

# Guide to Judiciary Policy

Vol. 10: Public Access and Records  
Ch. 6: Records Management

## Appx. 6A: Records Disposition Schedule 1

This schedule covers the disposition of the records of the United States courts of appeals (including the Court of Appeals for the Federal Circuit), the former Court of Customs and Patent Appeals, the former Temporary Emergency Court of Appeals, circuit judicial councils, bankruptcy appellate panels, and circuit judicial conferences.

This schedule has been approved by the Judicial Conference of the United States and the Archivist of the United States and is mandatory. It applies to existing records of these courts, councils, and conferences, except the personal files of judges. The Archivist of the United States retains the authority to accession, as part of the National Archives and Records Administration (NARA), any records having historical or other value upon the expiration of the retention period specified in this schedule. **See:** [44 U.S.C. chapter 21](#). Selection criteria for historical preservation will be developed and revised by NARA in consultation with court officials and other historical and academic parties.

To the extent that the retention period specified in this schedule may vary from any statutory provision, the longer period of retention, whether in the statute or in the schedule, applies. Records of historical value are designated "Permanent" in this schedule. Court officials should also consult the [General Records Schedule \(GRS\)](#) issued by NARA for the appropriate retention periods for general/other non-case file administrative records that are not addressed in the following schedule.

The Federal Records Centers (FRC) are facilities operated by NARA for the storage and servicing of records of federal agencies pending their disposal or permanent transfer to NARA. Court records stored in FRCs remain in the legal custody of the judiciary. Once court records are transferred to NARA, they are in the Archivist's legal custody. Temporary records with a disposition of five years or less should be stored at the courthouse.

The term "correspondence" as used in this schedule includes email. Email whose retention is required for more than three years under this schedule must be stored in a system outside the email program that is subject to records management requirements for the mandated retention period. When the retention period is three years or less, email may be retained inside the email program. The email system only serves as a recordkeeping system for general correspondence and email records that must be retained for three years or less from the date of creation. Email records that do not meet this criterion should be retained outside the email system.

<b>Records Disposition Schedule 1</b>	
<b>Type of Record</b>	<b>Disposition</b>
<b>A. NON-ELECTRONIC APPELLATE CASE FILES</b> applicable to all U.S. courts of appeals and bankruptcy appellate panels.	
<b>1. Case file records.</b> Docket-related items such as case indices, docket sheets, briefs and appendices, mandates, opinions, disposition orders, minutes of the court, journals, and order books.	Permanent.  Paper: Transfer paper records to NARA in 5-year blocks when the oldest FRC transfer is 20 years old, such as:  Pre-1996: Transfer in 2011 1996 – 2000: Transfer in 2016 2001 – 2005: Transfer in 2021 2006 – 2010: Transfer in 2026  (N1-276-09-001, Item A1)
<b>2. Case administrative (correspondence) files.</b> Case correspondence and miscellaneous files relating to attorneys, calendars, filing of papers, and other administrative matters of the case, maintained outside the case file.	Temporary. Destroy 2 years after close of case.  (N1-276-09-001, Item A2)
<b>3. Sealed records.</b> Those case records that have been sealed by court order while such order is in effect.	
a. Records sealed for protection of the defendant under <a href="#">18 U.S.C. § 5038</a> or 21 U.S.C. § 844(b) [repealed].	Temporary. Destroy as directed by the court. Do not transfer to an FRC.  (DAA-0021-2019-0003-0001)
b. Permanently sealed records.	Maintain at the court location in a separate file from the related case file. When the order sealing the records is vacated by the court, dispose of consistent with the pertinent provisions of this schedule for the related case file.  (DAA-0021-2019-0003-0026)

