



Peace Corps

Guide to Peace Corps' Records Schedules (Headquarters and Recruiting Offices)

January 2025

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Annual Requirements

Every year all headquarters' offices are required to complete the Annual File Plan review and carry out the mandatory disposition instructions shown in your office's File Plan. The Records Management Office (RMO) sends out a new File Plan, as an Excel spreadsheet, every year to each office that reflects any changes in the approved dispositions for all known records. Carefully read and follow the instructions on the "Instructions" tab of the File Plan. Offices are required to review the File Plan and then:

- "Clean up" their paper and electronic records by deleting or destroying temporary records that have met/exceeded their retention, destroying duplicate copies of records, and transferring eligible permanent records to the National Archives as based on retentions listed in Column E
- Update the File Plan with information about:
 - the location of electronic and paper records (column F and/or G)
 - whether records are "essential" (column H)
 - whether records contain sensitive or "privacy data", such as personally identifiable information (PII) and are properly secured (column I)
 - communicate any issues or concerns to the RMO (column J)
- Add rows containing the title and description of records in your office that **may not be listed** in your office's File Plan. The RMO will follow up with you to identify or create a disposition authority.
- **As per agency policy, no records should be stored on your OneDrive drive or laptop hard drive or removeable media.**
- Ensure that records are properly stored in your office's numeric electronic folders on the agency shared drive, SharePoint, or other approved electronic system. Paper records must be safely stored in office equipment, such as cabinets and desk drawers.
- Return the completed File Plan spreadsheet to the RMO by the specified date.

The office-specific information in this Guide is the same as the in your office's File Plan but presented in a textual format for ease of reading.

Introduction

Every Federal agency is legally required to manage its records. Records are the evidence of the agency's actions. They must be managed properly for the agency to function effectively, to ensure the preservation of Peace Corps' history, and to comply with Federal laws and regulations.

This *Guide to Peace Corps' Records Schedules - HQ* contains legally approved records dispositions. These dispositions are mandated; temporary records must be destroyed at the time stated and permanent records must be transferred to the National Archives at the appropriate time. Unscheduled records must be maintained as though they are permanent records. Please refer to the next page for key definitions, including the definition of "cut off" and "Temporary", "PERMANENT", and "unscheduled" records.

Personal records (copies of performance plans, etc.) must be kept separate from Agency records, and should be kept to a minimum and stored only on the "C" drive or "My Documents" on individual staff computers.

If paper records have not yet reached their disposition date but are not needed in your office for business reasons, they can be stored in off-site storage. For more information, please contact the RMO – records@peacecorps.gov.

NOTE: There are unscheduled records in this *Guide*. It could take a year or more to obtain that approval. In the meantime, we are required by law to keep those records. Please contact the RMO – records@peacecorps.gov if you think you have unscheduled records.

IMPORTANT: Records must not be destroyed that state: **Disposition: DO NOT DESTROY. Keep until further notice.** These are unscheduled records that do not yet have a legal disposition authority.

If you find errors or omissions in this *Guide* or have unscheduled records or questions, please contact the RMO – records@peacecorps.gov

Obtaining Approved Disposition Authorities from the National Archives

If your office has records that are not covered by an approved disposition authority, contact RMO and we will work with the National Archives to have one created.

The disposition authorities contained in *Guide to Peace Corps' Records Schedules (Headquarters and Recruiting Offices)* (MS 892 attachment A) and *Guide to Peace Corps' Records Schedules (Posts)* (MS 892 attachment B) are updated at least annually, based on new, updated, and superseded disposition authorities.

Using the “@AgencyAll” shared drive

Starting in 2024, the Peace Corps began the move to Microsoft 365 online. That platform will replace the @Agency_All drive as the way staff will share information/records with one another.

For the time being, staff may still share information on @AgencyAll, but cannot be used to store agency records, and should only be used for collaboration, dissemination, and transfer of records between agency offices.

If an office wants to use the @Agency_All drive to transfer records to another office, first create and secure a folder to transfer records by submitting a HelpDesk ticket requesting the folder be restricted to only the names of approved staff that should have permission to access that folder. **Once the transfer of records to another office is complete, delete the entire folder from the @Agency_All drive.**

More instructions about the 365 migration will be forthcoming from the OCIO office.

IMPORTANT INFORMATION: **Scanning Records**

The National Archives now requires that all records be created and/or maintained electronically to the greatest extent possible.

If your office scans/digitizes **temporary** records, you must follow [NARA regulations](#):

1. Capture all information contained in the source records;
2. Include all the pages (include both sides if double-sided) or parts in the source records;
3. Ensure they can use the digital versions for the purposes the source records served;
4. Ensure they can locate, retrieve, access, and use the digital versions for the records' entire retention period.
5. Agencies must provide quality control (validation) to ensure that all records are legible. Keep a document (save as a PDF) with scanned records saying when records scanned (date) and any important information about scanning.
6. When steps 1-5 have been completed, the agency can destroy the original source records pursuant to a NARA-approved GRS and/or agency-specific records schedule.

If your office scans/digitizes **permanent** records to establish an electronic version for business purposes, you must: **KEEP THE ORIGINAL SOURCE RECORD!**

NARA issued guidance in 2023 on how to scan Permanent records. Permanent records can be scanned/digitized, and then stored in the correct electronic folder - **but the original paper records CANNOT be disposed of.** Peace Corps does not own the required equipment to meet NARA digitization standards for permanent records.

