Folder.</p>		<p><b>Temporary.</b> Retain in VA health care facility until 3 years after last episode of care, and then convert to an inactive medical record.</p>	<p>N1-15-91-6, item 1a</p>
		<p>b. <u>Administrative Records Folder (Correspondence Folder).</u> This file constitutes the active administrative records segment of the Consolidated Health Records. It contains documentation of the patient's legal eligibility for VA medical benefits and the administrative documents relating to various episodes of hospital, nursing home, domiciliary, or outpatient care furnished at VA health care facilities.</p>	<p>Retain in VA health care facility along with the Health Records Folder until 3 years after the last episode of care, and then convert to an inactive Medical record.</p>	<p>N1-15-91-6, item 1b</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>c. <u>Perpetual Medical Record</u>. This record was created by extracting certain documents from the Consolidated Health Record (clinical and administrative segments) after a 3-year period of inactivity from the date of discharge or release of patient from the last episode of care. It contains the following basic medical and administrative records for each episode of care:</p> <p>Application for medical benefits, narrative treatment summary (or equivalent), record of hospitalization (or equivalent), operation report and tissue examination report for each episode of care (if applicable). It also contains records relating to release of information, requests to amend records, records of denied access or disputes as required under the Privacy Act of 1974, and certain Ionizing Radiation and Agent Orange records.</p>	<p>Retire to records storage facility for storage. Retain at facility for the remainder of their respective retention period, then destroy at facility if not recalled along with the Inactive Health Record counterpart. If recalled, the Inactive Health Record counterpart must be recalled also so that the records can be converted into a Health Records Folder File. If the records are recalled, the retention period begins anew.</p> <p><b>NOTE:</b> This series has been phased out as a records series. Disposition schedule is for existing perpetual medical records. (N1-15-91-6, Item 1c)</p>	<p>N1-15-91-7, item 1</p>
	<p>d. <u>Inactive Health Record</u>. This record contains all material relating to various episodes of hospital, nursing home, domiciliary, or outpatient care provided by VA health care facilities. It also consists of an application for medical benefits, narrative treatment summary (or equivalent), record of hospitalization (or equivalent), operation report, tissue examination report, electroencephalograph reports, electrocardiograph reports, autopsy report (if applicable), FOIA and PA related records, certain Ionization Radiation and Agent Orange records, and other related administrative and medical records.</p>	<p>Retire annually to the records storage facility. If not recalled by the accessioning facility for reactivation, destroy by WITNESS DISPOSAL 72 years after retirement (75 after the last episode of care).</p>	<p>N1-15-91-6, item 1d</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority		
6000.2	Electronic Health Record (EHR).	a. <u>Input.</u>	(1) Paper Source Documents.	(a) Hardcopy version of information manually inputted into the Electronic Health Record System (EHRS).	<b>Temporary.</b> Destroy after verification of accurate entry of information into EHRS.	N1-15-02-3, item 1a
			(b) Hardcopy version of information scanned onto optical disk or other magnetic media.	<b>Temporary.</b> Destroy after verification of accurate scan onto optical disk or other magnetic media.	N1-15-02-3, item 1b	
		(2) Interim Electronic Source Information. Electronic version of source information obtained from other electronic databases, optical disk, or other magnetic media not considered as part of the consolidated patient medical record. May include information generated electronically by medical equipment.	<b>Temporary.</b> Destroy/delete after migration of information to another electronic medium. Destruction of interim version of information is not to occur until it has been determined that the migrated information represents an exact duplicate of the previous version of the migrated information.	N1-15-02-3, item 2		
		b. <u>Electronic Final Version of Health Record.</u> Final, consolidated, electronic version of a Patient Medical Record. Includes information migrated from interim electronic information systems, electronic medical equipment, or information entered directly into the patient medical record information system. May be stored on optical disks or other magnetic media.	<b>Temporary.</b> Destroy/delete 75 years after the last episode of patient care.	N1-15-02-3, item 3		
		c. <u>Output.</u>	(1) Output in Electronic Form may include electronic display versions of patient orders, operation reports, health summaries, etc., and other documents associated with patient medical records.	<b>Temporary.</b> Destroy/delete when no longer needed for administrative or clinical operations.	N1-15-02-3, item 4	
		(2) Output in Paper or other Hard Copy Form (may include output consisting of printed hardcopy patient medical records).	<b>Temporary.</b> Destroy when no longer needed for administrative or clinical operations.	N1-15-02-3, item 5		
		d. <u>Documentation.</u> May include data dictionaries, field layouts, data entry instructions, and other manuals in paper and electronic form.	<b>Temporary.</b> Destroy/delete when superseded or obsolete.	N1-15-02-3, item 6		
		e. <u>Word Processing and Electronic Records.</u>	Deleted by NARA with no replacement			



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Item Number	Records Description	Disposition Instructions	Disposition Authority	
6000.3	<p><b>Application for Medical Benefits (Applicants Not in Need of Care File).</b></p> <ul style="list-style-type: none"> <li>▪ Rejected applications for hospital treatment, domiciliary care, and related material not resulting in a treatment or member status</li> <li>▪ Rejected applications for outpatient dental treatment and found not to be in need of care</li> <li>▪ Rejected applications for outpatient treatment and found not to be in need of care</li> </ul>	<p><b>Temporary.</b> Destroy after 2 years applications dated prior to September 24, 1969. Rejected applications initiated after September 24, 1969, will be filed in the patient's health records folder, if one exists within the facility or a health records folder will be created.</p>	<p>II-NN-3293, item 1</p>	
6000.4	<p><b>Application for Medical Benefits (Transfer-Out File).</b> Record of applications for medical benefits transferred to other VA facilities.</p>	<p><b>Nonrecord.</b> Destroy after 1 year.</p>		
6000.5	<p><b><u>Privacy Complaint Files moved to item number 1006.19.</u></b></p>			
6000.6	<p><b>Electronic Tracking System Files.</b> Electronic complaint files created to produce a tracking system such as the Privacy and Security Event Tracking System (PSETS) which is retrievable by a number. The files are used to track any grievance concerning an actual or suspected breach of privacy of personal information.</p>	<p><b>Temporary.</b> Delete files 6 years after corresponding case file is closed.</p>	<p>N1-015-08-1</p>	
6000.7	<p><b>Domiciliary Members Treatment Folder.</b> Type J medical and dental treatment records, which document services rendered to a domiciliary member during his/her stay at a domiciliary. This records folder series was discontinued at domiciliary on May 15, 1971, and was replaced by the Health Records Folder Series.</p>	<p>a. <u>Domiciliary Members Treatment Folders on hand at domiciliary on or after May 15, 1971.</u></p>	<p><b>Temporary.</b> Convert to Health Records Folder and follow disposition requirements of that file series.</p>	<p>NI-15-87-4, item 2a</p>
		<p>b. <u>Domiciliary Members Treatment Folders retired to Federal and Records Centers (FARCs) on or after June 20, 1968.</u></p>	<p><b>Temporary.</b> Retain at records storage facility until recalled for reactivation and subsequently converted to a Health Records Folder, or destroy by WITNESS DISPOSAL 75 years from date of separation or release of members from domiciliary.</p> <p><b>NOTE 1:</b> Folders have been transferred to the VA Records Center.</p> <p><b>NOTE 2:</b> Folders retired for 1963 records and prior years' records are eligible for destruction in the year 2039.</p>	<p>NI-15-87-4, item 2a</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
6000.8	<p><b>Domiciliary Members Correspondence Folder.</b></p> <p>All essential administrative records accumulated during member's stay at the domiciliary which document member's admission, maintenance, activities, development, treatment rehabilitation, separation or discharge. Also included are records related to disciplinary actions, leaves of absence or furloughs, correspondence between the domiciliary and welfare agencies, service groups and public officials; reports of previous hospitalization or domiciliary care, etc. This records series was discontinued at domiciliary and was replaced by the Health Records Folder series.</p>	<p>a. <u>Domiciliary Members Correspondence Folders on hand at domiciliaries on or after May 15, 1971.</u></p>	<p><b>Temporary.</b> Convert to Administrative Records Folder (Correspondence Folder) and follow disposition requirements of that file series.</p>	<p>NI-15-87-4, Item 3a</p>
		<p>b. <u>Domiciliary Members Correspondence Folders retired to Federal Archives and Records Centers (FARCs) on or after June 20, 1968.</u></p>	<p><b>Temporary.</b> Retain at records storage facility until recalled for reactivation and subsequently converted to a Health Records Folder, or destroy by WITNESS DISPOSAL 75 years from the date of separation or release of member from domiciliary.</p> <p><b>NOTE 1:</b> Folders have been transferred to the VA Records Center.</p> <p><b>NOTE 2:</b> Folders retired for 1963 records and prior years' records are eligible for destruction in the year 2039.</p>	<p>NI-15-87-4, Item 3b</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<p><b>6000.9</b></p>	<p><b>Outpatient Treatment Folder File.</b>                      Folders under this record series have been established only for veterans treated for service connected and/or adjunct conditions on an outpatient basis. The file contains medical histories and physical examinations, VA treatment and progress records, fee basis reports of medical care, VA and non-VA hospital summaries, and other medical records, including dental treatment records, mental hygiene, prosthetic and sensory aid, and similar records. This folder contains professional and administrative records pertaining to outpatient services rendered and are designed to give the professional staff as complete a clinical background as is possible upon which to base conclusions and determine courses of outpatient treatment and to take action and properly document such administrative actions as are necessary and required.</p> <p>This records series has been phased out as a separate folder file, and new folders have not been established since October 1, 1983. The information formerly maintained under this series is now being maintained in the two active segments of the Health Records Folder File or Consolidated Health Record (CHR), Item 6000.1.</p>	<p>a. <u>Outpatient Treatment Folders currently on hand at VA medical facilities.</u></p>	<p><b>Temporary.</b> Transfer to Health Record File or CHR and retain in VA health care facility until 3 years after last episode of care, then convert to a Perpetual Medical Record and an Inactive Medical Record. (NI-15-87-4, Item 4a)</p> <p><b>NOTE:</b> Disposition of Dental X Ray Film which may be filed in this folder is in accordance with item 6600.6.</p>	<p>N1-15-87-4 Item 4a</p>
		<p>b. <u>Outpatient Treatment Folders (OTFs) retired to Federal Records Centers (FRCs) on or after June 20, 1968.</u></p>	<p><b>Temporary.</b> Retain at records storage facility until recalled for reactivation and subsequently converted to a Health Records Folder, or destroy by WITNESS DISPOSAL 75 years from date of separation or release of members from domiciliary.</p> <p><b>NOTE 1:</b> OTFs were transferred from FRCs to the VA Records Center in 2004.</p> <p><b>NOTE 2:</b> Folders retired for 1963 records and prior years records are eligible for destruction in the year 2039.</p>	
<p><b>6000.10</b></p>	<p><b>Hospital Counseling Resources File.</b>                      Information concerning local community hospital costs, local charges for physicians' services, hospitalization, insurance benefits, and related material used to counsel NSC veterans.</p>	<p><b>Nonrecord.</b> Destroy when replaced by more current information.</p>		

## 6010- Patient Generated Data

Patient Generated Data (PGD) is data that is entered or provided by patients and veterans or their authorized delegates. PGD will be created, accessed and updated by patients and veterans through multiple method, including mobile applications, desktop applications, telehealth processes, and simple text messages along with other modalities.

Patients and veterans will have the ability to print and to share selected data they enter with their healthcare providers and others. Authorized healthcare team members from the Veterans Health Administration and Department of Defense will be able to view select Patient Generated Data for improving health and health care through shared decision making.

The utilization of the data for clinical management, such as copying to the VA electronic health record (EHR) or documentation in the EHR related to the PGD are separate actions outside this schedule. The storage of and transfer of patient generated data will comply with VA security policies for Personally Identifiable Information (PII) and Protected Health Information (PHI).

Item Number	Records Description	Disposition Instructions	Disposition Authority
6010.1	<p><b>Patient/User Profile Administration or Descriptive Items.</b></p> <p>Examples include demographics, phone numbers, addresses, insurances, etc. Data that has been marked for deletion by the patient and or all data not marked for deletion by patient but no account activity or sign on (access) for over 5 years.</p> <p><b>NOTE:</b> The patient or Veteran has the ability to add and modify this data to include indicating that the Patient/User information is no longer current or their belief that the information is no longer needed. Clinician does not have ability to modify this data or mark it for deletion.</p>	<p><b>Temporary.</b> Destroy 5 years after being marked for deletion.</p> <p><b>NOTE:</b> The counter for destruction of records other than those marked for deletion by the Veteran starts from the last time that the Veteran logged into the system. In other words, if the Veteran has not logged in for 5 years, the record is destroyed.</p>	DAA-0015-2016-0001-0001
6010.2	<p><b>Patient Generated Health Data (PGHD) and Observation of Daily Living Data (ODLD).</b></p> <p>PGHD is data on specific health related areas but excludes documents or images that are stored which may be related to those domain areas. ODLD is used to describe all other patient entered data not elsewhere specified in this document as PGHD. The patient or Veteran has the ability to add and modify this data to include indicating that the information is no longer current or their belief that the information is no longer needed (can be deleted). Clinician does not have ability to modify this data or mark it for deletion.</p> <p>Data that has been marked for deletion by the patient and or all data not marked for deletion by patient but no account activity or sign on (access) for over 5 years.</p>	<p><b>Temporary.</b> Destroy 5 years after being marked for deletion.</p>	DAA-0015-2016-0001-0002

Item Number	Records Description	Disposition Instructions	Disposition Authority	
6010.3	<p><b>Medical Assessments/Forms.</b></p> <p>This data includes completed collections of information that are saved as a single discreet item although potentially consisting of multiple questions or observations. Examples include medical assessment forms (depression screening, Prostrate Symptoms assessment) and other assessment such as satisfaction or feedback forms. The patient or Veteran has the ability to add and modify this data to include indicating that the information is no longer current or their belief that the information is no longer needed (can be deleted). Clinicians do not have the ability to modify this data or mark it for deletion.</p> <p>Data that has been marked for deletion by the patient and or all data not marked for deletion by patient but no account activity or sign on (access) for over 5 years.</p>	<b>Temporary.</b> Destroy 5 years after being marked for deletion.	DAA-0015-2016-0001-0003	
6010.4	<p><b>Stored Images/Documents.</b></p> <p>This data includes images and documents with associated metadata and text. Examples include specific documents and images that may be of various types and cover varying needs. The patient or Veteran has the ability to add and modify this data to include indicating that the information is no longer current or their belief that the information is no longer needed (can be deleted). Clinician does not have ability to modify this data or mark it for deletion.</p>	a. <u>Data that has been marked for deletion by the patient.</u>	<b>Temporary.</b> Destroy 2 years after being marked for deletion.	DAA-0015-2016-0001-0004
		b. <u>All data not marked for deletion.</u>	<b>Temporary.</b> Destroy after 5 years if no account activity or sign on (access) by the patient.	DAA-0015-2016-0001-0004
6010.5	<p><b>Special Forms.</b></p> <p>This data includes forms completed by patients and Veterans that required special handling. Specifically, they are retained until the account is terminated and the patient/Veteran cannot mark for deletion. Examples include forms authorizing access to their health data or that authorize others outside of a healthcare professional to access their data. Clinician does not have ability to modify this data or mark it for deletion.</p>	<b>Temporary.</b> All data is destroyed after 5 years if no account activity or sign on (access) by the patient.	DAA-0015-2016-0001-0005	
6010.6	<p><b>Video/WAV Files (multimedia).</b></p> <p>This data includes items that are audio, audio/video or just video. Examples include data stored in a multimedia format to document specific items at a point in time that are not intended for extended longitudinal comparison.</p>	<b>Temporary.</b> All data is destroyed after 2 years after being created.	DAA-0015-2016-0001-0006	

6050- Vet (Outreach) Center Records

Item Number	Records Description		Disposition Instructions	Disposition Authority
6050.1	Outreach Counseling Folder File.	a. <u>Psychological Counseling</u> . Records consisting of important counseling-related material from the counseling staff and significant psychological testing documents.	<b>Temporary.</b> Retain in Vet Center until 5 years after the last episode of care, then retire to inactive off-site storage. Destroy at inactive off-site storage after 45 years.	N1-15-94-6, item 1
		b. <u>General Administration</u> . Records consisting of General Administration Processing records, such as referrals, notes, and similar material where non-counseling services were provided.	<b>Temporary.</b> Destroy when no longer needed.	N1-15-94-6, item 2