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<b>B. CASE ASSOCIATED RECORDS.</b>	
<b>1. Calendars.</b>	Temporary. Destroy 1 year after calendar period, unless otherwise needed.  (N1-021-86-1, Item B1)
<b>2. Attorney admission records.</b>	
a. Rolls of attorneys admitted to practice. Records may consist of application letters, admission cards or computer listings, background materials, and records of court proceedings.	Permanent. Cut off annually upon admission. Transfer to an FRC when 5 years old. Transfer to NARA 25 years after cutoff.  (DAA-0021-2019-0003-0003)
b. Records relative to disciplinary actions. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notice of hearings, and briefs.	Temporary. Cut off annually when action is complete. Transfer to an FRC 5 years after cutoff. Destroy 50 years old after cutoff.  (DAA-0021-2019-0003-0004)
c. Other records, including applications and certificates.	Temporary. Cut off annually when action is complete. Destroy 5 years after cutoff.  (DAA-0021-2019-0003-0005)
<b>3. Staff attorney records and circuit mediation records relating to cases.</b>	Temporary. Destroy as directed by the court. Do not transfer to an FRC.  (DAA-0276-2013-0003-0001)
<b>4. Attorney disbarment proceedings.</b> Records may be reciprocal or original. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notices of hearings, and briefs.	Permanent. Cut off annually when proceeding is complete. Transfer to an FRC when 5 after cutoff. Transfer to NARA 25 years after cutoff.  (DAA-0021-2019-0003-0006)

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<b>Type of Record</b>	<b>Disposition</b>
<b>C. MISCELLANEOUS APPELLATE AND CIRCUIT RECORDS.</b>	
<b>1. Circuit Judicial Council.</b>	
a. Minutes, final reports, and other documents related to council action.	Permanent. Cut off annually at end of calendar year. Transfer to NARA when 25 years old.  (DAA-0021-2019-0003-0007)
b. Judicial conduct and disability records. Complaints filed under the Judicial Conduct and Disability Act ( <a href="#">28 U.S.C. §§ 351-364</a> ), alleging that a judge committed misconduct or is disabled. Items C.1.b.(1) and C.1.b.(2) relating to proceedings under the Judicial Conduct and Disability Act are confidential, and therefore disclosure-restricted, to the extent required by <a href="#">28 U.S.C. § 360</a> and by Rules 23 and 24 of the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings.	
(1) Orders, memoranda of decision, and any reports or other items included with them, issued by a Chief Judge, a circuit judicial council, the United States Judicial Conference Committee on Judicial Conduct and Disability and its predecessors and successors, or the Judicial Conference of the United States, in any proceeding under the Judicial Conduct and Disability Act (as codified in <a href="#">28 U.S.C. §§ 351-364</a> or elsewhere), the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings, and any other associated rules.	Permanent. Transfer records to NARA 10 years after final decision or action or when no longer needed for reference purposes, whichever is later.  (DAA-0021-2013-0003-0001)
(2) Interim and miscellaneous materials not listed in item (1) nor attached to a document listed in item (1), that are created or received in any proceedings under the Judicial Conduct and Disability Act (as codified in <a href="#">28 U.S.C. §§ 351-364</a> or elsewhere), the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings, and any other associated rules. These materials may include but are not limited to: complaints, petitions for review and associated responses, special committee reports, notes, correspondence, and other items created or received during an inquiry or investigation.	Temporary. Destroy 5 years after final disposition of complaint or when no longer needed for reference purposes, whichever is later.  (DAA-0021-2013-0003-0002)

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c. All other council records.	Temporary. Cut off annually at end of calendar year. Destroy 5 years after cutoff.  (DAA-0021-2019-0003-0008)
<b>2. Circuit Judicial Conference</b>	
a. Formal actions and minutes, if any. Records may consist of reports, agendas, correspondence, meeting summaries, minutes, reports of council actions, and subcommittee reports.	Permanent. Cut off annually at the end of calendar year. Transfer to an FRC when 5 years old. Transfer to NARA when 25 years old.  (DAA-0021-2019-0003-0009)
b. All other circuit conference records.	Temporary. Cut off annually at end of calendar year. Destroy 5 years after cutoff.  (DAA-0021-2019-0003-0010)
<b>3. Judicial assignments and designations to and from the courts of appeals</b> ( <a href="#">28 U.S.C. § 295</a> ). Records may consist of correspondence, requests for judicial assignments, and orders.	Temporary. Cut off annually at end of calendar year. Transfer to an FRC when no longer needed for reference. Destroy 50 years after cutoff.  (DAA-0021-2019-0003-0011)
<b>4. Records of Special Prosecutors appointed by a court of appeals</b> ( <a href="#">28 U.S.C. § 593</a> )	Permanent. Cut off when case closed. Transfer to NARA 25 years after cutoff.  (DAA-0021-2019-0003-0012)
<b>5. Local Rules.</b> Records relating to the issuance of rules for the conduct of court business under <a href="#">28 U.S.C. § 2071</a> . Records include final external notices, public comments, final orders, and official publications.	Permanent. Cut off when rule is approved. Transfer to the National Archives 15 years after cutoff.  (DAA-0021-2019-0005-0001)
<b>D. ADMINISTRATIVE RECORDS.</b>	
<b>1. Local unofficial personnel/supervisor files.</b> Local personnel files include correspondence, forms, and other records relating to positions, authorizations,	Temporary. Destroy 7 years after employee separation or transfer.