Key Definitions

KEY TERM	DEFINITION
Copies	Copies are non-records and can be immediately destroyed.
Controlled Unclassified Information (CUI)	Information that requires safeguarding or dissemination controls pursuant to and consistent with applicable law, regulations, and government-wide policies but is not classified under Executive Order 13526 or the Atomic Energy Act
Cut off / Cutoff (also known as File Break)	Breaking or ending files at regular intervals, usually at the end of a fiscal year (FY) or calendar year (CY), to permit their disposal or transfer in a complete block and to permit the establishment of new files.
Disposition Authority	The legal approval empowering an agency to transfer PERMANENT records to the National Archives or carry out the disposal of temporary records.
Essential Records	Records an agency must have to meet operational responsibilities under national security emergencies or other emergency conditions such as hurricane, etc. (formerly called “vital records”)
Electronic records pre-accessioned to the National Archives	Office responsible for pre-accessioned electronic records is required to maintain and migrate electronic records for the entire retention period until legal custody is transferred to the National Archives.
Email	HQ & Post OCIO manage agency email. To save space in your Outlook email box, move non-current items to the “Archive.” You can always recall emails from the Archive whenever needed. Create folders to manage email. OCIO keeps a copy of <u>all</u> records sent/received for the appropriate retention.
Long-term retention	Long-term retention Records with long-term retention (10 years or more) require special attention to ensure compliance. Paper records may be sent to off-site storage (contact RMO first). Electronic records must be migrated if electronic information system (EIS) changes. Creating office is responsible for all records for full retention until final disposition.
National Archives (NARA)	The National Archives provides the legal authority for the disposition of records. The Peace Corps, like all Federal agencies, is required to obtain permission from the National Archives to dispose of records.
Non-record	Does not meet the legal definition of a record. Includes reference materials, personal papers, and extra copies of records kept only for convenience or reference.
PERMANENT Records	Record appraised by the National Archives as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes.

KEY TERM	DEFINITION
Personally Identifiable Information / Sensitive (PII)	Information that can be used to distinguish or trace an individual's identity, such as his or her name, date or place of birth, social security number, mother's maiden name, or biometric records, when used alone or when combined with other personal or identifying information. Personal Health Information (PHI) is a subset of PII. All PII should be protected against unauthorized access.
Records	Recorded information created or received while conducting agency business, in any format (paper, electronic, email, SMS text, etc).
Record Series	A group of records arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, exist in the same media format, or have some other type of relationship.
Temporary Records	Record approved by the National Archives for disposal after a specified retention period.
Unscheduled Records	A record that does not have a legal disposition authority. Unscheduled records must be treated as PERMANENT records. Contact RMO to have records scheduled.

3rd Goal (3GL), Return Volunteer Services (RVS), and World Wise Schools (WWS) [Numeric Folder: 2000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 2000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records – Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 2000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

General Information Request Files (Transitory Records) (Disposition Authority: DAA-GRS-2022-0009-0001) [GRS 5.2, item 010] [Numeric Folder: 2004]

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.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Posters (Disposition Authority: DAA-0490-2016-0007-0008) [Numeric Folder: 2005]

Posters produced by Peace Corps for offices within the agency promoting activities or services of the organization.

DISPOSITION: Permanent. Transfer two copies of each printed poster in hardcopy form, or, if hard copy does not exist, in digital form, to the National Archives immediately after publication.

Returned Peace Corps Volunteers Career Link Database Master File (Disposition Authority: DAA-0490-2016-0007-0002) [Numeric Folder: 2006]

Records consist of job openings, the names of Federal and private employers, locations, organizational background information, job duties, qualifications, contact information, posting dates, and application deadlines. Also stores email correspondence to and from employers.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Returned Peace Corps Volunteer (RPCV) Certification of Service Records (Disposition Authority: DAA-0490-2016-0007-0003) [Numeric Folder: 2007]

Letters certifying the dates that a Returned Peace Corps Volunteer served in the Peace Corps, as well as correspondence, tracking logs, and reporting documents about certifications.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Volunteer Description of Service (DOS) (Disposition Authority: DAA-0490-2018-0004-0001) [Numeric Folder: 2009]

The Volunteer Description of Service (DOS) is an official Peace Corps statement of a Volunteer's service. It describes the Volunteer's training and overseas activities in non-evaluative terms. It also includes the certification of Non-Competitive Eligibility (NCE) and eligibility for the Paul D. Coverdell Fellows graduate school fellowship program, for those Volunteers who qualify for the benefit. The DOS is an official Peace Corps

statement of a Volunteer's service, and although it may be drafted by the Volunteer, the Country Director may require changes before approving it. The Country Director must sign and date all copies of the DOS.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff, but longer retention is allowed if needed for business purposes.

World Wise Schools Global Connection Database Master File (Disposition Authority: DAA-0490-2016-0007-0004) [Numeric Folder: 2011]

Records contain Peace Corps Volunteer's name, country of service, program sector, and email address; the U.S. educator's name, contact information, school name, grade level of their students, number of students; and application forms.

DISPOSITION: Temporary. Cut off when Volunteer completes service or separates. Destroy 6 years after cutoff.

World Wise Schools Publications (Disposition Authority: DAA-0490-2016-0007-0005) [Numeric Folder: 2012]

Publications that convey the Peace Corps cross-cultural experience to schoolchildren in the United States and teach an understanding and respect for other cultures worldwide through social studies, language arts, mathematics, science, foreign languages, environmental education, and international economics.

DISPOSITION: Permanent. Cut off upon publication. Transfer one copy of each publication to the National Archives in 3-year blocks for accessioning when the most recent records are 3 years old.

World Wise Schools Speaker Match Database Master File (Disposition Authority: DAA-0490-2016-0007-0006) [Numeric Folder: 2013]

Records contain Returned Peace Corps Volunteer's name, country of service, program sector, and email address; the U.S. educator's name, contact information, school name, grade level of their students, number of students; and application forms.

DISPOSITION: Temporary. Cut off files when the Returned Peace Corp Volunteer or educator separates from program. Destroy 6 years after cutoff.

Office of the Chief Financial Officer (OCFO) [Numeric Folder: 3000]

CFO

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 3000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 3000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

UPDATED ITEM - Administrative Directives and Notices (Disposition Authority: DAA-GRS-2017-0008-0003) [GRS 5.7, item 030] [Numeric Folder: 3001.4]

Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.

Exclusion: Documents related to mission activities (agencies schedule these separately).

DISPOSITION: Temporary. Destroy when superseded or obsolete, or no longer needed for business, whichever is later.

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001) [GRS 5.1, item 010] [Numeric Folder: 3001.5]

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Delegation of Authority (Financial Transaction Records...) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 3012]

Chronological series includes materials pertaining to the issuance of delegation of authority to key Peace Corps officials and line of succession to principal positions within the agency. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.