### 6100- Nursing Service

Item Number	Records Description	Disposition Instructions	Disposition Authority
6100.1	<p><b>Twenty-Four (24) Hour Report File.</b> Twenty-Four (24) Hour reports of patient's condition and nursing unit activities.</p>	<b>Temporary.</b> Destroy after 45 days.	II-NN-3426
6100.2	<p><b>Alcohol and Narcotics Record File.</b> Alcohol and narcotics record where all items were dispensed on the ward. Alcohol and narcotics inventory and certification records.</p> <p><b>NOTE:</b> After completion of the monthly alcohol and narcotics ward inspection, these records may be sent to the inactive records storage area pending expiration of the retention period.</p>	<b>Temporary.</b> Destroy after 2 years.	II-NN-3426
6100.3	<p><b>Community Nursing Program File.</b> Copies of nursing care referral forms, copies of requests for community home nursing care, service connected (SC), copies of requests for community home nursing care non-service connected (NSC), and related material.</p> <p><b>NOTE:</b> The copy returned from the community-nursing agency is filed in the patient's medical record.</p>	<b>Temporary.</b> Destroy after 30 days.	II-NN-3426
6100.4	<p><b>Detail Sheet File.</b> Detail sheets for identifying closed ward patients upon departure and return to ward.</p>	<b>Temporary.</b> Destroy after all listed patients have been returned to the ward or otherwise accounted for.	II-NN-3225
6100.5	<p><b>Medication Card File.</b> Cards indicating types of medicines ordered by physicians and used by nurses for reference in preparation, administration, and recording of the medication.</p>	<b>Temporary.</b> Destroy after medicine was discontinued.	II-NN-3426
6100.6	<p><b>Patient Count File.</b> Patient count forms used to identify closed ward patients at change of tour of duty.</p>	<b>Temporary.</b> Destroy 30 days after form is completed.	II-NN-3426
6100.7	<p><b>Procedure Card File.</b> Cards outlining care and treatment for certain diseases and conditions.</p>	<b>Temporary.</b> Destroy when superseded by a new procedure.	II-NN-3426

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Item Number	Records Description	Disposition Instructions	Disposition Authority
6100.8	<p><b>Daily Assignment File.</b> Daily assignments of Nursing Service personnel.</p>	<p><b>Temporary.</b> Destroy after 14 days.</p>	<p>II-NN-3426</p>
6100.9	<p><b>Fee Basis Nurses File.</b> Copies of authorizations and invoices for medical service, individual record of visiting staff, visit record, applications for nurses in VHA, and related material.</p>	<p><b>Temporary.</b> Destroy 3 months after termination of service.</p>	<p>II-NN-3426</p>
6100.10	<p><b>Volunteer Worker File.</b> Volunteer worker information card.</p>	<p><b>Temporary.</b> Destroy 6 months after volunteer ceases to work for Nursing Service and after and after report has been made as to the number of hours worked.</p>	<p>II-NN-3426</p>
6100.11	<p><b>Tour of Duty Record File.</b> Tour of duty records of Nursing Service personnel.</p>	<p><b>Temporary.</b> Destroy after 30 days.</p>	<p>II-NN-3426</p>
6100.12	<p><b>Monthly Report of Restraint and Seclusion.</b> Information such as the patient's name, name of physician who ordered the type of restraint or seclusion action, type of restraint or seclusion, time of action, description of patient's behavior, etc.</p>	<p><b>Temporary.</b> Destroy after 2 years or after purpose has been served, whichever is sooner.</p>	<p>N1-15-95-3, item 1</p>



**6110- Social Work Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority
6110.1	<p><b>Patient Index File.</b> Social Work Service Data Cards or other automated Data Processing (ADP) generated listings of individual veterans, including basic identifying data.</p>	<p><b>Temporary.</b> Transfer active cards to inactive section after case is closed. Destroy inactive cards after 6 years of social work inactivity and after discharge of patient.</p> <p><b>NOTE:</b> When a case is reopened before the end of 6 years, the information on the old cards will be brought forward to the new card and the old card(s) destroyed immediately. Destroy no activity cards immediately upon discharge of patient.</p>	II-NN-3270
6110.2	<p><b>Social Work Clinical Working File.</b> Copies of social work reports, working papers, treatment and progress notes and related material.</p>	<p><b>Nonrecord.</b> Destroy after purpose has been served.</p>	
6110.3	<p><b>Social Worker Index File.</b> Copies of Social Work Service Data cards used as an index to the social work cases including ADP generated listings and/or Patient Data Code Sheets.</p>	<p><b>Temporary.</b> Destroy after case is closed and after preparation of necessary reports and summaries.</p>	II-NN-3270
6110.4	<p><b>Community Placement (Foster Home) Facilities File.</b> Application for participation in Community Placement Program, Correspondence to and from VA and Community placement facilities and related material.</p>	<p><b>Temporary.</b> Destroy approved applications 1 year after home withdraws from program. Destroy disapproved applications after 5 years.</p>	II-NN-3270
6110.5	<p><b>General Resource File.</b> Records of information of health, welfare, legal, and financial resources for veterans and their dependents. Brochures, pamphlets, etc., and related material.</p>	<p><b>Temporary.</b> Destroy when obsolete or rescinded.</p>	II-NN-3270

**6120- Rehabilitation Medicine Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority
6120.1	<p><b>Patient Index Card and Attendance Record File.</b>                      Index card and attendance records indicating patient's name, diagnosis, treatment and record of attendance in Physical Medicine and Rehabilitation Service by patients treated. Information is used for readmission purposes in the event the patient returns for treatment, and for administrative and reporting purposes.</p>	<p><b>Temporary.</b> Destroy 2 years after discharge of patient.</p>	<p>NI-15-87-4, item 9</p>
6120.2	<p><b>Rehabilitation Medicine Patient Folder File.</b>                      Copies of various clinical records and related documents used to record treatment and services provided to patients are combined in this file upon completion of treatment.</p>	<p><b>Temporary.</b> Destroy 2 years after discharge of patient, or when no longer needed by Chief, Physical Medicine and Rehabilitation Service (unusual or exceptional cases only), whichever is later, and after record of treatment has been filed in the Health Records Folder File (or Consolidated Health Record).</p>	<p>NI-15-87-4, item 10</p>
6120.3	<p><b>Volunteer Workers Record File.</b>                      Volunteer workers information card.</p>	<p><b>Temporary.</b> Destroy 6 months after volunteer ceases to work for the service.</p>	<p>II-NN-3270, item 26</p>

**6200- Surgical Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority
6200.1	<p><b>Operation Log File.</b>                      Operation logs, which indicate type of operation, date, patient's name, surgeon, assistant scrub nurse, sponge count, anesthetist, agent, method, pre-operation and post operation diagnoses, complications, and other information.</p>	<p><b>Temporary.</b> Destroy after 20 years.</p>	<p>N1-015-94-2, item 1</p>
6200.2	<p><b>Schedule of Operation File.</b>                      Workload data consisting of the date the surgery was performed, members of the surgical and nursing teams, and other information pertaining to the surgery of a patient.   <b>NOTE:</b> Duplicate files are destroyed when no longer needed for reference purpose.</p>	<p><b>Temporary.</b> Destroy after 3 years.</p>	<p>N1-015-94-2, item 2</p>
6200.3	<p><b>Mechanical Circulatory Assist Device (MCAD) Tracker.</b>                      The MCAD tracker enables the National Surgery Office to fulfill the following responsibilities stipulated in VHA Directive 2012-033 Heart Failure Treatment Utilizing a Ventricular Assist Device or Total Artificial Heart:                      Patient Selection and Funding:</p> <ul style="list-style-type: none"> <li>▪ Establishing a database for tracking Veterans who underwent the implantation of a mechanical circulatory assist device (either a ventricular assist device (VAD) or a total artificial heart (TAH))</li> <li>▪ Monitoring patient outcomes</li> <li>▪ Administering and providing timely distribution of VHA Central Office special purpose funds to an approved in-house VHA cardiac surgery program or an approved VHA heart transplantation program for the care and treatment of Veterans receiving a VAD or TAH</li> </ul>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 20 years after cutoff.</p>	<p>DAA-0015-2016-0006-0001</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
6200.4	<p><b>Transplant Referral and Cost Evaluation/ Reimbursement (TRACER).</b></p> <p>TRACER is a web-based application that enables (a) VA medical centers to enter referrals for Veterans who may require a solid organ or bone marrow transplant (b) VA transplant centers to review referrals and enter decisions regarding the Veteran’s eligibility for further transplant evaluation; (c) enter transplant procedures and Veteran lodging costs for reimbursement by the National Surgery Office.</p> <p><u>Referral Process: VA medical centers</u></p> <ul style="list-style-type: none"> <li>▪ Provide information about the Veteran being referred for transplant evaluation (e.g., demographics, type of transplant desired, VA transplant center desired, names of referring physician, and date of VACO Transplant Referral Note in CPRS).</li> <li>▪ Complete the electronic organ-specific transplant checklist.</li> <li>▪ After referral is submitted in TRACER, the VA transplant center of choice receives an email notification of the referral.</li> <li>▪ The VA transplant centers reviews the referral in TRACER and the VACO Transplant Referral Progress Note in CPRS using VistA Web.</li> <li>▪ The VA transplant center enters a decision (regarding the Veteran’s eligibility for further transplant evaluation) into TRACER.               <ul style="list-style-type: none"> <li>○ VATC referral decisions are expected within 5 business days for stable patients, 48 hours for emergency patients.</li> </ul> </li> </ul> <p>After the VATC enters the decision, the referral submitter and members of the Referring Center Notification Group receive an email notification with link to the referral decision and next steps. TRACER also enables VA medical centers to re-submit referrals, request a second opinion by a different VA transplant center, and submit an “Appeal” to the Transplant Surgical Advisory Board. TRACER enables VA transplant centers to electronically transfer patients from one transplant center to another.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 20 years after cutoff.</p>	<p>DAA-0015-2016-0006-0002</p>
6200.5	<p><b>Referral Review Process: VA Transplant Center.</b></p> <p>After referral is submitted in TRACER, the VA transplant center of choice receives an email notification of the referral. The VA transplant centers reviews the referral in TRACER and the VACO Transplant Referral Progress Note in CPRS using VistA Web 3. The VA transplant center enters a decision (regarding the Veteran’s eligibility for further transplant evaluation) into TRACER. VATC referral decisions are expected within 5 business days for stable patients, 48 hours for emergency patients. After the VATC enters the decision, the referral submitter and members of the Referring Center Notification Group receive an email notification with link to the referral decision and next steps. TRACER also enables VA medical centers to re-submit referrals, request a second opinion by a different VA transplant center, and submit an “Appeal” to the Transplant Surgical Advisory Board. TRACER enables VA transplant centers to electronically transfer patients from one transplant center to another.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 20 years after cutoff.</p>	<p>DAA-0015-2016-0006-0003</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
6200.6	<p><b>Pre-Operative Case Management Tool.</b></p> <p>Before a provider can determine whether a patient is a candidate for surgery, the patient often needs a series of preoperative assessments and procedures. Because VA facility staff are discouraged from using independent mechanisms to track patients, as these may be perceived as unauthorized waitlists, the National Surgery Office (NSO) developed the Pre-Operative Case Management (POCM) tool to track patients' required pre-operative consults, diagnostic tests, and procedures before a determination of surgical candidacy can be made. The POCM tool is not a waitlist nor intended to be a system of record, and it does not replace existing VA scheduling or medical record systems. Use of this tool is optional.</p> <p>POCM coordinators and/or providers at a facility enter patients and workups ordered by the clinician that they anticipate may delay the determination of surgical candidacy. Once all workup items are completed, POCM alerts designated personnel the patient information is ready for review. If no additional workups are necessary, surgical candidacy determination is noted and the patient status is set to complete. Patient workup information is maintained in a SharePoint list for presentation to POCM users while workups are pending. All patient and workup information are also written to a SQL database to provide PHI blinded reporting capabilities. After 30 days, patient data with a Complete status is removed from the SharePoint view.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 10 years after cutoff.</p>	<p>DAA-0015-2016-0006-0004</p>
6200.7	<p><b>Continuous Improvement in Cardiac Surgery Program (CISCP) Database.</b></p> <p>Monitor and report cardiac surgical procedures performed in any VHA cardiac surgical program using unadjusted and risk-adjusted outcomes data.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 20 years after cutoff.</p>	<p>DAA-0015-2016-0006-0005</p>
6200.8	<p><b>National Surgical Quality Improvement Program (NSQIP) Database.</b></p> <p>Purpose: To monitor and report non-cardiac surgical procedures performed in any VHA surgical program using unadjusted and risk-adjusted outcomes data.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 20 years after cutoff.</p>	<p>DAA-0015-2016-0006-0006</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
6200.9	<p><b>VA Surgical Quality Improvement Program (VASQIP) Database.</b></p> <p>Monitors and reports risk-adjusted (O/E) surgical outcomes and actual (unadjusted) mortality for major surgical procedures performed at each VA medical center for all operations combined and for each surgical specialty on a quarterly basis and for the rolling year. An analysis and review of the VA medical center structure and process will be prompted based upon the reporting of a statistically high O/E ratio.</p> <p>The VASQIP uses logistic regression analysis to calculate the probability of death or complication for each patient in the database, based on the patient's preoperative risk factors. These probabilities can then be summed for all surgical procedures performed by the VHA surgical programs to arrive at an expected number of events (mortality, morbidity) for all operations including the following surgical specialties: cardiac surgery, general surgery, neurosurgery, orthopedic surgery, otolaryngology, plastic surgery, thoracic surgery, urology, and vascular surgery. The observed number of events (O) divided by the expected number of events (E) produces the O/E ratio for the procedures performed at any single VA medical center. As reference, an O/E ratio of 1.0 indicates that the observed number of events is equal to the number of events expected based upon the patient mix in a given specialty at that VA medical center.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 20 years after cutoff.</p>	<p>DAA-0015-2016-0006-0007</p>
6200.10	<p><b>Ophthalmic Surgical Outcome (OSOD) Database.</b></p> <p>Monitor and report ophthalmic procedures performed in a 5-site pilot group of VHA surgical programs to evaluate functional outcomes and assess feasibility of data capture at all VHA surgical programs.</p> <p><b>NOTE:</b> Data within the OSOD database reflect cataract surgeries for April 2009 through September 2011 at 5 pilot sites.</p>	<p><b>Temporary.</b> Cutoff at end of CY. Destroy 7 years after cutoff.</p>	<p>DAA-0015-2016-0006-0008</p>

### 6270- Spinal Cord Injury Service

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>6270.1</b></p> <p><b>Spinal Cord Dysfunction Registry.</b></p> <p>Information collected includes patients' names, social security numbers, dates of birth, registration dates, information about whether patients are receiving services from VA's spinal cord system of care, neurologic level of injury, etiology, and other related spinal cord injury information.</p>	a. <u>Master Files (centralized database).</u>		<b>Temporary.</b> Cutoff at the last unique patient entry or the death of a particular patient. Delete 75 years after cutoff.	N1-015-05-1, item 1
	b. <u>Local Files (SCI centers and clinics).</u>		<b>Temporary.</b> Delete when replaced by a subsequent file or 75 years after date of last activity for a particular patient.	N1-015-05-1, item 2
	c. <u>Backup Files.</u>		<b>Temporary.</b> Delete when master files have been deleted or replaced with a subsequent backup file.	N1-015-05-1, item 3
	d. <u>Input Records.</u>		<b>Temporary.</b> Destroy after data have been entered into local files.	N1-015-05-1, item 4
	e. <u>Output Records.</u>		<b>Temporary.</b> Destroy when no longer needed for administrative, legal, audit, or other operational purposes.	N1-015-05-1, item 5
	f. <u>Documentations.</u>		<b>Temporary.</b> Destroy or delete when replaced or superseded.	N1-015-05-1, item 6
	g. <u>Electronic copies of mail and word processing applications.</u>		<b>Temporary.</b> Destroy or delete within 180 days after the recordkeeping copy has been produced.	N1-015-05-1, item 7a
			(2) Copies used for dissemination, revision, or updating.	<b>Temporary.</b> Destroy or delete when dissemination, revision, or updating is completed.

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Item Number	Records Description	Disposition Instructions	Disposition Authority
6270.2	<p><b>Report of Patients with Spinal Cord Injury or Disease – Patient’s File.</b></p> <p>Quarterly reports of admission and discharge data used to project workload trends monitor and compare workloads of hospitals designated as spinal cord injury centers.</p> <p><b>NOTE:</b> Report discontinued on October 1, 2001.</p>	<p><b>Temporary.</b> Destroy after 5 calendar years.</p>	<p>NCI-15-85-3, item 2</p>
6270.3	<p><b>Spinal Cord Injury Home Care Unit Quarterly Activity Report File.</b></p> <p>Quarterly activity reports used to project workload trends monitor and compare workloads of home care units.</p> <p><b>NOTE:</b> Report discontinued on October 1, 2001.</p>	<p><b>Temporary.</b> Destroy after 5 calendar years.</p>	<p>NCI-15-85-3, item 3</p>



6300- Neurology Service

Item Number	Records Description		Disposition Instructions	Disposition Authority
6300.1	<p><b>Electroencephalograph (EEG) Records File.</b></p> <p>A typical EEG detects electrical impulses of the brain and records them on long sheets of graph paper (tracings). A single EEG procedure can consist of at least 120 sheets of graph paper. VA form 10-2614's, Electroencephalographic Request and Report (interpretation), is used to record the results of a tracing.</p> <p><b>NOTE:</b> Most EEG are scanned into VistA/CPRS as a complete Electronic Health Records (EHR). Once the VA form 10-2614 is placed into VistA/CPRS it takes on the record retention schedule of the (EHR) of 75 years after last episode of care (series 6000.2 of this manual).</p>	a. <u>Electroencephalograph Tracing.</u>	<b>Temporary.</b> Cutoff at the end of calendar year in which EEG record was created, destroy 7 years after cutoff.	N1-15-97-1, item 1
		b. <u>Electroencephalograph Request and Report (interpretation).</u> VA Form 10-2614, Electroencephalograph Request and Report, used to record the results of an EEG tracing.	<b>Temporary.</b> Cutoff at end of calendar year in which VA form 10-2614 was interpreted by provider, destroy 30 years after cutoff. This schedule only applies to VA form 10-2614 maintained in EEG Office.	N1-15-98-01, item 1

## 6400- Mental Health and Behavioral Sciences Service

Notes, psychological evaluations, recording sheets, psychological test material and related material.