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<p>pending actions, position descriptions, requests for personnel action; fingerprint and background check records; and other records on individual employees duplicated in or not appropriate for the Official Personnel File (OPF).</p> <p><b>Note:</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 are covered under RDS 1, Item D.3.b.</p> <p><b>Note:</b> This item excludes employee medical documents unless they are part of the 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 RDS 1, Item D.6.a.</p>	<p>(GRS 2.2, Item 080)</p>
<b>2. Employee Dispute Resolution.</b>	
<p>a. Employment Dispute Resolution (EDR) Administrative records. Includes:</p> <ul style="list-style-type: none"> <li>• Prior EDR Plans</li> <li>• Prior EEO Plans</li> <li>• Orders or memoranda adopting EDR Plans or appointing EDR Coordinators</li> <li>• Statistical records of Informal Advice contacts</li> </ul>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 110)</p>
<p>b. EDR Assisted Resolution files. Includes:</p> <ul style="list-style-type: none"> <li>• Request for Assisted Resolution</li> <li>• Any agreement to mediate</li> <li>• Records of process</li> <li>• Documentation of settlement or discontinuance of the Assisted Resolution process</li> </ul> <p>Also includes:</p> <ul style="list-style-type: none"> <li>• Request for counseling under prior EDR Plans</li> <li>• Request for mediation under prior EDR Plans</li> <li>• Notice of designation of mediator</li> <li>• Documentation of settlement</li> <li>• Notice of conclusion of counseling period</li> <li>• Notice of conclusion of mediation</li> </ul>	<p>Temporary. Destroy 7 years after case is closed, but longer disposition is authorized if required for business use.</p> <p>(GRS 2.3, Item 110)</p>
<p>c. EDR Formal Complaint Files. Includes:</p>	<p>Temporary. Destroy 7 years after case is closed, but longer</p>

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<ul style="list-style-type: none"> <li>• Formal Complaint (including complaint filed under prior EDR Plans)</li> <li>• Response to Formal Complaint (including response to complaint filed under prior EDR Plans)</li> <li>• Scheduling orders and notices of hearings</li> <li>• Motions, filings, and responses</li> <li>• Orders of chief judge and Presiding Judicial Officer</li> <li>• Records of process</li> <li>• Documents exchanged in discovery</li> <li>• Investigation reports</li> <li>• Documents presented at hearing</li> <li>• Transcripts of hearing</li> <li>• Written decision</li> <li>• Petition for Review of decision</li> <li>• Resolution of Petition for Review</li> </ul>	<p>disposition is authorized if required for business use.</p> <p>(GRS 2.3, Item 111)</p>
<b>3. Administrative grievance, disciplinary, and adverse action files.</b>	
a. Local adverse action and/or grievance plan or procedure maintained by the court.	<p>Temporary. Destroy 7 years when superseded or obsolete, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 5.7 Item 030)</p>
b. Documents, memoranda, or other records related to an adverse action, disciplinary action, or grievance maintained by the court.	<p>Temporary. Destroy 7 years after case is closed.</p> <p>(GRS 2.3, Item 060)</p>
<b>4. Performance management files.</b>	
a. Performance management plan, if applicable, including compensation strategy and appraisal tool with rating levels or tiers, and payout date for discretionary step increases.	<p>Temporary. Destroy 7 years after superseded or obsolete but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 5.7, Item 030)</p>
b. Individual records of employee performance including performance evaluation, performance plan upon which it is based, and rating, among other performance related materials.	<p>Temporary. Destroy 7 years old or after AO audit, whichever is later. Longer retention is authorized at the</p>