DISPOSITION: Temporary. Cut off when delegation is canceled or superseded, same for lines of succession. Destroy 6 years after cutoff.

Financial Management and Reporting Administrative Records (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [Numeric Folder: 3014]

Records related to managing financial activities and reporting. Records include:

- correspondence
- subject files
- feeder reports
- workload management and assignment records

DISPOSITION: Temporary. Destroy when 3 years old.

Financial Transaction Records (Disposition Authority: DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] [Numeric Folder: 3015])

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- contracts (**NOT PSC CONTRACTS – those are 30-year records**)
- requisitions
- purchase orders
- interagency agreements
- printing requisitions to the Government Printing Office
- memoranda of agreement specifying a financial obligation
- solicitations/requests for bids, quotations or proposals for contracts and competitive grants
- proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- contingent fee justifications

- legal and financial instruments such as bond and surety records
- data submitted to the Federal Procurement Data System (FPDS)
- FAIR Act (A-76) records linked directly to specific procurement actions
- credit card/purchase card/charge card statements and supporting documentation
- vendor tax exemption records
- invoices
- leases
- recurring financial transactions such as utility and communications invoices
- documentation of contractual administrative requirements submitted by contractors such as status reports
- correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

- records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
 - cash register transaction records
 - credit card and charge cards receipts
 - records documenting deposits
 - records documenting allocation of fees to funds/accounts
 - deposit lists and logs
 - customer orders
 - revolving fund records
- fee and fine collection records
- garnishments
- Sale of excess and surplus personal property
- fee or rate schedules and supporting documentation
- out-leases of Federal property
- debt collection files and cash receipts
- write-offs
- copies of checks
- payment billing coupons
- letters from lenders
- payment records
- money orders
- journal vouchers
- collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to

support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities.

Accounting records include those such as:

- accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
 - statements of transactions
 - statements of accountability
 - collection schedules and vouchers
 - disbursement schedules and vouchers
- vouchers
- certificates of closed accounts
- certificates of periodic settlements
- general funds files
- general accounting ledgers
- appropriation, apportionment, and allotment files
- posting and control files
- bills of lading
- transportation and travel requests, authorizations, and vouchers
- commercial freight vouchers
- unused ticket redemption forms

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to the National Archives.

Note 2: 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.

1. Official record held in the office of record (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010]

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

Internal Administrative Control Management Records (Disposition Authority: DAA-GRS-2020-0001-0001) [GRS 5.7, item 010] [Numeric Folder: 3016]

Records related to internal evaluations of accounting and administrative controls, mandated or governed by: OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes:

- copies of internal and external directives outlining management control policy
- management control plans and records of the planning process

- comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements
- reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions
- feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2)
- records tracking assignments, tasks, and responsibilities
- related correspondence

Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).

Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).

Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).

DISPOSITION: Temporary. Destroy 1 year after submission or when superseded.

Internal Control Review, Response, and Mitigation Management Records Disposition Authority: DAA-GRS-2017-0008-0002] [GRS 5.7, item 020] [Numeric Folder: 3018.7]

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.

Exclusion: 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).

DISPOSITION: Temporary. Destroy 5 years after no further corrective action is needed.

Mandatory Reports to External Federal Entities Regarding Administrative Matters (Disposition Authority: DAA-GRS-2020-0001-0003) [GRS 5.7, item 050] [Numeric Folder: 3019]

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:

- Agency Financial Report (AFR)
- Statement of Assurance (per FMFIA), or equivalent

- information collection clearances
- report on financial management systems' compliance with requirements (per FMFIA), or equivalent
- report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- service organization auditor report, or equivalent
- improper payments report
- premium class travel report
- report on property provided to non-federal recipients, schools, and nonprofit educational institutions
- feeder reports to the Status of Telework in the Federal Government Report to Congress
- feeder reports to GSA fleet reports

Includes ancillary records such as:

- background and research records
- submission packets and compilations
- related files

Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.

Exclusion 2: Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately).

Exclusion 3: Mandatory external reports on finance matters (DAA-GRS-2013-0003-0001 [GRS 1.1, item 020] and DAA-GRS-2013-0003-0012 [GRS 1.1, item 040] cover these; mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection DAA-GRS-2013-0007-0022 [GRS 4.2, item 080] covers these).

DISPOSITION: Temporary. Destroy 6 years after report submission or oversight entity notice of approval.

UPDATED Policies and Procedures (Disposition Authority: DAA-GRS-2017-0008-0003 [GRS 5.7, item 030] [Numeric Folder: 3021])

Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.

Exclusion: Documents related to mission activities (agencies schedule these separately).

DISPOSITION: Temporary. Destroy when superseded or obsolete, or no longer needed for business purposes, whichever is later.

Records supporting compilation of agency financial statements and related audit, and all records of all other reports (Disposition Authority: DAA-GRS-2013-0003-0011) [GRS 1.1, item 020] [Numeric Folder: 3025.5]

Includes records such as:

- schedules and reconciliations prepared to support financial statements
- documentation of decisions re accounting treatments and issue resolutions
- audit reports, management letters, notifications of findings, and recommendations
- documentation of legal and management representations and negotiations
- correspondence and work papers
- interim, quarterly and other reports

DISPOSITION: Temporary. Destroy 2 years after completion of audit or closure of financial statement/accounting treatment/issue.

Acquisition and Contract Management (ACM)

Bids and Proposals (Financial Transaction Records...) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 3002]

Bids and proposals and all other associated documents. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

Bids and Proposals Neither Solicited Nor Accepted (Disposition Authority: DAA-GRS-2016-0001-0001) [GRS 1.1, item 012] [Numeric Folder: 3003]

Bids and proposals that are both unsolicited and the subject of no further agency action.

DISPOSITION: Temporary. Destroy when no longer required for business use.

Contract Appeals Case Files (Disposition Authority: DAA-GRS-2016-0001-0003) [GRS 1.1, item 060] [Numeric Folder: 3012.5]

Records of contract appeals arising under the Contracts Dispute Act. Includes:

- notice of appeal
- acknowledgment of notice
- correspondence
- copies of contracts, plans, specifications, exhibits, change orders, and amendments
- hearing transcripts
- documents received from concerned parties
- final decisions
- other related papers

DISPOSITION: Temporary. Destroy 1 year after final resolution.