Item Number	Records Description	Disposition Instructions	Disposition Authority
6400.1	<p><b>Clinical Psychology Research Folder.</b></p> <p>Clinical psychology folders used in research projects (no longer accumulating). Clinical psychology folders used in research projects after discharge of patient.</p>	<p><b>Temporary.</b> Manage these records under the records schedule of Office of Research and Development (ORD) Chapter 8, SIC 8100 series.</p>	DAA-0015-2015-0005-0001/0002
6400.2	<p><b>Mental Health/Hygiene Folder File.</b></p> <p>Detailed working noted on the clinic therapist, records of therapy sessions, psychological test books, protocols and other psychological data, trail visits notes, psychological evaluations, treatment and progress notes, neurological examinations, physical therapy examinations, hospital reports of examination, release of information documents, correspondence, and copies of initial, periodic, and closing reports.</p>	<p><b>Temporary.</b> These records are to be filed within the patient/veteran's electronic health records. See SIC 6000 series of this manual.</p>	DAA-0015-2015-0005-0003
6400.3	<p><b>Psychology Test Data and Worksheet File.</b></p> <p>Recording sheets, patient response and answer sheets, raw score and summary score sheets, and related materials gathered and recorded as part of a psychological and/or neuropsychological full, brief or screening evaluation. These are not part of the patients Electronic Health Records (EHR) and can exist in any form or media, including electronic.</p> <p><b>NOTE 1:</b> This schedule does not include Psychological Assessment Data that resides within VistA Mental Health Assistant data base.</p> <p><b>NOTE 2:</b> If Psychological Assessment Data is required for reexamination, Compensation and Pension (C&amp;P) purposes or training requirements do not destroy the item in 6400.3. Once these requirements and the disposition schedule has been met then the records can be destroyed per the NARA approved records schedule.</p>	<p><b>Temporary.</b> Cutoff originals and copies at the end of CY. Destroy 7 years(s) after cutoff.</p>	DAA-0015-2015-0005-0004

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Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>6400.4</b></p>	<p><b>Homeless Providers Grant and Per Diem Files.</b> Applications (initial and second), site designation, schematics drawings, data relating to homeless demographics, payment documents to grant recipients, supporting letters, general correspondence, and correspondence relating to inspections drawings.</p>	<p>a. <u>Files relating to applications who were awarded vans.</u></p>	<p><b>Temporary.</b> Destroy after 5 years.</p>	<p>NN-170-44, item 1</p>
		<p>b. <u>Files relating to applicants who were awarded grants to construct, renovate, or acquire buildings for supportive housing or supportive services.</u></p>	<p><b>Temporary.</b> Destroy 10 years after the last grant payment has been issues.</p>	<p>N1-15-98-04, item 1b</p>
		<p>c. <u>Files relating to applicants who receive per diem payment.</u></p>	<p><b>Temporary.</b> Destroy 10 years after last per diem payment has been issued.</p>	<p>N1-15-98-04, item 1c</p>
		<p>d. <u>Electronic version of record created by electronic mail and word processing application.</u></p>	<p><b>Superseded</b> by GRS 5.2, item 020.</p>	
<p><b>6400.5</b></p>	<p><b>Unsuccessful Grant Application File.</b></p>	<p>a. <u>Applications, correspondence, and other documents pertaining to unsuccessful applications.</u></p>	<p><b>Temporary.</b> Destroy 2 years after the disapproval or withdrawal of the application.</p>	<p>N1-15-98-04, item 2a</p>
		<p>b. <u>Electronic version of records created by electronic mail and word processing application.</u></p>	<p><b>Superseded</b> by GRS 5.2, item 020.</p>	

6500- Geriatrics and Extended Care

Item Number	Records Description		Disposition Instructions	Disposition Authority
6500.1	<p><b>Unsuccessful Grant Application Files.</b> Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications for State Home Construction Grants.</p>		<p><b>Temporary.</b> Destroy 2 years from date of register.</p>	<p>GRS 5.4, item 010  DAA-GRS-2016-0011-0001</p>
6500.2	<p><i>Reserved</i></p>			
6500.3	<p><b>State Home Construction Grant Files.</b> Pre-applications, applications (SF 424s), technical reviews of design documents, environmental assessments, clearances for historic preservation requirements, and certifications of compliance with numerous Federal laws (Davis-Bacon Act, Rehabilitation Act, Civil Rights Act, etc.), bid tabulations, revised budgets based on bids, memoranda of agreements, substantive correspondence and other related documents.</p>	<p>a. <u>Hardcopy.</u></p>	<p><b>Temporary.</b> Destroy after microfilming and after the microfilm has been verified as an adequate substitute for the hardcopy (paper) files.</p>	
		<p>b. <u>Master and Two Reference Copies.</u></p>	<p><b>Temporary.</b> Master and one reference copy maintained by the Office of Geriatrics and Extended Care are to be destroyed 20 years after completion of project. Reference copy transferred to the Office of Facilities will be destroyed 20 years after completion of project.</p>	

6600- Dental Service

Item Number	Records Description		Disposition Instructions	Disposition Authority
6600.1	<b>Beneficiaries Ledger Record File.</b> Ledger used to identify the removal of dental appliances when removed from mouths of NP patients at time of admission and to indicate beneficiary's name, number and type of appliance.		<b>Nonrecord.</b> Destroy 1 year after date of last entry.	
6600.2	<b>Dental Appointment Record File.</b> Ledger or book indicating daily appointments for patients for dental treatment and showing patient's name, time of appointment and type of work to be performed.		<b>Nonrecord.</b> Destroy 1 year after last entry.	
6600.3	<b>Dental Laboratory.</b> Requisition and Work Record File. Copies of instruction sheets to obtain fabrication of dental appliances from central dental laboratory and related material.		<b>Nonrecord.</b> Destroy after patient's case is completed.	
6600.4	<b>Dental Card Index.</b> Dental Service index cards indicating patient's name, diagnoses, treatment, condition, etc., on current or recent patients receiving dental treatment.		<b>Nonrecord.</b> Destroy 1 year after date of last entry.	
6600.5	<b>Dental Master Card File.</b> Detailed summary of dental services rendered to a patient in a VA health care facility; used as a ready reference on veterans treated in the dental clinic, for budget purposes, and for compiling statistics on patients treated.		<b>Temporary.</b> Destroy 3 years after date of last activity.	NI-15-87-4, item 7
6600.6	<b>Dental X-Ray Film File.</b> Dental x-ray film, exposed.	a. <u>Dental x-rays filed in the Outpatient Treatment Folder or in the Health Records Folder.</u>	<b>Temporary.</b> Retain until folder is converted to an Inactive Medical Record (3 years after last episode of care) then destroy.	NI-15-87-4, item 8a
		b. <u>Dental x-rays used for research and teaching purposes which are not filed in the patient's medical record.</u>	<b>Temporary.</b> Retain until purpose has been served or 3 years after last exposure, whichever is longer, and then destroy.	NI-15-87-4, item 8b
		c. <u>All other original dental x-rays maintained at VA health care facilities.</u>	<b>Temporary.</b> Retain until 3 years after the date of last exposure, and then destroy.	NI-15-87-4, item 8c
		d. <u>Facsimile reproduction of dental x-rays.</u>	<b>Temporary.</b> Destroy when purpose has been served.	NI-15-87-4, item 8d

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Item Number	Records Description	Disposition Instructions	Disposition Authority
6600.7	<p><b>Laboratory Case Load Ledger File.</b></p> <p>Ledger used to record all cases handled by the dental laboratory and to indicate date of receipt, name of patient, referring facility, laboratory case number, and description of case.</p>	<p><b>Nonrecord.</b> Destroy 1 year after date of last entry.</p>	
6600.8	<p><b>Precious Metals Ledger File.</b></p> <p>Ledgers containing a record of date's precious metals were received from Supply Service and the combined gross troy weight of all gold received (excluding fabricated bars). Number of prefabricated gold bars received, date, name of patient and description of each appliance fabricated. Weight of platinum received, gross weight of all gold turned over to Supply Service. Unserviceable gold appliances retained by patients along with their signature.</p>	<p><b>Temporary.</b> Destroy 3 years after date of last entry</p>	<p>350-S-61, item 2</p>
6600.9	<p><b>Precious Metals Issue Slip.</b></p> <p>Copies of memorandums indicating amount of gold turned-in to Supply Service.</p>	<p><b>Temporary.</b> Destroy after 1 year.</p>	<p>350-S-247</p>
6600.10	<p><b>Old Gold Turn-in File.</b></p> <p>Correspondence and related papers on old gold turn-in.</p>	<p><b>Nonrecord.</b> Destroy after 1 year.</p>	
6600.11	<p><b>Precious Metals Record Card File.</b></p> <p>Cards indicating a running record of each type of precious metal on hand and showing the amount issued and the balance on hand at all times.</p>	<p><b>Nonrecord.</b> Destroy 1 year after card has been filed and the balance brought forward to a new card.</p>	

**6650- Medical Video**

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>6650.1</b></p>	<p><b>Medical Video Record.</b>                      Records such as; EEG video, Range of motion /physical Therapy, Endoscopy, or other video not scheduled elsewhere in the manual. The exception is where a NARA approved records control schedule already exists in RCS 10-1.</p> <p><b>NOTE 1:</b> Cardiac Catheterization Film (Motion Picture) (see 7000, item 3) (N1-015-96-3)/ Echocardiogram Video Cassette Recording Tapes (7000, item 4) (N1-015-07-1).</p> <p><b>NOTE 2:</b> If the 2-year record schedule above does not meet the record disposition needs then the VHA Program Office responsible for the videos shall contact the VHA Records Officer, to submit a new records schedule to NARA for approval.</p>	<p><b>Temporary.</b> Destroy when 2 years old.</p>	<p>N1-GRS-98-2, item 40</p>

### 6653- Sleep Study Records

Sleep studies (Polysomnogram) generally take place in a sleep lab during a person’s normal sleeping period. The study records brain waves, breathing and body activity that occur during sleep with the purpose of diagnosing and treating various sleep disorders. The term “polysomnogram” indicates that there are multiple tests in a sleep study. Various body activities and indicators may be measured during a sleep study. A sleep study is generally performed on an outpatient basis at night.

Item Number	Records Description	Disposition Instructions	Disposition Authority
6653.1	<p><b>Polysomnography (PSG) Tracings File.</b></p> <p>Continuous record of the various parameters captured while the patient is sleeping. This record may be maintained electronically as a file on a hard drive, burned to a CD/DVD, or printed and maintained as a paper record.</p>	<p><b>Temporary.</b> Cutoff at CY. Destroy 2 years after cutoff.</p>	<p>DAA-0015-2016-0002-0001</p>
6653.2	<p><b>Polysomnography (PSG) audio/video file.</b></p> <p>Continuous audio/video record of the patient asleep during a sleep study. This may be maintained electronically in conjunction with PSG tracing file or transferred to another media such as DVD.</p> <p><b>NOTE:</b> Polysomnography (PSG) report, this consists of a summary and diagnosis based on data from the PSG tracing and video files. It is reviewed by a medical provider and included in the patient's/veteran's electronic health record.</p>	<p><b>Temporary.</b> Cutoff at CY. Destroy 2 years after cutoff.</p>	<p>DAA-0015-2016-0002-0002</p>



### 6675- Tumor Registry

Item Number	Records Description	Disposition Instructions	Disposition Authority
6675.1	<p><b>Tumor Registry File Index Card and Folder File.</b></p> <p>This file contains information on patients treated for tumors. It contains abstracts, inpatient information from the Medical Records Folder File, subsequent follow-up data (including that from private sources), and related material. This file is used for treatment purposes as well as research.</p>	<p><b>Temporary.</b> Destroy 75 years after date of last activity.</p>	<p>N1-15-87-4 item 6</p>

Chapter 7- Ancillary Services

7000- Medical Service

Item Number	Records Description	Disposition Instructions	Disposition Authority
7000.1	<p><b>Electrocardiograph Tracing File.</b></p> <p>Includes Phonocardiograms, Echocardiograms, Nuclear Cardiac Scans and Vecto-cardiograms. This series of records consists of EKG tracings maintained in the patient's health records folder file. The tracings maintained in the patient's health records consist of cut-out portions of the original tracings which are filed with the Electrocardiograph Report, Standard Form 520. Clinic copies consist of reproductions or photocopies of the original tracings.</p> <p><b>NOTE:</b> If EKG is imported into VistA/CPRS the EKG will take on the records schedule of the Electronic Health Records (EHR). Otherwise the paper tracing not in the (EHR) is unscheduled.</p>	<p><b>Superseded</b> by series 6000 item 2, Electronic Health Records (EHR).</p>	
7000.2	<p><b>Tuberculosis Case Register Card File.</b></p>	<p><b>Temporary.</b> Destroy inactive cards after 2 years.</p>	<p>NN-169-55</p>
7000.3	<p><b>Cardiac Catheterization Film (Motion Picture).</b></p> <p>Original film of the images of the heart, including a visual record of the insertion and passage of a catheter (thin flexible tube) through an artery into the heart.</p> <p><b>NOTE:</b> Films required for research, legal, and clinical purposes may be retained for a longer period of time.</p>	<p><b>Temporary.</b> Destroy 20 years after the last episode of patient care.</p>	<p>N1-015-96-3</p>
7000.4	<p><b>Echocardiogram Video Cassette Recording Tapes.</b></p> <p>Echocardiogram recording tapes captures video images of the position and motion of the heart by ultrasound waves directed through the chest. It specifically contains video images showing the position and motion of the heart.</p>	<p><b>Temporary.</b> Cutoff at the end of the year in which the last image has been captured and a report filed in the patient's health record. Destroy 5 years after cutoff.</p>	<p>N1-015-07-1</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7000.5	<p><b>Emergency Room Register (Log).</b></p> <p>This file is used to record basic information relating to patient visits to VA emergency rooms. It contains information such as patients' names and addresses, last four digits of Social Security Numbers, time and date of admittances, service of doctor, mode of arrival, i.e., ambulance or personal or public transportation, dates(s) of arrival and departure, and any fees or charges related to the emergency medical care. This file is media neutral.</p>	<p><b>Temporary.</b> Destroy or delete when 1 year old, or 1 year after date of the latest entry, whichever is appropriate.</p>	NN-169-55

### 7100- Laboratory Service

**NOTE:** Nonrecord Lab slides are NOT to be stored with Federal Records, nor can they be stored in VA RC&V or Federal Record Centers.