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	discretion of the principal records custodian.  (DAA-0021-2014-0001-0001)
<b>5. Awards and bonuses files.</b>	
a. Employee recognition and/or bonus plans, as applicable maintained by the court.	Temporary. Destroy when 7 years old but longer retention is authorized at the discretion of the principal records custodian.  (DAA-0021-2014-0001-0002)
b. For each employee recognition award recipient, documentation that includes name or ID, amount or cost of award, category or criteria, supporting justification, aggregate amount or cost of all awards received by the employee per year, and other related court-maintained documentation.	Temporary. Destroy when 7 years old but longer retention is authorized at the discretion of the principal records custodian.  (DAA-0021-2014-0001-0003)
c. For each recruitment, retention, or relocation bonus documentation that includes name or ID, amount of bonus, service agreement, authorization, and other related court-maintained documentation.	Temporary. Destroy when 7 years old but longer retention is authorized at the discretion of the principal records custodian.  (DAA-0021-2014-0001-0004)
<b>6. Employee Medical Folder (EMF).</b>	
a. Any court-maintained medical records related to Family and Medical Leave Act (FMLA), serious health condition for sick leave, medical emergency for Voluntary Leave Transfer Program donated leave, reasonable accommodation for disability, workplace injury not reported as, or related to, an Office of Workers Compensation Programs (OWCP) claim, fitness-for-duty or counseling records related to alcohol or drug treatment programs.	Temporary. Destroy 7 year after employee separation or transfer.  (GRS 2.7, Item 061)
b. OWCP claim. Court-maintained documents related to an OWCP claim. Including medical reports, copies of letters and decisions, and any other material that is part of the case file, regardless of its source. These	<b>See:</b> Guide, Vol. 12, § 750.30 (Workers' Compensation).

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documents are considered an alternate location for OWCP claim records, and under the jurisdiction of OWCP.	
<b>7. Telework files.</b>	
<p>a. Telework Worksite Program Files. Records generated by the designated court telework coordinators and other related staff. Includes:</p> <ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Notes</li> <li>• Policy implementation documents</li> <li>• Form development files</li> <li>• Planning records</li> <li>• Program evaluation documentation/data</li> <li>• Other related records generated by the agency or participating employees</li> </ul>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 2.3, Item 010)</p>
<p>b. Telework agreement for each employee who is eligible for telework, and duty station documentation, if applicable.</p>	<p>Temporary. Destroy 3 years after end of employee's participation in the program, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 2.3, Item 040)</p>
<b>8. Administrative training records.</b>	
<p>a. <b>Individual employee training records.</b> Records documenting training required by all or most Federal agencies, such as information system security 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</li> <li>• Mentoring or coaching agreements</li> </ul> <p><b>Note:</b> This excludes academic transcripts, professional licenses, civil service exams, or documentation of mission-related training.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 2.6, Item 030)</p>
<p>b. <b>Non-mission employee training program records.</b> Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> <li>• Plans, reports, and program evaluations</li> <li>• Employee skills assessments</li> </ul>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 2.6, Item 010)</p>