Delegation of Authority (Financial Transaction Records) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 3012]

Chronological series includes materials pertaining to the issuance of delegation of authority to key Peace Corps officials and line of succession to principal positions within the agency. Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

DISPOSITION: Temporary. Cut off when delegation is canceled or superseded; same for lines of succession. Destroy 6 years after cutoff.

Financial Transaction Records (Disposition Authority: DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] [Numeric Folder: 3015])

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- contracts / procurement files (**NOT PSC CONTRACTS – those are 30-year records**)
- obligation documents
- requisitions
- purchase orders
- interagency agreements
- printing requisitions to the Government Printing Office
- memoranda of agreement specifying a financial obligation
- solicitations/requests for bids, quotations or proposals for contracts and competitive grants

- proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- contingent fee justifications
- legal and financial instruments such as bond and surety records
- data submitted to the Federal Procurement Data System (FPDS)
- FAIR Act (A-76) records linked directly to specific procurement actions
- credit card/purchase card/charge card statements and supporting documentation
- vendor tax exemption records
- invoices
- leases
- recurring financial transactions such as utility and communications invoices
- documentation of contractual administrative requirements submitted by contractors such as status reports
- correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

- records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
 - cash register transaction records
 - credit card and charge cards receipts
 - records documenting deposits
 - records documenting allocation of fees to funds/accounts
 - deposit lists and logs
 - customer orders
 - revolving fund records
- fee and fine collection records
- garnishments
- Sale of excess and surplus personal property
- fee or rate schedules and supporting documentation
- out-leases of Federal property
- debt collection files and cash receipts
- write-offs
- copies of checks
- payment billing coupons
- letters from lenders
- payment records
- money orders
- journal vouchers
- collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities.

Accounting records include those such as:

- accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
 - statements of transactions
 - statements of accountability
 - collection schedules and vouchers
 - disbursement schedules and vouchers
- vouchers
- certificates of closed accounts
- certificates of periodic settlements
- general funds files
- general accounting ledgers
- appropriation, apportionment, and allotment files
- posting and control files
- bills of lading
- transportation and travel requests, authorizations, and vouchers
- commercial freight vouchers
- unused ticket redemption forms

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to the National Archives.

Note 2: 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.

1. Official record held in the office of record (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010]

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

2. All other copies (Disposition Authority: DAA-GRS-2013-0003-0002) [GRS 1.1, item 011]

DISPOSITION: Temporary. Destroy when business use ceases.

Purchase Card and Travel Credit Card Application and Approval Records (Government)
(DAA-GRS-2018-0003-0001 [GRS 1.1, item 090] [Numeric Folder: 3024])

Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include:

- application for credit card
- credit release form
- applicant credit report
- cardholder agreement
- acknowledgement of responsibilities and penalties for misuse
- approving official agreement
- certificate of appointment (warrant)
- card training certificate

DISPOSITION: Temporary. Destroy upon card holder separation or when card is returned to office and destroyed.

Vendor and Bidder Information (Disposition Authority: DAA-GRS-2016-0001-0004) [GRS 1.1, item 070] [Numeric Folder: 3029.001]

Documentation of approved, suspended, and debarred vendors and bidders.

1. Records of suspensions and debarments for violation of the Drug-Free Workplace Act

DISPOSITION: Temporary. Destroy 5 years after removal from approved status.

Accounting and Financial Reporting (AFR)

Delegation of Authority (Financial Transaction Records...) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 3012]

Chronological series includes materials pertaining to the issuance of delegation of authority to key Peace Corps officials and line of succession to principal positions within the agency. Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

DISPOSITION: Temporary. Cut off when delegation is canceled or superseded; same for lines of succession. Destroy 6 years after cutoff.

Financial Transaction Records (Disposition Authority: DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] [Numeric Folder: 3015]

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- contracts / procurement files (NOT PSC contract records – those are 30-year records)
- obligation documents
- requisitions
- purchase orders
- interagency agreements
- printing requisitions to the Government Printing Office
- memoranda of agreement specifying a financial obligation
- solicitations/requests for bids, quotations or proposals for contracts and competitive grants
- proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- contingent fee justifications
- legal and financial instruments such as bond and surety records
- data submitted to the Federal Procurement Data System (FPDS)
- FAIR Act (A-76) records linked directly to specific procurement actions
- credit card/purchase card/charge card statements and supporting documentation
- vendor tax exemption records
- invoices
- leases
- recurring financial transactions such as utility and communications invoices
- documentation of contractual administrative requirements submitted by contractors such as status reports
- correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

- records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
 - cash register transaction records
 - credit card and charge cards receipts
 - records documenting deposits
 - records documenting allocation of fees to funds/accounts
 - deposit lists and logs
 - customer orders
 - revolving fund records
- fee and fine collection records
- garnishments
- Sale of excess and surplus personal property
- fee or rate schedules and supporting documentation
- out-leases of Federal property
- debt collection files and cash receipts
- write-offs
- copies of checks
- payment billing coupons
- letters from lenders
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- money orders
- journal vouchers
- collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities.

Accounting records include those such as:

- accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
 - statements of transactions
 - statements of accountability
 - collection schedules and vouchers
 - disbursement schedules and vouchers
- vouchers
- certificates of closed accounts
- certificates of periodic settlements
- general funds files
- general accounting ledgers
- appropriation, apportionment, and allotment files
- posting and control files

- bills of lading
- transportation and travel requests, authorizations, and vouchers
- commercial freight vouchers
- unused ticket redemption forms

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to the National Archives.

Note 2: 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.

1. Official record held in the office of record (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010]

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

2. All other copies (Disposition Authority: DAA-GRS-2013-0003-0002) [GRS 1.1, item 011]

DISPOSITION: Temporary. Destroy when business use ceases.