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<u>7100.1</u>	<p><b><u>Laboratory Competency Personnel Records.</u></b>  <u>Records contain training and annual competency assessments not maintained in the Official Personnel Folder (OPF).</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0001</u></b>  <b><u>N1-15-02-4/3</u></b></p>	
<u>7100.2</u>	<p><b><u>Records of Employee Signatures, Initials, Identification Codes.</u></b>  <u>Records record the names, signatures, initials, and codes used to identify which employee performed either the complete test, part of a test, or each significant step in a process.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 75 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0002</u></b>  <b><u>N1-15-99-2/18</u></b></p>	
<u>7100.3</u>	<p><b><u>Accession Logs.</u></b>  <u>This log contains the list of specimens received, the patient identification and the laboratory number assigned to the specimen.</u></p>	<p><b>a. <u>General Lab and Surgical Pathology and Autopsy Accession Log.</u></b></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0003</u></b>  <b><u>N1-15-99-2/30</u></b></p>
		<p><b>b. <u>Cytology Accession Log.</u></b></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0004</u></b>  <b><u>N1-15-99-2/36</u></b></p>
		<p><b>c. <u>Electron Microscopy Written Logs.</u></b></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0005</u></b></p>
		<p><b>d. <u>Electron Microscopy Electronic Logs.</u></b></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 25 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0006</u></b></p>
<u>7100.4</u>	<p><b><u>Test Requisitions/Test Orders.</u></b>  <u>Requisitions and related documents used by the provider to request that the laboratory perform certain tests on a patient.</u></p>	<p><b>a. <u>General Lab.</u></b></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0007</u></b>  <b><u>N1-15-99-2/1</u></b></p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
<b>7100.5</b>	<p><b><u>Test Records.</u></b>  <u>Documents that record the results of the test, the date, the name of the individual who performed the test, and the name of the individual who verified the test. Includes instrument printout and worksheets if results manually entered into electronic patient record.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0008</u></b>  <b><u>N1-15-99-2/1</u></b></p>
<b>7100.6</b>	<p><b><u>Laboratory Test Reports (Preliminary, final corrected).</u></b>  <u>Reports on a patient that provides test results, diagnosis, or findings. Includes Cytopathology intra- and external departmental consultations.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0011</u></b>  <b><u>N1-15-99-2/3</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 25 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0015</u></b> <b><u>N1-15-99-2/4</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 25 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0016</u></b> <b><u>N1-15-99-4/1</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0017</u></b> <b><u>N1-15-76-4/1</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 20 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0018</u></b> <b><u>N1-15-76-4/1</u></b></p>
<p><b><u>7100.7</u></b></p>	<p><b><u>Laboratory Instrument &amp; Computer System Maintenance Records.</u></b> Records that document the date and type of preventative maintenance performed on laboratory equipment. Includes routine maintenance performed by staff at specified time frames.</p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0019</u></b> <b><u>N1-15-99-2/9</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0020</u></b></p>
<p><b><u>7100.8</u></b></p>	<p><b><u>Instrument Repair Records (repairs, parts, and replacement records including annual preventative maintenance (PMs)).</u></b></p>	<p><b><u>Temporary.</u></b> Cutoff after retirement of the equipment. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0021</u></b> <b><u>N1-15-02-4/2</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	Records that record repairs made, who performed the repairs, and the date the repairs were made.	<b>Temporary.</b> Cutoff after retirement of the equipment. Destroy 10 years after cutoff.	<b>DAA-0015-2018-0005-0022</b>
<b>7100.9</b>	<b>Test Instrument or Method &amp; Computer Validation Records.</b> Records that document the date the instrument, method, or computer system was put into service and that Performance Specifications were met.	<b>Temporary.</b> Cutoff after life of instrument/system. Destroy 2 years after cutoff.	<b>DAA-0015-2018-0005-0023</b>  <b>N1-15-02-4/1</b>
<b>7100.10</b>	<b>Quality Control Records.</b> Records that document the results of quality control testing performed on test methods, instruments and equipment, instrument/equipment function checks, the monitoring of the temperature in an incubator or refrigerator, product inspection and storage temperatures, or other indicators to ensure that the laboratory is performing quality work.	<b>Temporary.</b> Cutoff after retirement of the equipment. Destroy 10 years after cutoff.	<b>DAA-0015-2018-0005-0024</b>
<b>7100.11</b>	<b>Individualized Quality Control Plan Documents.</b> Includes risk assessment, validation data, and approved quality control plan.	<b>Temporary.</b> Cutoff at the end of CY. Destroy 2 years after cutoff.	<b>DAA-0015-2018-0005-0025</b>  <b>N1-15-02-4/1</b>
<b>7100.12</b>	<b>Quality Management Records.</b> Records used to assess the quality of work such as self-assessment audits, external assessments, and performance measures, peer reviews of blood utilization and validation of new or changed Blood Bank processes or procedures.	<b>Temporary.</b> Cutoff at the end of CY. Destroy 10 years after cutoff.	<b>DAA-0015-2018-0005-0026</b>  <b>NN-171-54/1</b>
		<b>Temporary.</b> Cutoff at the end of CY. Destroy 10 years following discontinuation of the plan.	<b>DAA-0015-2018-0005-0027</b>
		<b>Temporary.</b> Cutoff when plan is discontinued. Destroy 2 years after cutoff.	<b>DAA-0015-2018-0005-0028</b>
		<b>Temporary.</b> Cutoff at the end of CY. Destroy 2 years after cutoff.	<b>DAA-0015-2018-0005-0029</b>
		<b>Temporary.</b> Cutoff at the end of CY. Destroy 5 years after cutoff.	<b>DAA-0015-2018-0005-0030</b>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<p><b>7100.13</b></p>	<p><b><u>Proficiency Testing Records.</u></b>  <u>Documents that record the date of the proficiency test, type of test, instrument used, results, individual performing the test, and corrective actions taken for any unsatisfactory PT testing.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0031</u></b>  <b><u>N1-15-99-2/7</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0032</u></b>  <b><u>N1-15-99-2/8</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0033</u></b></p>
<p><b>7100.14</b></p>	<p><b><u>Discontinued Procedures/Policies.</u></b>  <u>Documents that instruct an individual how to perform a laboratory test or process. Documents include reviews, date of initial use, and retirement date.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 2 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0034</u></b>  <b><u>N1-15-99-2/6</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0035</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0036</u></b></p>
		<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0037</u></b></p>
<p><b>7100.15</b></p>	<p><b><u>Blood and Blood Component Quality Control Records.</u></b>  <u>Results of inspection of blood and components, Serologic confirmation of donor blood ABO/Rh, Irradiation of cellular components, evaluation and actions taken for nonconforming blood, blood components or critical materials.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0038</u></b>  <b><u>N1-15-99-2/22</u></b></p>



Item Number	Records Description	Disposition Instructions	Disposition Authority
<u>7100.16</u>	<p><b><u>Blood or Blood Component Issue Records.</u></b>  <u>Final inspection of blood and blood components before issue and verification process at time of issue of all recipient and blood component information, special transfusion requirements, crossmatch interpretation, date/time of issue, and personnel issuing and accepting blood component. Emergent release of blood.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0039</u></b>  <b><u>NN-171-54/2</u></b></p>
<u>7100.17</u>	<p><b><u>Blood or Blood Component Source Record.</u></b>  <u>Source/receipt to final disposition of unit, unique identification of each unit and ID of recipient if applicable.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0040</u></b>  <b><u>NN-166-139/3</u></b></p>
<u>7100.18</u>	<p><b><u>Blood and Blood Component Transfusion Request.</u></b>  <u>Requests for blood and blood components and orders to transfuse blood, component, tests, and derivatives.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 5 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0041</u></b>  <b><u>N1-15-87-4/20</u></b></p>
<u>7100.19</u>	<p><b><u>Blood Donor Records.</u></b>  <u>Donor identifying information, address, medical history and exam, informed consent, receipt of educational materials, infectious disease marker tests, severe adverse reactions and notification of significant findings.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0042</u></b>  <b><u>NN-171-54/2</u></b></p>
<u>7100.20</u>	<p><b><u>Blood Recipient Records.</u></b>  <u>Difficulty in blood typing, significant antibodies, significant adverse events to transfusion (transfusion reactions) and special transfusion requirements.</u></p>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 75 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0043</u></b>  <b><u>N1-15-99-2/17</u></b></p>
<u>7100.21</u>	<p><b><u>Transfusion Record.</u></b></p> <ul style="list-style-type: none"> <li>a. <b><u>Verification of Patient Identification.</u></b> Verification of patient identification and blood or blood component information prior to transfusion.</li> <li>b. <b><u>Recipient Informed Consent.</u></b></li> <li>c. <b><u>Transfusion Record.</u></b> Transfusion record indicating ABO/Rh and compatibility testing, date/time of transfusion, transfusionist, vitals, component, unit number, amount given, and adverse reactions if applicable.</li> <li>d. <b><u>Transfusion Fatality Records.</u></b></li> </ul>	<p><b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.</p>	<p><b><u>DAA-0015-2018-0005-0044</u></b></p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
<u>7100.22</u>	<b><u>Apheresis or Therapeutic Phlebotomy Records.</u></b>	<b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.	<b><u>DAA-0015-2018-0005-0045</u></b>
<u>7100.23</u>	<b><u>Records of Permanently Deferred Donors.</u></b> Donor records of individuals who may never donate blood.	<b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 75 years after cutoff.	<b><u>DAA-0015-2018-0005-0046</u></b>  <b><u>N1-15-99-2/23</u></b>
<u>7100.24</u>	<b><u>Infectious Disease/Look Back Records.</u></b> Documentation concerning infectious diseases identified in blood of donors or recipients.	<b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 75 years after cutoff.	<b><u>DAA-0015-2018-0005-0047</u></b>  <b><u>N1-15-99-2/24</u></b>
<u>7100.25</u>	<b><u>Tissue Banking Records.</u></b> Records of storage temperature, inspection of incoming tissue, requests, issuing records including quality checks and person dispensing and receiving the tissue.	<b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 10 years after cutoff.	<b><u>DAA-0015-2018-0005-0048</u></b>  <b><u>N1-15-02-4/7</u></b>
<u>7100.26</u>	<b><u>Tissue Banking Recipient Records.</u></b> Records include source facility/tissue supplier, original numeric or alphanumeric donor or lot identification, quantity, expiration date, date of use/transplantation, personnel using the tissue, final disposition of each tissue and adverse effects.	<b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 75 years after cutoff.	<b><u>DAA-0015-2018-0005-0049</u></b>  <b><u>N1-15-02-4/9</u></b>
<u>7100.27</u>	<b><u>Tissue Banking Donor Records.</u></b> Records include documents of tissue collection, preparation/processing, transportation, issuing; traceability of tissue to final disposition.	<b><u>Temporary.</u></b> Cutoff at the end of CY. Destroy 75 years after cutoff.	<b><u>DAA-0015-2018-0005-0050</u></b>

7200- Radiology Service

Item Number	Records Description	Disposition Instructions	Disposition Authority
7200.1	<p><b>X-ray Film Inventory File.</b> Stock control records showing by size the number of x-ray films received, used, and current balance on hand.</p>	<p><b>Temporary.</b> Destroy after 1 year and after films have been accounted for.</p>	<p>NN-350-S20, item 2</p>
7200.2	<p><b>Radiation Monitoring File.</b> Reports of findings, test reports and analyses, film badge reports, protection surveys, radiation exposure reports, reports of meter monitoring, related and similar material properly filed.</p>	<p><b>Temporary.</b> Destroy employee's records 1 year after separation or transfer of employee. Destroy general subjective records after 5 years.</p>	<p>NN-163-96, item 1</p>
7200.3	<p><b>Radiation Protection Instruction File.</b> Radiation protection rules, procedures and instructions.</p>	<p><b>Nonrecord.</b> Destroy when obsolete, rescinded or replaced by current information.</p>	
7200.4	<p><b>Radium and Radon Control File.</b> Shipment control records of radioactive substances and related materials.</p>	<p><b>Temporary.</b> Destroy after 2 years.</p>	<p>NN-163-96, item 2</p>
7200.5	<p><b>Patient Therapy File (Radiology Service).</b> Copies of treatment course records, therapy summaries, progress notes, technical factors applied and related material.</p>	<p><b>Temporary.</b> Destroy 10 years after last date of activity and after record of treatment has been filed in the Health Records Folder File or CHR.</p>	<p>N1-15-87-4, item 11</p>
7200.6 (a-i)	<p><b>X-ray Film File (General).</b> Exposed x-ray films other than military entrance and separation x-rays, copies of interpretations filed with the x-ray films, and facsimile reproductions of x-rays maintained at VA health care facilities, except those requested by the Medical Executive Committee for use in research, teaching, special studies, etc.</p>		
	<p>a. <u>Veterans' x-rays.</u></p>	<p><b>Temporary.</b> Destroy 5 years after date of last exposure or 10 years after separation from military service, whichever is later, and after a report has been filed in the Health Records Folder File or CHR.</p>	<p>NI-15-87-4, item 13a</p>
	<p>b. <u>Non-veteran VA beneficiary x-rays.</u></p>	<p><b>Temporary.</b> Destroy 5 years after date of last exposure.</p>	<p>NI-15-87-4, item 13b</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	c. <u>VA employee x-rays showing no active disease, to include the original copy of the interpretation.</u>	<b>Temporary.</b> Retain as part of the Employee Medical Folder as defined in the Federal Personnel Manual (FPM), Chapter 293, Subpart # for instructions.	GRS 2.7, items 061 & 062  DAA-GRS-2017-0010-0010 & -0011
	d. <u>VA employee x-rays showing active disease.</u>	<b>Temporary.</b> Retain as part of the Employee Medical Folder as defined in the Federal Personnel Manual (FPM), Chapter 293, Subpart # for instructions.	GRS 2.7, items 061 & 062  DAA-GRS-2017-0010-0010 & -0011
	e. <u>X-rays of non-VA beneficiaries who are not VA employees (“Good Samaritan” cases).</u>	<b>Temporary.</b> Destroy when 1 year old.	NI-15-87-4, item 13e
	f. <u>Veterans’ “interim” x-rays which were made by the military service during the former service member’s active military service and which were subsequently transferred to VA custody.</u>	<b>Temporary.</b> Destroy 5 years after x-ray is transferred to VA custody.	NI-15-87-4, item 13f
	g. <u>X-ray facsimile reproductions.</u>	<b>Temporary.</b> Destroy after purpose has been served.	NI-15-87-4, item 13g
	h. <u>X-rays that are unserviceable, unidentifiable, or otherwise unsuitable for diagnostic purposes because of faulty exposure or processing, cloudiness, discoloration, breaking, general deterioration, or unclear name and/or number of the patient.</u>	<b>Temporary.</b> Destroy immediately.	NI-15-87-4, item 13h

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Item Number	Records Description	Disposition Instructions	Disposition Authority
	i. <u>Copies of x-ray interpretations, which are filed, with the x-rays (Original interpretations are filed in the Health Records Folder File (or Consolidated Health Record).</u>	<b>Temporary.</b> Destroy when x-ray is destroyed.	NI-15-87-4, item 13i
7200.7	<b>X-ray Film File (Teaching).</b> Exposed x-ray films of special interest and those having exceptional teaching value.	<b>Temporary.</b> Destroy after 10 years and when no longer of value for teaching and educational purposes.	NI-15-87-4, item 14
7200.8	<b>X-ray Pathological Index File.</b>	<b>Temporary.</b> Destroy when no longer of medical reference value or when card is replaced.	NI-15-87-4, item 15
7200.9	<b>X-ray Register File.</b> Record of x-ray numbers assigned, films used and type of examinations.	<b>Temporary.</b> Destroy 10 years after date of last entry in each bound volume.	II-NNA-1308, item 8
7200.10	<b>X-ray Film (Entrance and Separation). Army, Navy, and Air Force entrance and separation x-rays.</b>	<b>Temporary.</b> After completion of patient's episode of care at the applicable VA health care facility, Army, Navy, and Air Force entrance and separation x-rays should be returned to the NPRC, St. Louis, MO. These x-rays will be disposed of when 65 years old and in accordance with Federal Property Management Regulations and with concurrence of VA on each disposal action.	NCI-15-82-4, item 1
7200.11	<b>Mammography X-ray.</b>	<b>Temporary.</b> Destroy 10 years after date of last exposure and after a report has been filed in the patient's medical record folder.	N1-015-96-2

**7250- Nuclear Medicine Service**

Item Number	Records Description		Disposition Instructions	Disposition Authority
7250.1	<p><b>Nuclear Scan Alphabetical Index File.</b> An alphabetical cross index to nuclear scans, which are filed numerically by social security numbers; annotated to reflect removal from Nuclear Scan File - General and placed in Teaching or Research and Cooperative Studies Files.</p>		<p><b>Temporary.</b> Destroy when scans to which they pertain are destroyed or after they have been transferred to the Nuclear Scan Teaching File.</p>	<p>N1-15-87-4, item 17</p>
7250.2	<p><b>Nuclear Scan Pathological Index File.</b> Cards' indexing special interest scans, normal and abnormal, for medical reference purposes.</p>		<p><b>Temporary.</b> Destroy when no longer of medical reference value or when card is replaced.</p>	<p>NC1-15-76-23 Item 5</p>
7250.3	<p><b>Nuclear Scan File.</b></p>	<p>a. <u>Teaching.</u> Nuclear scans and copies of interpretations selected for teaching and educational purposes.</p>	<p><b>Temporary.</b> Destroy when no longer of value for teaching and educational purposes, providing the retention requirements of the Nuclear Scan File have been met.</p>	<p>N1-15-87-4 item 16b</p>
		<p>b. <u>General.</u> Nuclear scans and copies of interpretations maintained for treatment purposes and not being used for purposes of teaching, active research or corporation studies.</p>	<p><b>Temporary.</b> Destroy 5 years after date of latest scan, and after report has been filed in health records.</p>	<p>N1-15-87-4 item 16a</p>
7250.4	<p><b>Patient Therapy File.</b> Records of course treatment, therapy summaries, and progress notes, therapeutic doses of radiopharmaceuticals received, and technical factors applied.</p>		<p><b>Temporary.</b> Destroy 10 years after last episode of treatment or follow-up care and after report has been filed in health records.</p>	<p>N1-15-87-4, item 19</p>
7250.5	<p><b>Nuclear Scan File - Research and Cooperative Studies.</b> Nuclear scans and copies of interpretations selected for research and cooperative studies purposes.</p>		<p><b>Temporary.</b> Return to Nuclear scan file (general 7250.3.b) for appropriate disposition when purposes have been served or destroy immediately if file is more than 5 years from date of latest study in health record.</p>	<p>N1-15-87-4 item 16c</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.6	<p><b>Procedures for Safely Opening Package File.</b> This file contains written procedures for safely opening packages in which radioactive material is received by VHA medical facilities (Title 10, Part 20, Sec. 20.1906).</p>	<b>Temporary.</b> Cutoff when the NHPP terminates permit. Destroy after cutoff.	N1-15-02-5, item 1
7250.7	<p><b>Records of Radiation Protection Programs.</b> This file contains provisions of the program and audits and audits and other reviews of program content and implementation. (Title 10, Part 20, Sec. 20.2102)</p>	<b>Temporary.</b> Cutoff when NHPP terminates permit. Destroy after cutoff.	N1-15-02-5, item 2a
	<p>a. <u>Written provisions of the Radiation Protection Program.</u></p>	<b>Temporary.</b> Cutoff after completion of audit. Destroy 3 years after cutoff.	N1-15-02-5, item 2a
7250.8	<p><b>Results of Surveys and Calibrations.</b> (see note) This file consists of results of surveys to determine the dose from external sources, results of measurements and calculations used to determine individual intakes of radioactive material, and records showing the results of air sampling, surveys, and bioassays. (Title 10, Part 20, Sec. 20.2103) <b>NOTE:</b> Where appropriate, exposure records are filed with employee or patient records.</p>	<b>Temporary.</b> Destroy 3 years after the record is made.	N1-15-02-5, item 3a
	<p>a. <u>Results of surveys and calibrations.</u></p>	<b>Temporary.</b> Destroy after NHPP terminates permit.	N1-15-02-5, item 3b
	<p>b. <u>Results of surveys to determine the dose from external sources</u> and used, in the absence of or in combination with individual monitoring data, in the assessment of individual dose equivalents.</p>	<b>Temporary.</b> Destroy after NHPP terminates permit.	N1-15-02-5, item 3c
	<p>c. <u>Records of the results of measurements and calculations</u> used to determine individual intakes of radioactive material and used in the assessment of internal dose.</p>	<b>Temporary.</b> Destroy after NHPP terminates permit.	N1-15-02-5, item 3d
7250.9	<p><b>Records of Lifetime Occupational Radiation Dose.</b> (Title 10, Part 20, Sec. 20.2104)</p>	<b>Temporary.</b> Cutoff when NHPP terminates permit. Destroy 3 years after cutoff.	N1-15-02-5, item 4a
	<p>a. <u>Records of Lifetime Occupational Radiation Dose on NRC Form 4.</u> This file contains a record of an individual's current and previously accumulated occupational dose. It includes a current NRC Form or equivalent.</p>	<b>Temporary.</b> Destroy 3 years after the record is made.	N1-15-02-5, item 4b
	<p>b. <u>Records Used in Preparing NRC Form 4.</u> This file consists of records and reports of the cumulative radiation dose and other related reports of the individual's dose equivalent, which are used to prepare NRC Form 4.</p>		