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<ul style="list-style-type: none"> <li>• Organizational and occupational needs assessments</li> <li>• Notices about training opportunities schedules, or courses</li> <li>• Employee training statistics</li> <li>• Mandatory training tracking and reporting files</li> <li>• Logistics and coordination documents</li> <li>• Authorization and similar records</li> <li>• Registration forms, employee attendance records</li> <li>• Syllabi, presentations, instructor guides, handbooks, 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>Note:</b> Financial records related to purchase of training or travel for training are retained under RDS 1 Item F(1).</p>	
<p><b>9. Position classification files.</b> Court copies of:</p> <ul style="list-style-type: none"> <li>• Position Description and Position Classification Certification Form (AO 194)</li> <li>• Organization chart at the time of position approval for supervisory or managerial positions, and</li> <li>• Other classification related documentation</li> </ul>	<p>Temporary. Destroy 3 years after position is abolished but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 2.1, Item 021)</p>
<p><b>10. Job vacancy files.</b> Court recruitment files consisting of:</p> <ul style="list-style-type: none"> <li>• Copy of the vacancy announcement, job analysis, if applicable</li> <li>• Copy of newspaper advertisements (or other forms of advertising)</li> <li>• List of recruitment sources</li> <li>• Application materials with date of receipt</li> <li>• Ranking or rating criteria, if applicable (to include rating/scoring definitions and/or methodology)</li> <li>• List of applicants with designation or not qualified, qualified, and best qualified</li> <li>• List of applicants interviewed</li> <li>• List of interview questions used</li> <li>• New appointment Applicants and Interviewees Worksheet (Part D of the AO 78A), and</li> <li>• Other relevant recruitment documentation</li> </ul>	<p>Temporary. Destroy 3 years after appointment.</p> <p>(GRS 2.1, Item 051)</p>

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<b>11. Drug testing files.</b> Includes records based on reasonable suspicion.	Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.  (GRS 2.7, Item 130)
<b>12. Employee Drug Test Acknowledgement 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.	Temporary. Destroy 3 years after separation from drug testing position.  (GRS 2.7, Item 110)
<b>E. PAYROLL, PAY AND BENEFITS ADMINISTRATION RECORDS.</b>	
<b>1. Time and attendance files.</b> Sign-in/sign-out records, timecards, leave applications and approval of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approval; premium pay authorizations; and other records documenting employees' presence at or absence from work.	Temporary. Destroy when 7 years old or after AO audit, whichever is later.  (GRS 2.4, Item 030)
<b>2. Voluntary Separation Incentive Program.</b> Voluntary Separation Incentive Payment (VSIP) and Voluntary Early Retirement Authority (VERA) Files. VSIP or VERA restructuring plans, including target universe and selection criteria, organizational charts, offer notices, acceptance notices, VSIP payment calculations and documentation of how selection criteria was applied (if applicable). Retention is based on 5-year repayment requirements.	Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 2.2, Item 020)
<b>3. Leave files.</b> Leave records. Leave balances and documentation of accrual and use.	Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 2.4 Item 030)
<b>4. Benefits files.</b>	
a. Request for health benefits under spouse equity – Denied applications.	Temporary. Destroy 3 years after original denial, denial of appeal, or final court order, whichever is appropriate.

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	(GRS 2.4, Item 111)
b. Documentation related to retirement assistance that includes correspondence, memoranda, annuity estimates, and other records used to assist retiring employees.	Temporary. Destroy 3 years after date of separation or transfer, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 2.5, Item 020)
c. Requests for health benefit under spouse equity – Successful applications, including those successfully appealed.	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.  (GRS 2.4, Item 110)
<b>5. Reasonable accommodation files.</b> Documentation for an employee with a disability. Includes information created while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation including requests for personal assistance under <a href="#">5 U.S.C. § 3102</a> .	Temporary. Destroy 3 years after separation.  (GRS 2.3, Item 020)
<b>F. PROCUREMENT, FINANCE, AND SUPPLY RECORDS.</b>	
<b>1. Procurement and Financial records.</b> Records relating to the procurement of goods and services (i.e., contracts, requisitions, purchase orders, etc.), payment of bills, collection debts, accounting, and processing travel vouchers/authorizations.	Temporary. Destroy 7 years after final payment or cancellation, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 1.1, Item 010)
<b>2. Personal property records.</b> Includes documents relating to the acquisition and disposition of property.	Temporary. Destroy 7 years after date of final transaction.  (N1-021-86-1, Item C3)
<b>G. BUDGET FILES.</b>	
<b>1. Budget background records.</b> Contains cost statements, financial system data, financial projections and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements and related	Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 1.3, Item 041)