Property, plant and equipment (PP&E) and other asset accounting (Disposition Authority: DAA-GRS-2013-0003-0004) [GRS 1.1, item 030] [Numeric Folder: 3023]

Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:

- purchase orders and contracts
- invoices
- appraisals
- costing and pricing data
- transactional schedules
- titles
- transfer, acceptance and inspection records
- asset retirement, excess and disposal records
- plant account cards and ledgers pertaining to structures
- correspondence and work papers

Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to the National Archives to cover these records or apply an existing schedule.

DISPOSITION: Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement.

Records supporting compilation of agency financial statements and related audit, and all records of all other reports (Disposition Authority: DAA-GRS-2013-0003-0011) [GRS 1.1, item 020] [Numeric Folder: 3025.5]

Includes records such as:

- schedules and reconciliations prepared to support financial statements
- documentation of decisions re accounting treatments and issue resolutions
- audit reports, management letters, notifications of findings, and recommendations
- documentation of legal and management representations and negotiations
- correspondence and work papers
- interim, quarterly and other reports

DISPOSITION: Temporary. Destroy 2 years after completion of audit or closure of financial statement/accounting treatment/issue.

Budget and Analysis (BA)

Budget Administration Records held in any office (not responsible for preparing agency's budget proposal to the White House) (Disposition Authority: DAA-GRS-2015-0006-0007) [GRS 1.3, item 050] [Numeric Folder: COR 2.001]

Records documenting administration of budget office responsibilities. Includes:

- correspondence relating to routine administration, internal procedures, and other day-to-day matters
- records monitoring expenditures under approved budget allocations
- records of financial controls maintenance
- spreadsheets and databases tracking income, expenditures, and trends
- work planning documentation
- cost structure and accounting code lists
- feeder and statistical reports
- related correspondence

DISPOSITION: Temporary. Destroy when 3 years old.

Budget Execution Records (Disposition Authority: DAA-GRS-2015-0006-0002) [GRS 1.3, item 020] [Numeric Folder: 3005]

Records offices create and receive in the course of implementing and tracking an appropriation. Includes:

- allotment advice, revisions, and ceiling limitations

- apportionments and reapportionments
- obligations under each authorized appropriation
- rescissions and deferrals
- operating budgets
- outlay plans
- fund utilization records
- fund reviews
- workforce authorization and distribution
- continuing resolution guidance
- calculations
- impact statements
- carryover requests
- related records

DISPOSITION: Temporary. Destroy 6 years after close of fiscal year.

Budget Formulation, Estimates, Justification, and Submission Records, Fiscal Year 2017 and Forward (Disposition Authority: DAA-GRS-2015-0006-0001) [GRS 1.3, item 010]
[Numeric Folder: 3006]

Includes records such as:

- guidance and briefing materials
- agency or department copy of final submission to OMB and Congress
- narrative statements justifying or defending estimates (sometimes called “Green Books”)
- briefing books and exhibits
- language sheets and schedules
- OMB and Congress pass-back responses and questions; agency appeals, responses, and answers
- testimony at, and other agency records of, Congressional hearings
- final settlement or approved appropriation

Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to the National Archives to cover their budget submission records.

DISPOSITION: Temporary. Destroy 6 years after close of fiscal year.

Budget Preparation Background Records (Disposition Authority: DAA-GRS-2015-0006-0005) [GRS 1.3, item 040] [Numeric Folder: 3007]

Records held in office responsible for preparing agency’s budget proposal to the White House

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.

DISPOSITION: Temporary. Destroy 2 years after close of the fiscal year to which the records relate.

International Cooperative Administrative Support Service (ICASS) Files (Disposition Authority: N1-362-90-1, item 1) [Numeric Folder: 3017]

These records contain reports and correspondence from overseas posts which provide detail on administrative services provided by the Department of State for the post (services such as processing of visas, providing of medical facilities, etc.) These reports show the percentage of Peace Corps use of such services in relation to other Agencies being provided the services and are used to determine costs for those services in the succeeding fiscal year. (Paper records only.)

DISPOSITION: Temporary. Destroy 2 years after the end of the fiscal year.

Financial Systems (FS)

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 3010]

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems.

Includes records such as:

- data and detailed reports on implementation of systems, applications and modifications
- application sizing, resource and demand management records
- documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes
- documentation of software distribution (including COTS software license management files) and release or version management

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes.

Data Administration Records [Numeric Folder: 3012.7]

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.

1. **All documentation for temporary electronic records and documentation not necessary for preservation of permanent records** (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051]

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including

- data/database dictionary records
- data systems specifications
- file specifications
- code books and also the following records for all electronic records whether scheduled as temporary or permanent
- software operating manuals
- data standards
- record layouts
- metadata
- user guides
- output specification
- table and dependency descriptions
- taxonomies
- schemas
- registries
- source code
- physical data model
- logical data model

DISPOSITION: Temporary. Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

System Access Records [Numeric Folder: 3027.5]

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

1. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030]

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.

DISPOSITION: Temporary. Destroy when business use ceases.

Global Accounts Payable (GAP)

Administrative Claims by or Against the United States (Disposition Authority: DAA-GRS-2017-0005-0001) [GRS 1.1, item 080] [Numeric Folder: 3001]

Records of monetary or property claims by the United States subject to the Federal Claims Collection Standards, completed or closed by:

- payment in full
- compromise agreement
- termination of collection action

- determination that money or property is not owed to the United States
- approval or 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
- lifting of court order

Also, records of monetary claims against the United States, completed or closed by:

- disallowance in full
- allowance in full or in part with final payment awarded
- settlement, compromise, or withdrawal
- lifting of court order

DISPOSITION: Temporary. Destroy 7 years after final action.

Cashier Designation Form/Cable (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [Numeric Folder: 3009]

The form used to indicate an employee who is 1) designated as a cashier by a delegated agency approving official, and is 2) authorized to perform limited cash disbursing functions or other cash operations.

DISPOSITION: Temporary. Cut off when form or cable is superseded or a new cashier is designated. Destroy 3 years after cutoff.

Delegation of Authority (Financial Transaction Records...) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 3012]

Chronological series includes materials pertaining to the issuance of delegation of authority to key Peace Corps officials and line of succession to principal positions within the agency. Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

DISPOSITION: Temporary. Cut off when delegation is canceled or superseded; same for lines of succession. Destroy 6 years after cutoff.