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.10	<p><b>Records Relating to All Aspects of Planned Special Exposures.</b></p> <p>This file consists of records documenting the conduct of a planned special exposure. The records describe the exceptional circumstances requiring the use of a planned special exposure, the name of the management official who authorized the planned special exposure and a copy of the signed authorization, and other related records. (Title 10, Part 20, Sec. 20.2105)</p>	<p><b>Temporary.</b> Cutoff when NHPP terminates permit.</p>	<p>N1-15-02-5, item 5</p>
7250.11	<p><b>Records of Individual Monitoring Results.</b></p> <p>This file consists of records of doses received by all individuals for whom monitoring was required. It includes records of doses received during planned special exposures, accidents, and emergency conditions.</p> <p>(Title 10, Part 20, Sec 20.2106)</p> <p><b>NOTE:</b> Where appropriate, exposure records are filed with employee or patient records.</p>	<p><b>Temporary.</b> Cutoff when NHPP terminates permit. Destroy after cutoff.</p>	<p>N1-15-02-5, item 6</p>
7250.12	<p><b>Records Demonstrating Compliance with Title 10, CFR 20, Sec. 20.1301, Dose Limits for Individual Members of the Public.</b></p>	<p><b>Temporary.</b> Cutoff when NHPP terminates permit. Destroy after cutoff.</p>	<p>N1-15-02-5, item 7</p>
7250.13	<p><b>Records of Waste Disposal.</b></p> <p>This file consists of records of the disposal of certain radioactive waste materials.</p> <p>(Title 10, Part 20, Sec. 20.2108)</p>	<p><b>Temporary.</b> Cutoff when NHPP terminates permit. Destroy after cutoff.</p>	<p>N1-15-02-5, item 8</p>
7250.14	<p><b>Manifest and Acknowledgement of Receipt for Transferred Waste.</b></p> <p>This file consists of the manifest and other records used to track the transfer and disposal of radioactive waste.</p> <p>(Title 10, Part 20, Sec. 26.2006, and Appendix G)</p>	<p><b>Temporary.</b> Cutoff after waste material has been transferred or disposed. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 9</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority	
7250.15	<b>Records of molybdenum-99, strontium-82, and strontium-85 Concentrations.</b>	a. <u>Records of Molybdenum-99/Technetium-99m Generators.</u> Each permittee preparing technetium-99m radiopharmaceuticals from molybdenum-99/technetium-99m generators is required to test the generator eluates for molybdenum-99. This file contains the results of the tests. For each measured elution of technetium-99m, the record must include the ratio of the measures expressed as kilobecquerel of molybdenum-99 per megabecquerel of technetium-99m (or microcuries of molybdenum per millicurie of technetium), the time and date of the measurement, and the name of the individual who made the measurement. (Title 10, Part 35, Sec. 35.2204)	<b>Temporary.</b> Cutoff after date of test. Destroy 3 years after cutoff.	N1-15-02-5, item 10a
		b. <u>Records of Strontium-82/Rubidium-82 Generators.</u> Each permittee preparing rubidium-82 radiopharmaceuticals from strontium-82/rubidium-82 generators is required to test the generator eluates for strontium-82 and strontium-85. This file contains the results of the tests. For each measured elution of rubidium-82, the record must include the ratio of the measures expressed as kilobecquerel of strontium-82 per megabecquerel of rubidium-82 (or micro curies of strontium-82 per millicurie of rubidium), kilobecquerel of strontium-85 per megabecquerel of rubidium-82 (or micro curies of strontium-85 per millicurie of rubidium), the time and date of the measurement, and the name of the individual who made the measurement. (Title 10, Part 35, Sec. 35.2204)	<b>Temporary.</b> Cutoff after date of test. Destroy 3 years after cutoff.	N1-15-02-5, item 10b
7250.16	<b>Records of Import to Safe and Effective Decommissioning.</b> This file consists of records concerning the decommissioning of a facility as a result of spills or other unusual occurrences involving the spread of contamination in and around the facility or site, as-built drawings and modifications of structures and equipment, etc. Except for specific circumstances, this file includes a list of restricted areas and a list of areas outside of the restricted areas.  (Title 10, Part 30, Sec. 30.35)	<b>Temporary.</b> Destroy after NHPP terminates permit.	N1-15-02-5, item 11	

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.17	<p><b>Records of Receipt, Transfer, and Disposal.</b></p> <p>This file consists of records showing the receipt, transfer, and disposal of byproduct materials.</p> <p>(Title 10, Part 30, Sec. 30.51)</p>	<p><b>Temporary.</b> Cutoff after material has been disposed of. Destroy 3 years after cutoff.</p>	N1-15-02-5, item 12a
	<p>a. <u>Receipt Records.</u></p>	<p><b>Temporary.</b> Cutoff after material has been transferred. Destroy 3 years after cutoff. Retain for 3 years after transfer unless specific requirement in Title 10, Chapter 1, NRC, dictates otherwise.</p>	N1-15-02-5, item 12b
	<p>b. <u>Transfer Records.</u></p>	<p><b>Temporary.</b> Destroy after NHPP terminates permit.</p>	N1-15-02-5, item 12c
7250.18	<p><b>Statements of Authority and Responsibilities File.</b></p> <p>This file consists of written authorities, duties, responsibilities, and radiation safety activities of the Radiation Safety Officer and the Radiation Safety Committee.</p> <p>(Title 10, Part 35, Sec. 35.24 and 35.2024)</p>	<p><b>Temporary.</b> Retain records of actions taken by management per 10 CFR 35.24(a) for 5 years.</p>	N1-15-02-5, item 15a
	<p>a. <u>Authority and Responsibilities for the Radiation Protection Program.</u></p> <p>b. <u>Copies of authority, duties, and responsibilities of the Radiation Safety Officer as required by §35.24(e), and a signed copy of each Radiation Safety Officer's agreement to be responsible for implementing the radiation safety program, as required by §35.24(b), for the duration of the permit.</u></p>	<p><b>Temporary.</b> Destroy after these time periods. Destroy after NHPP terminates license.</p>	N1-15-02-5, item 15b
7250.19	<p><b>Letter of Authorization for Mobile Nuclear Medicine Service File.</b></p> <p>This file consists of letters signed by the management of each client for which services are rendered that authorizes use of byproduct material at the client's address.</p> <p>(Title 10, Part 35 Sec.35.80 and 35.2080)</p>	<p><b>Temporary.</b> Destroy 3 years after the last service is made.</p>	N1-15-02-5, item 17
7250.20	<p><b>Records of Changes to Radiation Protection Program.</b></p> <p>This file consists of minor changes in radiation safety procedures that are not potentially important to safety, i.e., ministerial changes that were described in the application for license, renewal, or amendment. For example, editing of procedures for clarity or conformance with local drafting policy or updating names, telephone numbers, etc.</p> <p>(Title 10, Part 35, Sec. 35.26 and 35.2026)</p>	<p><b>Temporary.</b> Cutoff records based on date created. Destroy 5 years after cutoff.</p>	N1-15-02-5, item 18

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.21	<p><b>Written Directives.</b></p> <p>This file consists of written directives for any diagnostic or therapeutic procedure for the administration of the radiopharmaceutical dose; the brachytherapy dose, the gamma stereotactic radiosurgery dose, or the next teletherapy fractional dose.</p> <p>(Title 10, Part 35, Sec. 35.40 and 35.2040)</p>	<p><b>Temporary.</b> Cutoff records based on date created. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 21</p>
7250.22	<p><b>Records of Medical Events.</b></p> <p>This file consists of a written report that includes the licensee's name; the prescribing physician's name; a brief description of the event; why the event occurred; the effect on the individual who received the misadministration; what improvements are needed to prevent recurrence; actions taken to prevent recurrence; whether the licensee notified the individual (or the individual's responsible relative or guardian), and if not, why not; and if there was notification, what information was provided in the notification.</p> <p>(Title 10, Part 35, Sec. 35.3045)</p>	<p><b>Temporary.</b> Cutoff records based on date created. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 23</p>
7250.23	<p><b>Records of Calibrations of Instruments Used to Measure the Activity of Unsealed Byproduct Material.</b></p> <p>(Title 10, Part 35, Sections 35.60 and 35.2060)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 24</p>
7250.24	<p><b>Records of Survey Instrument Calibration.</b></p> <p>This file consists of records that document the calibration procedure. It includes the date of the calibration, and the name of the individual who performed the calibration. (Title 10, Part 35, Sec. 35.61 and 35.2061)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 25</p>
7250.25	<p><b>Records of Measurement of Radiopharmaceutical Dosages.</b></p> <p>This file consists of records to document the measurement of radiopharmaceutical dosages. The records contain the radiopharmaceutical, patient's or human research subject's name, and prescribed dosage and activity of the dosage at the time of measurement, and the name of the individual who made the record.</p> <p>(Title 10, Part 35, Sec. 35.2063)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 27</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.26	<p><b>Records of Leak Tests on Brachytherapy Sources.</b></p> <p>The records contain the model number and serial number (if assigned), of each source tested, the identity of each source radionuclide and its estimated activity, the measure of activity of each test sample, a description of the method used to measure each test sample, the date of the test, and the signature of the Radiation Safety Officer.</p> <p>(Title 10, Part 35, Sec. 35.2067)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 28</p>
7250.27	<p><b>Records of Leak Tests and Physical Inventory of Sealed Sources.</b></p> <p>This file consists of records used to document the semiannual leak tests and physical inventory of sealed sources. The records include the model number of each source, and serial number if one has been assigned, the identity of each source and its nominal activity, the location of each source, the result of the leak test, the date of the leak test, and the name of the individual who performed the inventory or leak test</p> <p>(Title 10, Part 35, Sec. 35.67 and 35.2067)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 29</p>
7250.28	<p><b>Records of Ambient Exposure Rates.</b></p> <p>This file consists of records of measurements of ambient exposure rates at the end of each day of use in all areas where unsealed byproduct material requiring a written directive was prepared for use or administered. The records include the date of the survey, the results of the survey, the survey instrument used, and the name of the individual who performed the survey.</p> <p>(Title 10, Part 35, Sec. 35.70 and 35.2070)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 30</p>
7250.29	<p><b>Records of Release of Patients to the Public.</b></p> <p>This file consists of documents authorizing the release of an individual who has been administered radiopharmaceuticals or permanent implants containing radioactive material.</p> <p>(Title 10, Part 35, Sec. 35.2075)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 34</p>
7250.30	<p><b>Records of Mobile Nuclear Medicine Services.</b></p> <p>This file consists of the radiation detection survey of mobile nuclear medicine radiopharmaceutical areas. The survey includes the date of the survey, a plan of each area that was surveyed, the measured dose rate, the instrument used to make the survey, and the initials of the individual who performed the survey.</p> <p>(Title 10, Part 35, Sec. 35.2080(b))</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 35</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.31	<p><b>Records of Each Disposal of Byproduct Material as Ordinary Trash.</b></p> <p>This file consists of records of disposal. It includes the date of the disposal, the date on which the byproduct material was placed in storage, the radionuclides disposed, the survey instrument used, the background dose rate, the dose rate measured at the surface of each waste container, and the name of the individual who performed the disposal.</p> <p>(Title 10, Part 35, Sec. 35.2092)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 36</p>
7250.32	<p><b>Lists of Individuals Receiving Radiation Safety Training.</b></p> <p>This file consists of lists of individuals who have received radiation safety instructions or other related training. It includes a description of the instruction, the date of instruction, and the name of the individual who gave the instruction.</p> <p>(Title 10, Part 35, Sec. 35.2310)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 40</p>
7250.33	<p><b>Records of Dosages of Unsealed Byproduct Material for Medical Use.</b></p> <p>(Title 10, Part 35, Sec. 35.2063)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 41</p>
7250.34	<p><b>Records of Patients Surveys Following Source Removal.</b></p> <p>This file consists of the radiation survey to confirm that all sources have been removed from the patient or the human research subject. It includes the date of the survey, the name of the patient or the human research subject, the dose rate from the patient or the human research subject, the survey instrument used, and the initials of the individual who made the survey.</p> <p>(Title 10, Part 35, Sec. 35.2404)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 43</p>
7250.35	<p><b>Records of Brachytherapy Source Accountability.</b></p> <p>(Title 10, Part 35, Sec. 35.2406)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 44</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
7250.36	<p><b>Records of Calibration, Inter-Comparison of Dosimetry Equipment.</b></p> <p>This file consists of records to document calibration, intercomparison, and comparison of the dosimetry system. It includes the date, the model numbers and serial numbers of the instruments that were calibrated, intercompared, compared, the correction factor that was determined from the calibration or comparison or the apparent correction factor that was determined from an intercomparison, the names of the individuals who performed the calibration, intercomparison, or comparison, and evidence that the intercomparison meeting was sanctioned by a calibration laboratory or radiologic physics center accredited by the American Association of Physicists in Medicine.</p> <p>(Title 10, Part 35, Sec. 35.2630)</p>	<p><b>Temporary.</b> Destroy after NHPP terminates the permit.</p>	<p>N1-15-02-5, item 50</p>
7250.37	<p><b>Records of Installation, Maintenance, Adjustment, and Repair of Remote After Loader Units.</b></p> <p>This file contains records of the installation, maintenance, adjustment, and repair of remote after loader units. For each installation, maintenance, adjustment and repair, the record must include the date, description of the service, and name(s) of the individual(s) who performed the work.</p> <p>(Title 10, Part 35, Sec. 35.2605)</p>	<p><b>Temporary.</b> Cutoff records after date of test. Destroy 3 years after cutoff.</p>	<p>N1-15-02-5, item 53</p>
7250.38	<p><b>Records of Current Training for Each Hazmat Employee.</b></p> <p>This file consists of training records of Hazmat employees. It includes records related to general awareness and familiarization training, function-specific training, safety training, and other related training. It includes the hazmat employee's name, the most recent training completion date of the hazmat employee's training, a description, copy, or the location of the training materials used, the name and address of the person providing the training, and certification that the hazmat employee has been trained.</p> <p>(Title 49, Part 172, Sec. 172.704)</p>	<p><b>Temporary.</b> Cutoff after date of training. Destroy 3 years after cutoff and retraining is completed or 3 years after employment is terminated.</p>	

**7400- Pharmacy Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority
7400.1	<b>Federal Supply Schedule File.</b> Informational copies of VA Supply Schedules filed numerically by class to include amendments, changes, price lists, etc.	<b>Temporary.</b> Destroy 3 months after expiration or cancellation of contract.	II-NN-3270
7400.2	<b>Decentralized Contracts File.</b> Informational copies of drug contract with each individual firm, changes, amendments, price lists, etc.	<b>Temporary.</b> Destroy 3 months after expiration or cancellation of contract.	II-NN-3270
7400.3	<b>Purchase Order File.</b> Informational copies of purchase orders received from Supply Service on drugs ordered directly from contractors.	<b>Superseded</b> by items 4000.1.a & b. (DAA-GRS-2013-0003-0001)	
7400.4	<b>Controlled Substance II Order File.</b>	<b>Temporary.</b> Destroy after 3 years.	NN-166-175
7400.5	<b>Schedule II and Schedule III Narcotics and Alcohol Register.</b>	<b>Temporary.</b> Destroy after 3 years.	NN-166-175
7400.6	<b>Excess Alcohol and Narcotics File.</b> Alcohol and narcotic orders (turn- in-slip), requests, turn-in and/or receipt for property and services.	<b>Temporary.</b> Destroy after 3 years.	NN-166-175
7400.7	<b>Formula Cards File.</b> Manufacturing formula and record card.	<b>Temporary.</b> Destroy when replaced by new formula or after becoming obsolete.	II-NN-3270
7400.8	<b>Inventory File.</b> Records indicating items on hand by name, number of units of each item, price per unit, and total inventory value.	<b>Temporary.</b> Destroy after 3 years.	II-NN-3270