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schedules.	
<b>2. Budget execution records.</b> Records that offices create and receive in the course of implementing and tracking appropriations.	Temporary. Destroy 7 years after close of fiscal year, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 1.3, Item 020)
<b>H. SPACE, FACILITIES AND MAINTENANCE RECORDS.</b> Facility, space, and equipment inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes repair and maintenance orders, requisitions, and related papers; maintenance and inspection logs and reports; job orders, service call records, action sheets, and repair logs; and work, shop, or job schedules.	
<b>1. Records documenting facility structure and long-term maintenance.</b>	Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 5.4, Item 70)
<b>2. Records tracking completion of custodial and minor repair work.</b>	Temporary. Destroy when 90 days old. Longer retention is authorized at the discretion of the principal records custodian.  (GRS 5.4, Item 71)
<b>3. Facility, space, vehicle, equipment, stock, and supply administrative and operational records.</b> Records relating to administering and operating facilities, space, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes: <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> </ul>	Temporary. Destroy when 3 years old, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 5.4, Item 010 and 70)

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<ul style="list-style-type: none"> <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>Note:</b> This excludes records of supply and property procurement.</p>	
<b>I. ADMINISTRATIVE MANAGEMENT RECORDS.</b>	
<p>1. <b>Internal administrative accountability and operational management control records.</b> Internal evaluations of accounting and administrative controls. 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>• Risk analyses and risk profiles</li> <li>• Internal control over reports</li> <li>• Records tracking assignments, tasks, and responsibilities</li> <li>• Administrative correspondence</li> </ul> <p><b>Note:</b> This excludes reports related to agency mission activities.</p>	<p>Temporary. Destroy 3 years after submission, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 5.7, Item 010)</p>
<p>2. <b>Internal control review, response and mitigation management records.</b> Includes 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><b>Note:</b> This excludes records held by offices contributing to internal control review response and mitigation, but not responsible for overseeing it.</p>	<p>Temporary. Destroy 7 years after no further corrective action is needed, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 5.7, Item 020)</p>

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<b>J. ORGANIZATIONAL/GENERAL ADMINISTRATIVE FILES.</b>	
<p><b>1. Files on internal administration and housekeeping activities.</b> In general, these are records accumulated by individual offices that relate to office organization, staffing, procedures and communications and the expenditure of funds. Includes budget; day-to-day administration of office personnel such as travel and training; supplies, requests and receipts; and the use of office space. These papers do not serve as official documentation of the programs of the office.</p> <p><b>Note:</b> This excludes records that relate only to the functions for which the office exists.</p>	<p>Temporary. Destroy when business use ceases.</p> <p>(GRS 5.1, Item 010)</p>
<p><b>2. Transitory Records.</b> Records required only for a short time (generally less than 180 days) and that are not required to meet legal and fiscal obligations, or to 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, including inquiries about hours of operations, requests for copies of local rules, etc. Transmittal documents do not include items that provide evidence of approval, concurrence, or decision-making, or include substantive comments</li> <li>• copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees</li> <li>• messages from agency distribution lists or listservs</li> <li>• “to-do” or task lists and assignments</li> </ul>	<p>Temporary. Destroy when business use ceases. Email retained under this category may be kept within the email system. See note regarding “correspondence” at the beginning of this schedule.</p> <p>(GRS 5.2 Item 010)</p>
<b>K. RECORDS TRANSMITTAL AND RECEIPT FORM (<a href="#">SF 135</a>).</b>	<p>Temporary. Maintain for 50 years. Do not transfer to an FRC.</p> <p>(N1-021-86-1, Item C7)</p>
<b>L. INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS.</b>	
<p><b>1. Systems and data security files.</b> System and data security records. Records relate to maintaining the</p>	<p>Temporary. Destroy 3 years after system is superseded by a</p>