Financial Management and Reporting Administrative Records (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [Numeric Folder: 3014]

Records related to managing financial activities and reporting. Records include:

- correspondence
- subject files
- feeder reports
- workload management and assignment records

DISPOSITION: Temporary. Destroy when 3 years old.

Financial Transaction Records (Disposition Authority: DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] [Numeric Folder: 3015])

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

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- contingent fee justifications
- legal and financial instruments such as bond and surety records
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- correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list

- records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

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 - statements of transactions
 - statements of accountability
 - collection schedules and vouchers
 - disbursement schedules and vouchers
- vouchers

- certificates of closed accounts
- certificates of periodic settlements
- general funds files
- general accounting ledgers
- appropriation, apportionment, and allotment files
- posting and control files
- bills of lading
- transportation and travel requests, authorizations, and vouchers
- commercial freight vouchers
- unused ticket redemption forms

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to the National Archives.

Note 2: 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.

1. Official record held in the office of record (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010]

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

2. All other copies (Disposition Authority: DAA-GRS-2013-0003-0002) [GRS 1.1, item 011]

DISPOSITION: Temporary. Destroy when business use ceases.

Records supporting compilation of agency financial statements and related audit, and all records of all other reports (Disposition Authority: DAA-GRS-2013-0003-0011) [GRS 1.1, item 020] [Numeric Folder: 3025.5]

Includes records such as:

- schedules and reconciliations prepared to support financial statements
- documentation of decisions re accounting treatments and issue resolutions
- audit reports, management letters, notifications of findings, and recommendations
- documentation of legal and management representations and negotiations
- correspondence and work papers
- interim, quarterly and other reports

DISPOSITION: Temporary. Destroy 2 years after completion of audit or closure of financial statement/accounting treatment/issue.

Tax (and Wage) Statements (Disposition Authority: DAA-GRS-2016-0015-0005) [GRS 2.4, item 050] [Numeric Folder: 3027]

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.

DISPOSITION: Temporary. Destroy when 4 years old.

Tax Withholding and Adjustment Documents (Disposition Authority: DAA-GRS-2016-0015-0002) [GRS 2.4, item 020] [Numeric Folder: 3028]

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.

DISPOSITION: Temporary. Destroy 4 years after superseded or obsolete.

Office of the Chief Information Officer (OCIO) [Numeric Folder: 4000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 4000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 4000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Administrative Services

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001)
[GRS 5.1, item 010] [Numeric Folder: 4003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Backups of Master Files and Databases

- a. File identical to permanent records scheduled for transfer to the National Archives** (Disposition Authority: DAA-GRS-2013-0006-0007) [GRS 3.2, item 050] [Numeric Folder: 4004.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives.

- b. **File identical to temporary records authorized for destruction by a NARA-approved records schedule** (Disposition Authority: DAA-GRS-2013-0006-0008) [GRS 3.2, item 051] [Numeric Folder: 4004.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

Collaboration Systems (Guru) (Unscheduled) [Numeric Folder: 4005]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 4009]

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems.

Includes records such as:

- data and detailed reports on implementation of systems, applications and modifications
- application sizing, resource and demand management records
- documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes
- documentation of software distribution (including COTS software license management files) and release or version management

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes.

Customer / Client Records (Disposition Authority: DAA-GRS-2017-0002-0002) [GRS 6.5, item 020] [Numeric Folder: 4011]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

DISPOSITION: Temporary. Delete when supersede, obsolete, or when customer requests the agency to remove the records.

Cybersecurity Logging Records

For additional information about these records, see OMB Memo M-21-31.

Note: The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.

- a. Full Packet Capture** (Disposition Authority: DAA-GRS-2022-0005-0001) [GRS 3.2, item 035]_[Numeric Folder: 4012.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network.

Legal citation: OMB Memo M-21-31

Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 72 hours old. Longer retention is authorized for business use.

- b. Cybersecurity Event Logs** (Disposition Authority: DAA-GRS-2022-0005-0002) [GRS 3.2, item 036] [Numeric Folder: 4012.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats.

Legal citation: OMB Memo M-21-31 Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 30 months old. Longer retention is authorized for business use.

Data Administration Records

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

a. Documentation necessary for preservation of permanent electronic records

(Disposition Authority: DAA-GRS-2013-0005-0002) [GRS 3.1, item 050] [Numeric Folder: 4012.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

- b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records** (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051][Numeric Folder: 4012.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- data/database dictionary records
 - data systems specifications
 - file specifications
 - code books
 - record layouts
 - metadata
 - user guides
 - output specifications
- and also the following records for all electronic records whether scheduled as temporary or permanent
- software operating manuals
 - data standards
 - table and dependency descriptions
 - taxonomies
 - schemas
 - registries
 - source code
 - physical data model
 - logical data model

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Email, Associated Calendars, and other types of Electronic Messages – Permanent

(Disposition Authority: GRS 6.1-0490-2023-0001, item 010) [GRS 6.1, item 010] [Numeric Folder: 4013.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Capstone Officials are senior agency officials whose day-to-day work reflects the policies and decisions that direct the activities of the Peace Corps. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item also applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of records created/sent from unofficial accounts must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Permanent. Cutoff when individual leaves the agency. Transfer to National Archives 15 years after cutoff.

Email, Associated Calendars, and other types of Electronic Messages – Temporary

(Disposition Authority: GRS 6.1-0490-2023-0001, item 011) [GRS 6.1, item 011] [Numeric Folder: 4013.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Emails of all other officials, staff, and contractors not designated as Capstone permanent. (See above definition.)

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Temporary. Cutoff when individual leaves the agency. Delete 7 years after cutoff.

Information Access and Protection Operational Records

a. Records Tracking and Controlling Access to Protected Information (Disposition Authority: DAA-GRS-2019-0001-0002) [GRS 4.2, item 030] [Numeric Folder: 4017.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

- records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records
- tracking databases and other records used to manage overall access program

- requests and authorizations for individuals to have access to classified and controlled unclassified records and information

Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181

DISPOSITION: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate.

- b. Access Control Records** (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 4017.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Technology Development Project Records

- a. **Infrastructure Project Records** (Disposition Authority: DAA-GRS-2013-0005-0006) [GRS 3.1, item 010] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications.