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7400.9	<p><b>Investigational Drug File.</b> Records indicating the name of new drugs being investigated, manufacturer or other source, amount and date received, expiration date, if any lot or control number, date of authority to use, serial number, date of prescription dispensed, name of prescribing physician or dentist and related material.</p>	<p><b>Temporary.</b> Destroy 3 years after investigation is completed.</p>	<p>NN-166-175</p>
7400.10	<p><b>Pharmacy Order File.</b></p>	<p><b>Temporary.</b> Destroy after 3 years.</p>	<p>NN-166-175</p>
7400.11	<p><b>Prescription File.</b></p>	<p><b>Temporary.</b> Destroy after 3 years.</p>	<p>NN-166-175</p>
7400.12	<p><b>Standardization Recommendations File.</b> Recommendations for standardization of new drugs request, turn-in and/or receipt for property and services.</p>	<p><b>Temporary.</b> Destroy after 6 months or after drug is standardized.</p>	<p>II-NN-3270</p>
7400.13	<p><b>Stock Locator Index File.</b> Records indicating location of drugs in Pharmacy.</p>	<p><b>Temporary.</b> Destroy when drug is discontinued in stock.</p>	<p>II-NN-3270</p>
7400.14	<p><b>Stock Record Card File.</b> Records on unposted drugs ordered and received indicating amount, price, purchase order number, and contractor.</p>	<p><b>Temporary.</b> Destroy when drug is discontinued in stock.</p>	<p>II-NN-3270</p>



## 7500- Nutrition and Food Service

Item Number	Records Description	Disposition Instructions	Disposition Authority
7500.1	<b>Receipt File.</b> Field service receipts or equivalent and related material.	<b>Temporary.</b> Destroy after close of fiscal year involved.	II-NN-3352
7500.2	<b>Cost Accounting File.</b> Source documents for dietetic cost accounting of subsistence items including all necessary cost control records to ensure that all transactions affecting the fiscal account are accurately represented in the procedures.	<b>Temporary.</b> Destroy after 6 months and when no longer required for reconciliation or informational purposes.	II-NN-3352
7500.3	<b>Cost Analyses File.</b> Food cost analyses, i.e., analysis of price trends, usage studies, selected food items and any other analytical food cost studies.	<b>Temporary.</b> Destroy after 3 fiscal years or when no longer of current value.	II-NN-3352
7500.4	<b>Meal Ticket File (Patient).</b> Patient meal ticket or equivalent.	<b>Temporary.</b> Destroy upon change of diet or discharge of patient.	II-NN-3352
7500.5	<b>Meal Ticket File (Employee).</b> Employee subsistence passes (full and partial), individual meal authorizations and related material.	<b>Temporary.</b> Destroy 30 days after close of issue period and after required reports have been prepared.	II-NN-3352
7500.6	<b>Meal Control File.</b> Meal control records of meals served (patient, employee, guest, etc.) and costs and related material.	<b>Temporary.</b> Destroy after 1 year.	II-NN-3352
7500.7	<b>Diet File.</b> Records of various diets, i.e., regular, bland, high protein, special, daily routine, etc., and related material.	<b>Temporary.</b> Destroy when obsolete or when no longer of value for reference.	II-NN-3352
7500.8	<b>Diet Prescription File.</b> Diet and equivalent orders issued by physicians.	<b>Temporary.</b> Destroy when changed or after patient discharged.	II-NN-3352

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7500.9	<b>Menu File.</b> Menu records and related material issued daily, weekly, routinely, selectively, etc.	<b>Temporary.</b> Destroy extra copies after purpose has been served. Dispose of yearly sets after close of next succeeding year.	II-NN-3352
7500.10	<b>Recipe File.</b> Recipes of all types and kinds; standard, tested, etc., and related materials.	<b>Temporary.</b> Destroy when obsolete or when no longer practical for use.	II-NN-3352
7500.11	<b>Patient Education File.</b> Dietetic training material for patients, diet instructions, diet lists, special instructions for individuals and groups of patients.	<b>Temporary.</b> Destroy when obsolete or no longer or training value.	II-NN-3352

**7600- Recreation Therapy Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority
7600.1	<b>Activity Worksheet File.</b> Records indicating recreation therapy and activity assignments, number of patients attending activities, determining monthly activities, number of volunteer workers for the month and related material.	<b>Nonrecord.</b> Destroy after 30 days.	
7600.2	<b>Clearance Record File.</b> Record of clearance for recreation therapy and recreation activities from staff physicians for patient participation.	<b>Nonrecord.</b> Destroy after patient is discharged.	
7600.3	<b>Equipment Charge-Out File.</b> Record of equipment charged out to patients during period of hospitalization.	<b>Nonrecord.</b> Destroy when equipment is returned.	
7600.4	<b>Patient Record Card File.</b> Cards indicating current patient recreation therapy load.	<b>Nonrecord.</b> Destroy after patient is discharged.	
7600.5	<b>Volunteer Workers Record File.</b> Volunteer worker information card.	<b>Temporary.</b> Destroy after information has been transferred to volunteer record of continuing service in VAVS.	II-NN-3270

**7700- Prosthetic and Sensory Aids Service**

Item Number	Records Description	Disposition Instructions	Disposition Authority	
7700.1	<p><b>Commercial Source Folder File.</b> Copies of invoices filed chronologically by date.</p>	<p><b>Temporary.</b> Destroy after 2 calendar years.</p>	<p>NN-170-65</p>	
7700.2	<p><b>Record of Prosthetics Service File.</b> Record of Prosthetics Services.</p>	<p><b>Temporary.</b> Destroy 90 days after termination or death of beneficiary. Destroy inactive files after one continuous year of inactivity.</p>	<p>NN-170-65</p>	
7700.3	<p><b>Orthopedic and Prosthetics Appliance Clinic Team Folder File.</b> Clinic notes, consultation sheets, copies of clinical record, prescription and rating sheet (artificial limbs), narrative report and related material.</p>	<p><b>Temporary.</b> Destroy 90 days after eligibility is terminated or beneficiary is deceased (originals are filed in the patient's Health Records Folder).</p>	<p>NN-170-65</p>	
7700.4	<p><b>National Prosthetic Patient Database (NPPD) and Related Records.</b> NPPD and related records, hardcopy and electronic, document information on veterans who have received prosthetic, orthotic, sensory aids, and rehabilitative and home medical equipment.</p>	<p>a. <u>Master File.</u></p>	<p><b>Temporary.</b> Cutoff at the end of fiscal year in which prosthetic procedure was concluded. Delete 3 years after cutoff.</p>	<p>N1-15-01-4, 11/17/03, item 1</p>
		<p>b. <u>Backup File.</u></p>	<p><b>Temporary.</b> Destroy when the identical NPPD master file has been deleted or replaced by a subsequent backup file.</p>	<p>N1-15-01-4, 11/17/03, item 2</p>
		<p>c. <u>Input Records.</u></p>	<p><b>Temporary.</b> Destroy after data have been entered into NPPD master file.</p>	<p>N1-15-01-4, 11/17/03, item 3</p>
		<p>d. <u>Output Records.</u></p>	<p><b>Temporary.</b> Destroy when the program official determines that they are no longer needed for administrative, legal, audit, or operational purposes.</p>	<p>N1-15-01-4, 11/17/03, item 4</p>
		<p>e. <u>Documentation.</u></p>	<p><b>Temporary.</b> Destroy or delete when replaced or superseded.</p>	<p>N1-15-01-4, 11/17/03, item 5</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
	f. <u>Electronic Mail and Word Processing Applications.</u>	Deleted by NARA with no replacement	
7700.5	<p><b>Home Improvement Structural Alterations (HISA).</b> HISA claim documentation such as floor plans, vendor price estimates, pictures, authorization forms, home inspections, purchase orders, etc. Records are used to monitor HISA grants.</p>	<p><b>Temporary.</b> Destroy 6 years, 3 months after the creation date of the purchase order or 6 years, 3 months after the last entry in file.</p>	N1-15-10-4, item 1a
	b. <u>Electronic Files.</u> Electronic records located on shared network drives or the local Vista computer system.	<p><b>Temporary.</b> Destroy 6 years, 3 months after the creation date of the purchase order or 6 years, 3 months after the last entry in file.</p>	N1-15-10-4, item 1b
7700.6	<p><b>Automobile Adaptive Equipment (AAE).</b> AAE applications, copies of driver's licenses, vehicle registration, vendor estimates, invoices, authorization letters, etc.</p>	<p><b>Temporary.</b> Destroy 6 years, 3 months after payment of the AAE benefit.</p>	N1-15-10-4, item 2
7700.7	<p><b>Home Respiratory Care.</b> Copies of oxygen prescriptions, patient education, vendor estimates and vendor respiratory reports.</p>	<p><b>Temporary.</b> Destroy 3 months after patient is discharged from the home respiratory care program or 3 months after the last entry in file.</p>	N1-15-10-4, item 3
7700.8	<p><b>Prosthetic (Amputee).</b> Copies of artificial limb prescriptions, Amputee Clinic notes, vendor estimates, authorization letters, purchase orders, etc.</p>	<p><b>Temporary.</b> Destroy 3 months after the last entry in file.</p>	N1-15-10-4, item 4

**7760 - Audiology and Speech Pathology Services**

Item Number	Records Description	Disposition Instructions	Disposition Authority
7760.1	<p><b>Hearing Aid Loaner File.</b> Present hearing aid stock replacement records, loaner aid records by manufacturer and model.</p>	<p><b>Temporary.</b> Destroy after 1 calendar year.</p>	<p>NCI-15-84-14</p>
7760.2	<p><b>Hearing Aid Battery Records.</b> Dates of requests and receipt of batteries by battery type.</p>	<p><b>Temporary.</b> Destroy after 1 calendar year.</p>	<p>NCI-15-84-14</p>
7760.3	<p><b>Equipment Charge-Out File.</b> Records of equipment charged out to veterans by dates. Card file maintained by type of equipment.</p>	<p><b>Temporary.</b> Destroy after equipment is returned.</p>	<p>NCI-15-84-14</p>
7760.4	<p><b>Clinical Appointment Schedule.</b> Daily record of appointment for both Audiology and speech pathology patients.</p>	<p><b>Superseded</b> by series 6000.2. Electronic Health Records maintain daily appointment schedules for each patient.</p>	
7760.5	<p><b>Hearing Aid Inventory File.</b> Complete record of semi-annual hearing aid inventories.</p>	<p><b>Temporary.</b> Destroy after 1 calendar year.</p>	<p>NCI-15-84-14</p>
7760.6	<p><b>Clinical Audiology and Speech Pathology Folder File.</b> Histories, evaluations, recording sheets, reports, treatment and progress and related material properly filed therein. Alphabetically separated into Audiology and Speech, Pathology.</p>	<p><b>Temporary.</b> Destroy after 5 years and after basic have been transferred to the Audiology Accumulative Record File and a summary of the treatment has been filed in the patient's health records folder file.</p>	<p>NCI-15-84-14</p>
7760.7	<p><b>Audiology Accumulative Record File.</b> Evaluation results for rating examinations. File alphabetically.</p>	<p><b>Temporary.</b> Destroy after 9 years.</p>	<p>NCI-15-84-14</p>

## 7800 - Occupational Health Programs

Item Number	Records Description	Disposition Instructions	Disposition Authority	
7800.1	<p><b>Automated Safety Incident Surveillance and Tracking System (ASISTS).</b></p> <p>The automated Safety Surveillance and Tracking System (ASISTS) is an electronic recordkeeping system used to capture and store VHA employee information pertaining to occupational injuries and illnesses. The system allows occupational health and safety professionals to track employee work-related accidents and includes, including needle stick injuries and cut/lacerations from sharp objects that are contaminated with another person's blood or other potentially infectious material. ASISTS captures and stores specific information on current and former employees, trainees, contractors, contract personnel, maintenance personnel, other individuals who have reported an occupational illness or injury. Information entered into the system consists of name, date of birth, age, sex, social security number, taxpayer identification number, home and or mailing address, home phone number, emergency contact information such as name, address, telephone number and relationship. Employee work-related injuries and illnesses (cause, severity, type of injury, body part affected). Other information related to environmental conditions and epidemiological incidences may be captured electronically or maintained as part of a paper records.</p>	a. <u>Master Files (National Database).</u> This database contains aggregate data on individuals who have reported an occupational illness or injury.	<b>Temporary.</b> Cutoff at the end of calendar year. Destroy or delete 6 years after cutoff.	N1-15-05-3, Item 1
		b. <u>Local Files.</u> This file contains facility specific data on individuals who have reported an occupational illness or injury.	<b>Temporary.</b> Cutoff at the end of calendar year. Destroy or delete 6 years after cutoff.	N1-15-05-3, Item 2
		c. <u>Office of Public Health and Environmental Hazards Files.</u> This file consists of duplicate data extracted from the master file.	<b>Temporary.</b> Destroy or delete when no longer needed for administrative or other operational purposes.	N1-15-05-3, Item 3
		d. <u>Backup Files.</u> This file consists of duplicate data created for backup purposes.	<b>Temporary.</b> Delete when the master files have been deleted or replaced by a subsequent backup file.	N1-15-05-3, Item 4
		e. <u>Input Source Records.</u>	<b>Temporary.</b> Delete after information has been entered into the local or master files and are no longer needed to support those files.	N1-15-05-3, Item 5
		f. <u>Output Records.</u> Printouts, reports, etc., that are produced from the system.	<b>Temporary.</b> Delete when no longer needed for administrative, legal, audit, or other operational purposes.	N1-15-05-3, Item 6
		g. <u>Documentation.</u> Documentation includes data dictionaries, field layouts, data entry instructions, and other manuals in paper and electronic form.	<b>Temporary.</b> Destroy or delete when superseded or obsolete.	N1-15-05-3, Item 7

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Item Number	Records Description	Disposition Instructions	Disposition Authority
7800.2	<b>Word Processing and Electronic Records.</b>	Deleted by NARA with no replacement	
7800.3	<b>Occupational Health Recordkeeping System (OHR).</b> This file consists of occupational and health histories, physical examinations, laboratory tests, imaging studies, and other diagnostic tests and clinical records pertaining to VA employees.	<b>UNSCHEDULED.</b> Schedule is pending; SF-115 submitted to NARA.	
7800.4	<b>Environment of Care (EOC) Master File/Database EOC Assessment and Compliance Tool.</b> The EOC master file/database contains all the information/data from each facility's EOC Assessment and Compliance Tool. The master file/database records are in electronic format and stored on VA servers at the Austin Information Technology Center (AITC).	<b>Temporary.</b> Cutoff at the end of the calendar year. Destroy 10 years after moved to the master file/database.	DAA-0015-2014-0002



## 7900 – Caregiver Record Management Application (CARMA)

Item Number	Record Description	Disposition Instructions	Disposition Authority
7900	<p><b>The Caregiver Record Management Application (CARMA).</b></p> <p>Is a workflow management system that is used to support the Program of Comprehensive Assistance for Family Caregivers (PCAFC), the Program of General Caregiver Support Services (PGCSS) and the Caregiver Support Line (CSL). The CARMA tracks submissions of VA Form 1010CG which includes data collection of Veteran and caregiver demographics including but not limited to names, dates of birth, gender, address/contact information, social security numbers, and calls from Veterans, Caregivers and the public that capture caller demographics.</p>	<p><b>Temporary;</b> Destroy 75 year(s) after enrollment</p>	<p>DAA-0015-2020-0001-0001</p>

**7925 – The Disruptive Behavior Reporting System (DBRS);**

Item Number	Record Description	Disposition Instructions	Disposition Authority
7925	<p><b>The Disruptive Behavior Reporting System (DBRS);</b></p> <p>Is a secure, facility managed, web-based electronic system to collect and manage reports of behavioral events that cause a safety concern. Disruptive Behavior Committee members may choose to link the DBRS event number to an electronic health record progress note to serve as a finding aid, thus alerting medical staff that an event was reported in the DBRS and provide a point of contact for follow-up questions or concerns.</p>	<p><b>Temporary;</b> Cutoff upon decommissioning the database.</p>	<p>DAA-0015-2020-0002-0002</p>

**7950-VA Enrollee Health Care Projection Model -Case File**

Item Number	Record Description	Disposition Instructions	Disposition Authority
7950	<p><b>VA Enrollee Health Care Projection Model -Case File</b></p> <p>Statistical studies, analyses, and/or data summaries that provide impacts on health care utilization, delivery, and cost for the enrolled Veteran population. Detail provided may vary based on stakeholder need and complexity of request (e.g., age, gender, priority level, enrollee type, geographical location). These studies provide historical, actual, or projected data that is often referred to in responding to inquiries concerning quantifying differences (e.g., demographics, morbidity, health care choices, behavior, location) between the enrolled Veteran population and the average population, and how these differences influence utilization and cost.</p> <p>Note; records are maintained at VHA Office of the Assistant Deputy Under Secretary for Health for Policy and Planning</p>	<p><b>Temporary;</b></p> <p>Cutoff at end of FY of year case file is completed.                      Destroy 30 year(s) after cutoff.</p>	<p>DAA-0015-2016-0005-0001</p>

## Chapter 8- Office of Research and Development

The Veterans Health Administration's (VHA) research program is an intramural program administered by the VHA Office of Research and Development (ORD) and conducted at Veterans Administration (VA) medical facilities nationwide under the authority of Title 38 United States Code (U.S.C), 7303. Federal records and copies of working documents are produced within ORD and by all VA medical facilities conducting research. These records relate to the administration of the research programs and the conduct of research.

### 8000- General Program Records

This section covers records relating to ORD's general administration and operation of VA's intramural research programs and the conduct of research.