<b>Records Disposition Schedule 1</b>	
<b>Type of Record</b>	<b>Disposition</b>
<p>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</li> <li>• Published computer technical manuals and guides</li> <li>• Example and references used to produce guidelines covering security issues related to specific systems and equipment</li> <li>• Records on disaster exercise and resulting evaluations</li> <li>• Risk surveys</li> <li>• Service test plans</li> <li>• Test files and data</li> </ul>	<p>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>(GRS 3.2, Item 010)</p>
<p><b>2. IT customer service files.</b> Technical and administrative help desk operational records. Includes:</p> <ul style="list-style-type: none"> <li>• Records of incoming requests (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 materials, and reports</li> </ul>	<p>Temporary. Destroy 3 years after resolved, or when no longer needed for business use, whichever is appropriate.</p> <p>(GRS 5.8, item 010)</p>
<p><b>3. IT asset and configuration management files.</b></p>	
<p>a. Inventories of IT assets, network circuits, and building or circuitry diagrams. Includes equipment control systems such as databases of barcodes affixed to IT physical assets.</p>	<p>Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. Longer retention is authorized at the discretion of the principal records custodian.</p>

<b>Records Disposition Schedule 1</b>	
<b>Type of Record</b>	<b>Disposition</b>
	(GRS 3.1, Item 020)
b. 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, but is not limited to:	
(1) Data and detailed reports on implementation of systems, applications, and modifications; application sizing, resource, and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.	Temporary. Destroy 7 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes. Longer retention is authorized at the discretion of the principal records custodian.  (GRS 3.1, Item 051)
(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. Longer retention is authorized at the discretion of the principal records custodian.  (GRS 3.1, Item 020)
<b>4. User identification, profiles, authorizations, and password files.</b> Excludes records relating to electronic signatures.	
a. Systems requiring special accountability for access (e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records).	Temporary. Destroy 7 years after password is altered or user account is terminated, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 3.2, Item 031)
b. Systems not requiring special accountability for access. These are user identification records generated according to preset requirements, typically	Temporary. Destroy when business use ceases.

<b>Records Disposition Schedule 1</b>	
<b>Type of Record</b>	<b>Disposition</b>
system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	(GRS 3.2, Item 030)
<b>5. Computer security incident handling, reporting and follow-up records.</b>	Temporary. Destroy 3 years after all necessary follow-up actions have been completed, but longer retention is authorized at the discretion of the principal records custodian.  (GRS 3.2, Item 020)
<b>6. System backups and tape library records.</b>	
a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	
(1) Incremental backup tapes.	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.  (GRS 3.2, Item 040)
(2) Full back up tapes.	Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.  (GRS 3.2, Item 041)
b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in tape library. Also included list of holdings and control logs.	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.  (GRS 3.2, Item 040)
<b>7. IT Operations and Maintenance Records.</b> Records relate to the activities associated with the operation and maintenance of the basic systems and services used to supply the agency and its staff with access to computer	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is

<b>Records Disposition Schedule 1</b>	
<b>Type of Record</b>	<b>Disposition</b>
<p>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</li> <li>• Equipment support services provided to specific sites</li> <li>• Inventories of IT assets, network circuits, and building and circuitry diagrams</li> <li>• Equipment control systems such as database 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>• Reports on operations</li> <li>• Website administration</li> <li>• Records to allocate charges and track payment for software and services</li> </ul> <p><b>Note:</b> Records needed to support contracts should be in procurement files.</p> <p><b>Note:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained according to item 8.</p>	<p>obsolete, completed, terminated, or superseded, but longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 3.1, Item 020)</p>
<p><b>8. Configuration and Change Management Records.</b> 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 operation networks and systems. Includes records such as:</p> <ul style="list-style-type: none"> <li>• Data and detailed reports on implementation of systems, applications, and modifications</li> </ul>	<p>Temporary. Destroy 7 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes. Longer retention is authorized at the discretion of the principal records custodian.</p> <p>(GRS 3.1, Item 030)</p>

<b>Records Disposition Schedule 1</b>	
<b>Type of Record</b>	<b>Disposition</b>
<ul style="list-style-type: none"> <li>• Application sizing, resource and demand management records</li> <li>• Documents identifying, requesting, analyzing, authorizing and documenting the implementation of possible changes and actual changes</li> <li>• Documentation of software distribution (including COTS software license management files) and release or version management</li> </ul> <p><b>Note:</b> If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained according to this item.</p> <p><b>Note:</b> Per NARA practice, documentation for 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:</b> Judiciary units 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>	