DISPOSITION: Temporary. Destroy 5 years after project is terminated.

- b. **System Development Records** (Disposition Authority: DAA-GRS-2013-0005-0007) [GRS 3.1, item 011] [Numeric Folder: 4017.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning,

decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

- c. **Special Purpose Computer Programs and Applications** (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4017.003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

Information Technology Operations and Maintenance Records (Disposition Authority: DAA-GRS-2013-0005-0004) [GRS 3.1, item 020] [Numeric Folder: 4018]

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - o reviews
 - o site visit reports
 - o trouble reports
 - o equipment service histories
 - o reports of follow-up actions
 - o related correspondence
- inventories of IT assets, network circuits, and building or circuitry diagrams
- equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally owned devices
- requests for service
- work orders
- service histories
- workload schedules
- run reports

- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting
 - o self-assessments
 - o performance monitoring
 - o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- records to allocate charges and track payment for software and services

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

DISPOSITION: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded.

Information Technology Oversight and Compliance Records (Disposition Authority: DAA-GRS-2013-0005-0010) [GRS 3.1, item 040] [Numeric Folder: 4019]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with

agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities
- statistical performance data
- metrics
- inventory of web activity
- web use statistics
- comments/feedback from web site or application users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded.

Information Technology Program and Capital Investment Planning Records (Disposition Authority: DAA-GRS-2017-0009-0001) [GRS 6.3, item 010] [Numeric Folder: 4020]

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 TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:

- strategic and tactical plans

- records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications
- 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
- reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting
- portfolio management records, including clearance and review
- 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
- business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets

Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately).

Exclusion 2: 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).

Exclusion 3: System data or content (agencies must schedule these separately).

Exclusion 4: General Technology Management Records, Systems development records (DAA-GRS-2013-0005-0007 [GRS 3.1, item 011] covers these).

Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (DAA-GRS-2013-0005-0010 [GRS 3.1, item 040] General Technology Management Records, Information technology oversight and compliance records, covers these).

DISPOSITION: Temporary. Destroy when 7 years old.

Legal and Regulatory Compliance Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

- Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy** (Disposition Authority: DAA-GRS-2013-0007-0022) [GRS 4.2, item 080] [Numeric Folder: 4023.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 5 years after submission of report.

- b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP)** (Disposition Authority: DAA-GRS-2013-0007-0023) [GRS 4.2, item 081] [Numeric Folder: 4023.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 2 years after submission of report.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [Numeric Folder: 4025]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Public Key Infrastructure (PKI) Administrative Records

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

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

a. **FBCA CAs** (Disposition Authority: N1-GRS-07-3, item 13a1) [GRS 3.2, item 060]
[Numeric Folder: 4027.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. 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.

b. **Other (non-FBCA *et. al.*) CAs** (Disposition Authority: N1-GRS-07-3, item 13a2) [GRS 3.2, item 061] [Numeric Folder: 4027.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA.

PKI Transaction-Specific Records (Disposition Authority: N1-GRS-07-3, item 13b) [GRS 3.2, item 062] [Numeric Folder: 4028]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

NOTE: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

DISPOSITION: Temporary. 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 National Archives legal custody.

Records of Accounting for and Controlling Access to Records requested under FOIA, PA, and MDR (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040] [Numeric Folder: 4031]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:

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

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Special Purpose Programs and Application (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4032]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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 National Archives-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

- a. **Systems requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0004) [GRS 3.2, item 031] [Numeric Folder: 4033.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

DISPOSITION: Temporary. Destroy 6 years after password is altered or user account is terminated.

- b. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030] [Numeric Folder: 4033.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy when business use ceases.

System Backups and Tape Library Records

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- a. Incremental backup files** (Disposition Authority: DAA-GRS-2013-0006-0005) [GRS 3.2, item 040] [Numeric Folder: 4034.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

- b. Full backup files** (Disposition Authority: DAA-GRS-2013-0006-0006) [GRS 3.2, item 041] [Numeric Folder: 4034.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

Tracking and Control Records (Disposition Authority: DAA-GRS-2013-0002-0016) [GRS 4.1, item 010] [Numeric Folder: 4038]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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

- indexes
- lists
- registers
- inventories
- logs

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

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

DISPOSITION: Temporary. Destroy when no longer needed.

Business Services

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001)
[GRS 5.1, item 010] [Numeric Folder: 4003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Backups of Master Files and Databases

- a. File identical to permanent records scheduled for transfer to the National Archives** (Disposition Authority: DAA-GRS-2013-0006-0007) [GRS 3.2, item 050] [Numeric Folder: 4004.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives.

- b. **File identical to temporary records authorized for destruction by a NARA-approved records schedule** (Disposition Authority: DAA-GRS-2013-0006-0008) [GRS 3.2, item 051] [Numeric Folder: 4004.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

Collaboration Systems (Guru) (Unscheduled) [Numeric Folder: 4005]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 4009]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: data and detailed reports on implementation of systems, applications and modifications, application sizing, resource and demand management records, documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, documentation of software distribution (including COTS software license management files) and release or version management.

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

NOTE 2: Per National Archives practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

NOTE 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

Customer / Client Records (Disposition Authority: DAA-GRS-2017-0002-0002) [GRS 6.5, item 020] [Numeric Folder: 4011]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

DISPOSITION: Temporary. Delete when supersede, obsolete, or when customer requests the agency to remove the records.

Cybersecurity Logging Records

For additional information about these records, see OMB Memo M-21-31.

Note: The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.

- a. Full Packet Capture** (Disposition Authority: DAA-GRS-2022-0005-0001) [GRS 3.2, item 035] [Numeric Folder: 4012.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network.

Legal citation: OMB Memo M-21-31

Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 72 hours old. Longer retention is authorized for business use.

- b. **Cybersecurity Event Logs** (Disposition Authority: DAA-GRS-2022-0005-0002) [GRS 3.2, item 036] [Numeric Folder: 4012.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats.

Legal citation: OMB Memo M-21-31 Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 30 months old. Longer retention is authorized for business use.