Item Number	Records Description	Disposition Instructions	Disposition Authority
8000.1	<p><b>ORD Subject Files.</b></p> <p>Records generated by ORD related to management functions of organizational planning and structure, general policy and program matters, and informal discussions with Veterans Affairs (VA) officials on issues of concern or special interest. These records contain information on programs, activities, protocols, operations, budgets, position statements and related subject areas.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action. Destroy no sooner than 3 years but no later than 6 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0001</p>
8000.2	<p><b>Program Management Files.</b></p> <p>Records generated by ORD services and programs in the course of ongoing program operations that are not covered elsewhere in the VHA Records Control Schedule. These files relate to program scope and responsibilities; program reviews and evaluations; extra-agency partnerships; scientific achievement award programs; infrastructure support activities; balancing research portfolios and budgets; establishing review boards; conducting staff meetings; and other program management activities.</p> <p><b>NOTE:</b> Excluded are general administrative and routine housekeeping records, which are covered under the General Records Schedule and issued by NARA.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action. Destroy no sooner than 3 years but no later than 6 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0002</p>
8000.3	<p><b>Congressional Relations Files.</b></p> <p>Official reports prepared by ORD for Transmittal to members of Congress, Congressional Committees, or Congressional Staff.</p> <p><b>NOTE:</b> Transfer electronic records to the NARA for pre-accessioning 10 years after cutoff Transfer to the NARA for accessioning.</p>	<p><b>PERMANENT.</b> Cutoff at the end of the fiscal year after the material is presented to Congress. Transfer to NARA in 10-year blocks when youngest record is 20 years old.</p>	<p>DAA-0015-2015-0004, item 0003</p>

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Item Number	Records Description	Disposition Instructions	Disposition Authority
8000.4	<p><b>Briefing Records.</b></p> <p>Materials prepared by ORD for the Under Secretary for Health, the Secretary of Veterans Affairs, or other VA officials to describe issues of concern or special interest, including materials for face-to-face briefings, presentations, activity reports, and issue briefs.</p> <p><b>NOTE:</b> Transfer electronic records to the NARA for pre-accessioning 10 years after cutoff.</p>	<p><b>PERMANENT.</b> Cutoff at the end of the fiscal year after the material is presented to the Under Secretary of Veterans Affairs or other VA officials. Transfer to NARA in 10-year blocks 20 years after youngest record closes.</p>	<p>DAA-0015-2015-0004, item 0004</p>
8000.5	<p><b>Field Correspondence Files.</b></p> <p>Records documenting inquiries from medical field facility research offices, such as formal guidance related to interpretation of policy, required waivers for specific types of research and from specific policy requirements, review of policies or procedures being implemented by facilities, reports from the field on compliance matters that are duplicative of reports received by the Office of Research Oversight (ORO), and related matters.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when superseded or obsolete. Destroy 1 year after cutoff or when no longer needed for administrative or reference purposes.</p>	<p>DAA-0015-2015-0004, item 0005</p>
8000.6	<p><b>Education, Training and Outreach Files.</b></p> <p>Materials developed by ORD to provide education, training, and information to specific audiences or the general public concerning ORD's areas of responsibility.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when superseded or obsolete. Destroy 1 year after cutoff or when no longer needed for administrative or reference purposes.</p>	<p>DAA-0015-2015-0004, item 0006</p>

## 8050 - Technology Transfer

This section covers records relating to ORD's implementation and administration of the Federal Technology Transfer Act of 1986. ORD is responsible for translating the results of worthy discoveries made by employees of VA into practice.

Item Number	Records Description		Disposition Instructions	Disposition Authority
8050.1	<b>Invention Disclosure Case Files.</b> Case files include a description of the invention, circumstances surrounding the invention, a certification form describing the use of Federal resources and related correspondence.	a. <u>Invention disclosure for which a patent application was filed and issued.</u>	<b>Temporary.</b> Cutoff at the end of the fiscal year upon expiration of the patent. Destroy 2 years after cutoff.	DAA-0015-2015-0004, item 0007
		b. <u>Invention disclosure for which no patent application was filed, or no patent issued.</u>	<b>Temporary.</b> Cutoff at the end of the fiscal year upon expiration of the disclosure. Destroy 25 years after cutoff.	DAA-0015-2015-0004, item 0008
8050.2	<b>Patent Case Files.</b> Case files related to the application of a patent, patent prosecution, patent defense and patent infringement.		<b>Temporary.</b> Cutoff at the end of the fiscal year upon expiration or abandonment of the patent. Destroy 5 years after all patents in that patent family expire.	DAA-0015-2015-0004, item 0009
8050.3	<b>Cooperative Agreement Files.</b> Agreements that address the management of jointly owned inventions, such as Cooperative Technology Administration Agreements and Inter-institutional Agreements, and related correspondence.		<b>Temporary.</b> Cutoff at the end of the fiscal year after final action. Destroy 2 years after cutoff.	DAA-0015-2015-0004, item 0012
8050.4	<b>VA Confidential Disclosure Agreements.</b> These records consist of documents that address VA providing confidential information to another entity or receiving confidential information from another entity.		<b>Temporary.</b> Cutoff at the end of the fiscal year upon expiration of the agreement. Destroy 5 years after cutoff.	DAA-0015-2015-0004, item 0011
8050.5	<b>Technology Transfer Agreements.</b> Agreements that transfer rights to intellectual property and/or materials to or from VA and to or from third parties, such as license agreements, material transfer agreements, government use licenses and related agreements.		<b>Temporary.</b> Cutoff at the end of the fiscal year when the terms of the agreement expire. Destroy 2 years after cutoff.	DAA-0015-2015-0004, item 0012

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Item Number	Records Description	Disposition Instructions	Disposition Authority
8050.6	<b>License Transmittal Files.</b> Transmittals related to licenses including annual reports due under the license, royalty payments to VA, royalty distributions by VA to inventors and others, and all other correspondence connected to licenses.	<b>Temporary.</b> Cutoff at the end of the fiscal year after final action. Destroy 2 years after cutoff.	DAA-0015-2015-0004, item 0013

## 8100- Non-Profit Research and Education Corporations (NPC)

This section covers records relating to ORD's oversight and guidance of Non-Profit Research and Education Corporations (NPC) established at VA medical centers. NPCs exist to provide VA medical centers with flexible funding mechanisms to support VA's research program. This funding mechanism is other than those funds received by VA from VA's Congressional appropriation. NPCs associated with the VA are non-government entities created pursuant to title 38 U.S.C. 7361-7366. NPC business records are not subject to disclosure under the Freedom of Information Act (FOIA).

Item Number	Records Description	Disposition Instructions	Disposition Authority
8100.1	<p><b>Annual Reports from NPCs.</b></p> <p>NPCs are required to submit an annual report that details their operations, activities and accomplishments during the previous year. The annual report consists of, but is not limited to, signed certification, independent auditor's report, audited financial statements, IRS Form 990 or 990EZ with schedules, and related revenue and expense information.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when all annual reports are received from NPCs. Destroy 6 years after cutoff.</p>	DAA-0015-2015-0004, item 0014
8100.2	<p><b>Audit Case Files.</b></p> <p>Files related to the audit of NPCs by independent auditors and government auditors to ensure internal controls are in place to protect its assets and operate in compliance with all applicable laws and regulations.</p> <p>Records include but are not limited to: a final review report; on- and off- site reviews; questionnaires; reviews of board minutes, annual reports and any corrective action plans submitted by NPCs; documentation of reportable or significant adverse events; and related correspondence.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when report is completed. Destroy 6 years after cutoff.</p>	DAA-0015-2015-0004, item 0015



## 8150- Intramural Research Funding

This section covers records relating to ORD's administration and management of VA appropriated funds to promote research, ensure adequate resources, and support other research-related activities connected to VA research programs that benefit Veterans. All requests for research-related awards are submitted by VA facilities to ORD for funding consideration.

Item Number	Records Description	Disposition Instructions	Disposition Authority
8150.1	<p><b>Requests or Solicitations for Research.</b></p> <p>Documents developed by ORD to request proposals or solicitations for scientific research and related program components.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when the request or solicitation is superseded, obsolete, or withdrawn. Destroy 5 years after cutoff.</p>	DAA-0015-2015-0004, item 0016
8150.2	<p><b>Approved or Funded Case Files.</b></p> <p>All proposals, applications or nominations submitted by VA facilities that are approved and funded. Records include but are not limited to: the original submission with funding requirement; recommendation by the Merit Review Board; approved plans and protocols; clearances and authorizations; progress reports and project modifications; committee reports and site visit reports; and related correspondence and documents as applicable to each funding program.</p> <p><b>NOTE:</b> This schedule superseded the authority of NCI-15-82-7, item No. 12 A-1.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year the proposed research project is completed. Destroy 6 years after cutoff, may retain longer if necessary.</p>	DAA-0015-2015-0004, item 0017
8150.3	<p><b>Not Approved, Withdrawn or Appealed Case Files.</b></p> <p>All proposals, applications or nominations submitted by VA facilities not approved for funding, withdrawn, or funding decision appealed. Records include, but are not limited to: the original submission, supporting documents, recommendation by the Merit Review Board, evaluation and decision connected to an appeal, and related correspondence with the VA facility.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final decision or action. Destroy no sooner than 3 years but no later than 5 years after cutoff.</p>	DAA-0015-2015-0004, item 0018

Item Number	Records Description	Disposition Instructions	Disposition Authority
8150.4	<p><b>Merit Review Federal Advisory Committee Act (FACA) Committee Files.</b></p> <p>Records related to advisory committees established by agency authority and subject to the FACA that engage in scientific peer review of VA research-related activities. Records include, but are not limited to: Federal Register Notices, original and renewed committee charters, nomination packages, conflict of interest statements, membership rosters, meeting agendas and minutes, certificates of appreciation, and related documents. These records are maintained by the individual service areas and programs in ORD.</p> <p><b>NOTE 1:</b> For advisory committees subject to FACA that do not engage in scientific peer review, please refer to the General Records Schedule issued by NARA.</p> <p><b>NOTE 2:</b> Request an exception to GRS 26 for the permanent portion of the FACA records.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when the original, renewed or amended committee charter expires. Destroy 10 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0019</p>

## 8200- VA Central Institutional Review Board (IRB) and VA Central Office (VACO) Human Research Protection Program

This section covers records relating to VA's adoption and implementation of the Federal Policy (Common Rule) for the Protection of Human Subjects (1991) that requires assurances and IRB approval of human subject research conducted by VA to protect the rights and welfare of human research subjects. ORD is responsible for the review, management and oversight of the VA Central IRB and Human Research Protection Program (HRPP) for VA Central Office.

Item Number	Records Description	Disposition Instructions	Disposition Authority	
<b>8200.1</b>	<p><b>VA Central IRB Protocol Files.</b> Files related to the review and oversight of human subject research protocols submitted by VA investigators to the VA Central IRB. Records include but are not limited to: the application to the VA Central IRB; research protocol and amendments; case report forms; informed consent template and HIPAA Authorization template; reports of adverse events, complaints and deviations from IRB-approved protocol; data and safety monitoring reports; research findings to date; and all relevant documents and related correspondence between the VA Central IRB and the investigators in the review of an associated protocol.</p>	<p>a. <u>Protocols Approved by VA Central IRB.</u></p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after the research project has been completed or terminated. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0020</p>
		<p>b. <u>Protocols Disapproved by VA Central IRB or Withdrawn by the Investigator.</u></p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after the research project has been disapproved or withdrawn. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0021</p>
<b>8200.2</b>	<p><b>VA Central IRB Operating Files.</b> Files related to the ongoing operations of the VA Central IRB.</p>	<p>a. <u>Implementation Records.</u> Records include but are not limited to: agreements by VA facilities to use the VA Central IRB as the IRB of record; standard operating procedures, policies and educational materials; documents assessing the effectiveness of the IRB and compliance with all regulatory requirements; and related correspondence not specific to an individual protocol.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0022</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>b. <u>Committee Records.</u> Records include but are not limited to: VA Central IRB membership rosters, appointment letters, committee minutes, curricula vitae, training records and related documentation.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 6 year(s) after cutoff.</p>	<p>DAA-0015-2015-0004, item 0023</p>
<p>8200.3</p>	<p><b>VACO Human Research Protection Program (HRPP) Files.</b> Files related to the operations of the Human Research Protection Program (HRPP) for VA Central Office and its Federal-wide Assurance. Records include, but are not limited to: assurance application submitted to ORO and HHS Office of Human Research Protection (OHRP) for review and approval; documents related to the registration of the VA Central IRB; VACO HRPP site visit reports from entities such as the Food and Drug Administration (FDA), OHRP, Inspector General, and ORO; reports of remedial plans and corrective actions taken to address any deficiencies; and all related documentation that demonstrates efforts to come into compliance with applicable policy and regulations.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 7 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0024</p>

## 8250- Human Research Protection Program Accreditation

This section covers records relating to ORD's oversight of HRPP accreditation activities in VA facilities. Accreditation of a HRPP is obtained through the Accrediting Organization, which is an independent body that has developed standards of performance to assess compliance with the prevailing ethical, professional, and regulatory guidelines for the conduct of human subject research.

Item Number	Records Description	Disposition Instructions	Disposition Authority
8250.1	<p><b>Accreditation Application Case Files.</b></p> <p>Documents obtained or created by ORD, such as: initial and renewal applications; annual and interim reports; debriefing interview notes, agendas and minutes of meetings with the Accrediting Organization; tracking of accreditation visits and outcomes; and correspondence to/from the Accrediting Organization, HRPPs and affiliated institutions related to obtaining and maintaining HRPP accreditation.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after accreditation cycle expires. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0025</p>
8250.2	<p><b>Accrediting Organization Contract Files.</b></p> <p>Files related to management of the Accrediting Organization under contract with VA to administer HRPP accreditation in VA facilities. Records consist of but are not limited to: evaluation of contract performance including deliverables, reports, and problems or issues conveyed to the Accrediting Organization regarding their assessment of individual field facility HRPP's; and other correspondence to/from the Accrediting Organization.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year when the contract expires. Destroy 7 years after cutoff.</p>	<p>DAA-0015-2015-0004 Item 0026</p>

## 8300- VA Field Facility Research Program

This section covers records relating to the administration of intramural research programs and conduct of individual research projects at VA field facilities, some of which are funded by VA research appropriation. The research programs at each VA field facility are a decentralized program under the facility's direction. Policies for the administration of research programs and conduct of research are set by ORD.

Item Number	Records Description	Disposition Instructions	Disposition Authority
8300.1	<p><b>Documentation of Required Activities.</b></p> <p>These files include but are not limited to: documentation of required education by research staff; protocol activities including documents created or used in submitting protocols for funding, approval status from required research review committees, status (e.g., active or completed) of protocols, and protocol funding source; and research related agreements, such as memorandums of understanding and Cooperative Research and Development Agreements (CRADAs).</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action or when superseded. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2015-0004 item 0027</p>
8300.2	<p><b>Research Accreditation.</b></p> <p>Records related to acquiring and maintaining accreditation for components of the facility's research program. The accreditations are for such components as the HRPP and the animal research program. Records include but are not limited to: initial and renewal applications; annual and interim reports; tracking of accreditation visits and outcomes; and correspondence to/from the Accrediting Organization.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after accreditation cycle ends. Destroy 2 years after cutoff.</p>	<p>DAA-0015-2015-0004 item 0028</p>
8300.3	<p><b>Research Publications.</b></p> <p>Copies of publications resulting from funded and approved research activities.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after publication. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2015-0004 item 0029</p>
8300.4	<p><b>Veterinarian Medical Unit Files.</b></p> <p>Records include, but are not limited to, sanitation records, daily room checks, feed/bedding invoices, temperature tapes (for the cage washes and autoclaves), health surveillance reports, HVAC performance data, cage cards, mortality reports, pest control reports, animal order invoices, quality assurance records (RODAC plates, ADP tests, etc.) and related documentation.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2015-0004 item 0030</p>
8300.5	<p><b>Research Biosafety and Biosecurity Program Files.</b></p> <p>Records related to research laboratory inspections, emergency response planning, information on chemicals or other hazardous substances, inventory of chemicals and other agents in use in research laboratories, and laboratory safety and security policies.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action. Destroy 3 year(s) after cutoff.</p>	<p>DAA-0015-2015-0004 item 0031</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
8300.6	<p><b>Research Investigator Files.</b></p> <p>Research records maintained by the investigator that span the entire lifecycle of the project and the records required by regulations such as the investigator's regulatory file. Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>▪ research protocol and all amended versions of the protocol; grant application; review committee correspondence (e.g., Institutional Review Board, Institutional Animal Care and Use Committee, Research &amp; Development Committee) including documents approved by the review committees;</li> <li>▪ correspondence with ORD, regulatory entities, sponsor and/or funding source, correspondence;</li> <li>▪ case report forms and supporting data (including, but not limited to, signed and dated informed consent forms and HIPAA authorization forms);</li> <li>▪ documentation on each subject including informed consent, interactions with subjects by telephone or in person, observations, interventions, and other data relevant to the research study;</li> <li>▪ data collected during the research including photos, video recordings, and voice recording, all derivative data, and derivative databases;</li> <li>▪ lists of all subjects entered in the study and the crosswalk connecting the subjects name with the code used for each subject; subject compensation records;</li> <li>▪ reports of adverse events, complaints and deviations from IRB-approved protocol;</li> <li>▪ data analyses;</li> <li>▪ codes and keys used to de- identify and re-identify subjects' PHI;</li> <li>▪ reports (including, but not limited to, abstracts and other publications);</li> <li>▪ research study correspondence not involving ORD, Office of Research Oversight (ORO), sponsor, or funding source;</li> <li>▪ correspondence and written agreements with the funding source or sponsor, ORD and applicable oversight entities such as IRB, Research and Development (R&amp;D) Committee, VA Office of Research and Oversight (ORO), VA Office of Human Research Protections (OHRP) and FDA;</li> <li>▪ research study correspondence not involving ORD, Office of Research Oversight (ORO), sponsor, or funding source;</li> <li>▪ signed and dated forms submitted to regulatory agencies;</li> <li>▪ investigator's brochure;</li> <li>▪ records related to the investigational drugs such as drug accountability records;</li> <li>▪ monitoring and audit reports such as Data Safety Monitoring Board Reports and audits by oversight entities;</li> <li>▪ documents related to budget and funding;</li> <li>▪ other forms required by policy and regulation</li> </ul> <p><b>NOTE:</b> If the investigator leaves VA, all research records are retained by the VA facility where the research was conducted. If the grant is ongoing and the investigator leaves one VA facility to go to another VA facility, the investigator must obtain approval for a copy of relevant materials to be provided to the new VA facility's research office. The investigator is not the grantee, nor does the investigator own the data.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after completion of the research project. Destroy 6 years after cutoff.</p> <p>May retain longer if required by other Federal regulations or the European General Data Protection regulations.</p>	<p>DAA-0015-2015-0004, item 0032</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority	
8300.7	<p><b>Research Review Committee and Subcommittee Protocol Files.</b></p> <p>Committee and subcommittee files related to the review and oversight of research protocols submitted by VA investigators for research conducted at the field facility. The committees and subcommittees include, but are not limited to, the Research &amp; Development (R&amp;D) Committee, the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), the Subcommittee on Research Safety, and the Institutional Biosafety Committee. Records include, but are not limited to, the application to the VA Central IRB; research protocol and amendments; case report forms; reports of adverse events, complaints and deviations from the approved protocol; data and safety monitoring reports; research findings to date; and all relevant documents and related correspondence between the committee and the investigators in the review of an associated protocol.</p>	<p>a. <u>Protocols Approved by the Committee or Subcommittee.</u></p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after the research project has been completed or terminated. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0033</p>
		<p>b. <u>Protocols Disapproved by the Committee or Subcommittee or Withdrawn by the Investigator.</u></p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after the research project has been disapproved or withdrawn. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0034</p>



Item Number	Records Description	Disposition Instructions	Disposition Authority	
8300.8	<p><b>Research Review Committee or Subcommittee Operating Files.</b> Files related to the ongoing operations of the review committees or subcommittees.</p> <p><b>NOTE 1:</b> This note only applies to Food and Drug Administration clinical investigation of Drugs. The retention requirements for investigator files from clinical investigations involving investigational drugs are found at 21 CFR Section 312.62. Investigator files from clinical investigations subject to 21 CFR Section 312 must be kept 2 years after the marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified or the RCS records schedule whichever is longer, per 21 CFR Section 812.</p> <p><b>NOTE 2:</b> The retention requirements for investigator files from clinical investigations involving medical devices with investigational device exemptions are found in 21 CFR Section 12.140(d). Investigator files from clinical investigations subject to 21 CFR Section 812 must be maintained during the investigation and for a period of 2 years after the latter of the following two dates: The date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol. Until 2 years after the investigation is discontinued and FDA is notified or the RCS records schedule whichever is longer, per 21 CFR Section 812.</p>	<p>a. <u>Implementation Records.</u> Records include but are not limited to: agreements by VA facilities to use a review committee or subcommittee from the affiliated university or other entity; standard operating procedures, policies and educational materials; documents assessing the effectiveness of the review committees or subcommittees and compliance with all regulatory requirements; and related correspondence not related to specific protocols received or created during the course of VA Central IRB operations.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 3 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0035</p>
		<p>b. <u>Review Committee or Subcommittee Records.</u> Records include, but are not limited to, membership rosters, appointment letters, curricula vitae, training records, meeting minutes and related documentation.</p>	<p><b>Temporary.</b> Cutoff at the end of the fiscal year after final action, expiration, or when superseded. Destroy 6 years after cutoff.</p>	<p>DAA-0015-2015-0004, item 0036</p>

## 8500- Office of Research Oversight (ORO)

Public Law 108-170, Veterans Health Care, Capital Asset, and Business Improvement Act of 2003 established by statute in the Veterans Health Administration an “Office of Research Oversight.”

ORO serves as the primary advisor to the Under Secretary for Health on matters of compliance, assurance, and technical assistance in human subject protections, laboratory animal welfare, research safety, research laboratory security, research information security, facility research compliance officer education, research misconduct, and government suspension and debarment for research impropriety. ORO conducts a variety of oversight activities to fulfill its mandate.

Item Number	Records Description	Disposition Instructions	Disposition Authority
8500.1	<p><b>Case Records Containing Official Determinations.</b></p> <p>ORO records, including case reports and electronic databases containing official determinations (e.g., findings and required actions) related to ORO’s compliance oversight, technical assistance, and quality assurance activities.</p>	<p><b>PERMANENT.</b> Cutoff 7 years after relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later. Transfer electronic records to NARA for pre-accessioning 5 year(s) after cutoff. Transfer to NARA 25 year(s) after cutoff.</p>	DAA-0015-2015-0002, item 0001
8500.2	<p><b>Evidential Records.</b></p> <p>Records that provide critical evidence in support of ORO determinations and/or actions that may be disputed or subjected to litigation.</p>	<p><b>Temporary.</b> Destroy 7 years after all relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later.</p>	DAA-0015-2015-0002, item 0002
8500.3	<p><b>Policy and Guidance Records.</b></p> <p>Directives, handbooks, guidance, training materials, and standard operating procedures developed by ORO.</p>	<p><b>Temporary.</b> Destroy 7 years after all relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later.</p>	DAA-0015-2015-0002, item 0003
8500.4	<p><b>Formal Briefing Records.</b></p> <p>Materials prepared by ORO for the Under Secretary for Health, the Secretary of Veterans Affairs, or other VA officials to describe issues of concern or special interest, including materials for formal face-to-face briefings, presentations, activity reports, and issue briefs.</p>	<p><b>PERMANENT.</b> Cutoff at end of year in which documents are delivered to the relevant official or all relevant claims for or against VA are finalized, whichever is later. Transfer electronic records to NARA for pre-accessioning 5 year(s) after cutoff. Transfer paper to NARA in 5-year blocks 25 year(s) after youngest record in block is 5 years old.</p>	DAA-0015-2015-0002, item 0004

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Item Number	Records Description	Disposition Instructions	Disposition Authority
8500.5	<p><b>Congressional Relations Records.</b>            Quarterly and annual reports to Congress as required by statute, special reports created at the request of Congress, written testimony, and supporting materials for face-to-face briefings of Members of Congress and Congressional staff.</p>	<p><b>PERMANENT.</b> Cutoff annually after documents are delivered to Congress. Transfer to NARA in 5-year blocks 15 year(s) after closure of youngest record in block.</p>	<p>DAA-0015-2015-0002, item 0005</p>
8500.6	<p><b>Transitory Records with Limited Historical Value.</b>            All records not specifically covered under other subsections of this manual.</p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>DAA-0015-2015-0002, item 0006</p>
8500.7	<p><b>Duplicate Records.</b>            Duplicate copies of records retained by ORO.</p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>DAA-0015-2015-0002, item 0007</p>
8500.8	<p><b>Reference Documents.</b>            Materials retained solely for reference or informational purposes.</p>	<p><b>Temporary.</b> Destroy when no longer needed.</p>	<p>DAA-0015-2015-0002, item 0008</p>

## 8600- VHA Office of Research Oversight Research Case Files

Public Law 108-170, Veterans Health Care, Capital Asset, and Business Improvement Act of 2003 established by statute in the Veterans Health Administration an "Office of Research Oversight". ORO serves as the primary advisor to the Under Secretary for Health on matters of compliance and assurance in human subject protections, laboratory animal welfare, research safety and security, and research impropriety and misconduct. ORO conducts a variety of oversight activities to fulfill its responsibilities and legislative mandate. ORO is organizationally structured under the Office of the Under Secretary for Health, Veterans Health Administration (VHA), VHA Central Office, Department of Veterans Affairs (VA). ORO provides program directions through its Central Office and strategically located Regional Offices. ORO oversees VHA's research misconduct program and is responsible for the oversight of suspensions and Government wide debarments for research impropriety.

Item Number	Records Description	Disposition Instructions	Disposition Authority	
8600.1	<b>Research Misconduct Case Records Involving Allegations Referred for an Inquiry and/or Investigation.</b> (see note below 1c)	a. <u>Research Misconduct Case Records with Significant Historical Value that are Maintained by ORO Involving Allegations that are Referred for an Inquiry or Investigation.</u> Records with significant historical value that are maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, final (issued) Inquiry and Investigation reports, Inquiry and Investigation report attachments and exhibits that are deemed significant by ORO, final (corrected) transcripts or recordings of interviews conducted during an Inquiry or Investigation, copies of research records or relevant sections thereof, final (issued) notifications and decisional letters, written appeals, and case information sheets (or equivalent case summary documents).	<b>PERMANENT.</b> Transfer to inactive off-site storage, 7 years after the case is closed or 7 years after all claims for or against VA related to the matter are finalized, whichever is later. Transfer to inactive off-site storage in 5-year blocks 25 year(s) after case closure.  <i>Note; inactive off-site storage includes; VA Record Center &amp; Vault and NARA approved commercial record centers.</i>	DAA-0015-2014-0001 item 0001
	b. <u>Research Misconduct Case Records with Minimal Historical Value that are Maintained by ORO Involving Allegations Referred for an Inquiry and/or Investigation.</u> Records with minimal historical value that are maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records not specifically covered by Item XLVII-1a.	<b>Temporary.</b> Destroy 7 year(s) after case is closed or after all claims for or against the VA related to this matter are finalized, whichever is later.	DAA-0015-2014-0001 item 0002	

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>c. <u>Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO Involving Allegations Referred for an Inquiry and/or Investigation.</u> Records created and maintained in the course of responding to allegations of research misconduct, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, Inquiry and Investigation reports, all Inquiry and Investigation report attachments and exhibits, transcripts or recordings of interviews conducted during an Inquiry or Investigation, case-related evidence, copies of research records, notifications and decisional letters, and written appeals.</p>	<p><b>Temporary.</b> Destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.</p>	<p>DAA-0015-2014-0001 item 0003</p>
<p>8600.2</p>	<p><b>Research Misconduct Case Records Involving Allegations that are Not Referred for an Inquiry and/or Investigation.</b></p> <p>a. <u>Research Misconduct Case Records Maintained by ORO. Records maintained by ORO in the course of ORO's oversight of research misconduct cases,</u> including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, copies of research records or relevant section thereof, final (issued) notifications and decisional letters, case information sheets (or equivalent case summary documents), draft versions of documents, e-mail correspondence, telephone logs, notes, and other records.</p> <p>b. <u>Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO.</u> Records created and maintained in the course of responding to allegations of research misconduct, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, case-related evidence, copies of research records, and notifications and decisional letters.</p>	<p><b>Temporary.</b> Destroy 7 year(s) after case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.</p> <p><b>Temporary.</b> Destroy 7 year(s) after case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.</p>	<p>DAA-0015-2014-0001 item 0004</p> <p>DAA-0015-2014-0001 item 0005</p>

Item Number	Records Description		Disposition Instructions	Disposition Authority
<p><b>8600.3</b></p> <p><b>Case Records Maintained Throughout VHA for Government-wide Suspensions and Debarments Based on Research Impropriety.</b></p> <p>This item pertains to records that are created and/or used as a result of a recommendation to suspend or debar individuals from participating in Government-wide non-procurement activities based on research impropriety. The records are maintained by various VHA offices and at various locations, including VA medical facilities, VISN offices, ORO Central and Regional Offices, and VA Central Office.</p> <p><b>NOTE:</b> Where applicable, the records are protected from disclosure by exemptions to the Freedom of Information Act (5 United States Code (U.S.C. 552(b)), the Privacy Act (5 U.S.C. 552a), 38 U.S.C. 5701, 5705, and 7332, and the HIPAA Privacy Rule (45 CFR Parts 160 and 164).</p>	<p>a. <u>Suspension and Debarment Case Records with Significant Historical Value that are Maintained by ORO.</u> Records with significant historical value that are created or maintained by ORO in the course of ORO's oversight or making of recommendations to institute a Government-wide suspension or debarment based on research impropriety, including, but not limited to, the underlying written recommendation for suspension Electronic Records or debarment, final (issued) reports and other documents resulting from a fact finding process that support the recommendations and decisions, transcripts or recordings of interviews and proceedings; documentary evidence deemed significant for retention by ORO, final (issued) notifications and decisional letters, written requests for reconsideration of decisions, and case information sheets (or equivalent case summary documents).</p>		<p><b>PERMANENT.</b> Transfer to inactive off-site storage, 7 years after the case is closed or 7 years after all claims for or against VA related to the matter are finalized, whichever is later. Transfer to inactive off-site storage in 5-year blocks 25 year(s) after case closure.</p> <p><i>Note; inactive off-site storage includes; VA Record Center &amp; Vault and NARA approved commercial record centers.</i></p>	<p>DAA-0015-2014-0001 item 0006</p>
	<p>b. <u>Suspension and Debarment Case Records with Minimal Historical Value that are Maintained by ORO.</u> Records with minimal historical value that are maintained by ORO in the course of ORO's oversight or making of recommendations to institute a Government-wide suspension or debarment based on research impropriety, including, but not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records not specifically covered by Item XLVII-18a.</p>		<p><b>Temporary.</b> Destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.</p>	<p>DAA-0015-2014-0001 item 0007</p>
	<p>c. <u>Suspension and Debarment Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO.</u> Records created and maintained in the course of recommending or instituting a Government wide suspension or debarment based on research impropriety, including, but not limited to, the underlying written recommendation for suspension or debarment.</p>		<p><b>Temporary.</b> Destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.</p>	<p>DAA-0015-2014-0001 item 0008</p>

Item Number	Records Description	Disposition Instructions	Disposition Authority
	<p>d. <u>Reports and other documents resulting from a fact-finding process that support the recommendations and decisions</u>, transcripts or recordings of interviews and proceedings, documentary evidence, notifications and decisional letters, and written requests for reconsideration of decisions.</p>		
<p><b>SPECIAL NOTE:</b> When dealing with the Food and Drug Administration clinical investigation of drugs or medical devices, the Record Schedule found in RCS 10-1 (in some cases) may have to be extended to meet the requirements of 21 CFR Section 312.62 and 12.140(d). If there is a question, contact the ORD Program Office at VHA VACO HQ.</p> <ul style="list-style-type: none"> <li>▪ <b>NOTE:</b> This note only applies to Food and Drug Administration clinical investigation of drugs. The retention requirements for investigator files from clinical investigations involving investigational drugs are found at 21 CFR Section 312.62. Investigator files from clinical investigations subject to 21 CFR Section 312 must be kept 2 years after the marketing application is approved for the drug for the indication for which it is being investigated; or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified or the RCS records schedule whichever is longer, per 21 CFR.</li> <li>▪ <b>NOTE:</b> The retention requirements for investigator files from clinical investigations involving medical devices with investigational device exemptions are found in 21 CFR Section 12.140(d). Investigator files from clinical investigations subject to 21 CFR Section 812 must be maintained during the investigation and for a period of 2 years after the latter of the following two dates: The date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol. Until 2 years after the investigation is discontinued and FDA is notified or the RCS records schedule whichever is longer, per 21 CFR.</li> </ul>			

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**One-Time Use NARA Approved Records Schedules**

These are records schedules normally to legally transfer permanent records to the National Archives and Records Administration. This record schedule is normally used one time to facilitate the legal transfer and never used again. This section will contain these schedules. Because of the nature of the records, the schedules will be placed in an appendix of RCS 10-1 instead of the normal section.

**Office of Journal of Rehabilitation Research**

DAA-0015-2017-0003, items 0001, 0002, and 0003: Records of the Office of Journal of Rehabilitation Research, a peer reviewed and indexed multidisciplinary publication of rehabilitative Research and Development. This transfer included published journals and photographs ranging from 1950's to 1990's of prosthetic equipment for VHA test patients. Additional details can be found on the NARA web-site for VA Record Group 0015; [https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/department-of-veterans-affairs/rg-0015/daa-0015-2017-0003\\_sf115.pdf](https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/department-of-veterans-affairs/rg-0015/daa-0015-2017-0003_sf115.pdf).



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## **Schedules Changed or New to RCS 10-1**

**PLEASE NOTE:** Record title, description, item number, disposition instructions, and/or disposition authority have changed. The following are schedules that are new or have been changed since the last version of RCS 10-1:

**1006.9** - Privacy Act Amendment Request Files.

**1130** Series Volunteer Service Records (superseded) by 3020 series

**1270.1**- Disaster Emergency Medical Personnel System (DEMPS) Records. (Change in disposal authority)

**7900** - The Caregiver Record Management Application (CARMA).

**7925** - The Disruptive Behavior Reporting System (DBRS);

**7950** - VA Enrollee Health Care Projection Model -Case File

**Note;** All references to Federal Record Center (FRC) in the disposition schedule have been changes to “Inactive Off-Site Records Storage” this includes VA RC&V and Commercial Storage. NARA FRC will not accept new records after December 2022.