Data Administration Records

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

- a. **Documentation necessary for preservation of permanent electronic records** (Disposition Authority: DAA-GRS-2013-0005-0002) [GRS 3.1, item 050] [Numeric Folder: 4012.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books

- record layouts
- metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051] [Numeric Folder: 4012.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- data/database dictionary records
 - data systems specifications
 - file specifications
 - code books
 - record layouts
 - metadata
 - user guides
 - output specifications
- and also the following records for all electronic records whether scheduled as temporary or permanent
- software operating manuals
 - data standards
 - table and dependency descriptions
 - taxonomies
 - schemas
 - registries
 - source code
 - physical data model
 - logical data model

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Email, Associated Calendars, and other types of Electronic Messages – Permanent

(Disposition Authority: GRS 6.1-0490-2023-0001, item 010) [GRS 6.1, item 010] [Numeric Folder: 4013.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Capstone Officials are senior agency officials whose day-to-day work reflects the policies and decisions that direct the activities of the Peace Corps. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item also applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of records created/sent from unofficial accounts must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Permanent. Cutoff when individual leaves the agency. Transfer to National Archives 15 years after cutoff.

Email, Associated Calendars, and other types of Electronic Messages – Temporary

(Disposition Authority: GRS 6.1-0490-2023-0001, item 011) [GRS 6.1, item 011] [Numeric Folder: 4013.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Emails of all other officials, staff, and contractors not designated as Capstone permanent. (See above definition.)

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Temporary. Cutoff when individual leaves the agency. Delete 7 years after cutoff.

Information Access and Protection Operational Records

- a. Records Tracking and Controlling Access to Protected Information** (Disposition Authority: DAA-GRS-2019-0001-0002) [GRS 4.2, item 030] [Numeric Folder: 4017.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

- records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records
- tracking databases and other records used to manage overall access program
- requests and authorizations for individuals to have access to classified and controlled unclassified records and information

Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181

DISPOSITION: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate.

- b. Access Control Records** (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 4017.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Technology Development Project Records

- 1. Infrastructure Project Records** (Disposition Authority: DAA-GRS-2013-0005-0006) [GRS 3.1, item 010] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications.

DISPOSITION: Temporary. Destroy 5 years after project is terminated.

2. System Development Records (Disposition Authority: DAA-GRS-2013-0005-0007)
[GRS 3.1, item 011] [Numeric Folder: 4017.002]

These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.

Includes records such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes.

3. Special Purpose Computer Programs and Applications (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4017.003]

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.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

Information Technology Operations and Maintenance Records (Disposition Authority: DAA-GRS-2013-0005-0004) [GRS 3.1, item 020] [Numeric Folder: 4018]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - o reviews
 - o site visit reports

- o trouble reports
- o equipment service histories
- o reports of follow-up actions
- o related correspondence
- inventories of IT assets, network circuits, and building or circuitry diagrams
- equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally owned devices
- requests for service
- work orders
- service histories
- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting
 - o self-assessments
 - o performance monitoring
 - o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- records to allocate charges and track payment for software and services

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

DISPOSITION: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded.

Information Technology Oversight and Compliance Records (Disposition Authority: DAA-GRS-2013-0005-0010) [GRS 3.1, item 040] [Numeric Folder: 4019]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities
- statistical performance data
- metrics
- inventory of web activity
- web use statistics
- comments/feedback from web site or application users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded.

Legal and Regulatory Compliance Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

- a. Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy** (Disposition Authority: DAA-GRS-2013-0007-0022) [GRS 4.2, item 080] [Numeric Folder: 4023.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 5 years after submission of report.

- b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP)** (Disposition Authority: DAA-GRS-2013-0007-0023) [GRS 4.2, item 081] [Numeric Folder: 4023.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 2 years after submission of report.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [Numeric Folder: 4025]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files

- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Peace Corps Volunteer Database Management System (PCVDBMS) (Disposition Authority: N1-490-94-5, item 1a) [Numeric Folder: 4026 and/or electronic information system]

This item consists of database containing information about each Peace Corps Volunteer from the time they apply to the time they complete service. This system includes information about the Volunteer's recruitment, placement, and evaluation. It also includes personal information (age, race, sex, etc.) about the Volunteer.

DISPOSITION: Permanent. Transfer copy of this database to the National Archives immediately. Thereafter, transfer on an annual basis. All transfers should be made in accordance with 36 CFR 1228.188.

Public Key Infrastructure (PKI) Administrative Records

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies

(including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

a. **FBCA CAs** (Disposition Authority: N1-GRS-07-3, item 13a1) [GRS 3.2, item 060] [Numeric Folder: 4027.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. 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.

b. **Other (non-FBCA *et. al.*) CAs** (Disposition Authority: N1-GRS-07-3, item 13a2) [GRS 3.2, item 061] [Numeric Folder: 4027.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA.

PKI Transaction-Specific Records (Disposition Authority: N1-GRS-07-3, item 13b) [GRS 3.2, item 062] [Numeric Folder: 4028]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

NOTE: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

DISPOSITION: Temporary. 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 National Archives legal custody.

Records of Accounting for and Controlling Access to Records requested under FOIA, PA, and MDR (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040] [Numeric Folder: 4031]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:

- forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request
- inventories

- forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data
- agent and researcher files

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Special Purpose Programs and Application (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4032]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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 National Archives-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

- a. **Systems requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0004) [GRS 3.2, item 031] [Numeric Folder: 4033.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

DISPOSITION: Temporary. Destroy 6 years after password is altered or user account is terminated.

- b. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030] [Numeric Folder: 4033.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy when business use ceases.

System Backups and Tape Library Records

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- a. **Incremental backup files** (Disposition Authority: DAA-GRS-2013-0006-0005) [GRS 3.2, item 040] [Numeric Folder: 4034.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

- b. **Full backup files** (Disposition Authority: DAA-GRS-2013-0006-0006) [GRS 3.2, item 041] [Numeric Folder: 4034.0012]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

Tracking and Control Records (Disposition Authority: DAA-GRS-2013-0002-0016) [GRS 4.1, item 010] [Numeric Folder: 4038]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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

- indexes
- lists
- registers
- inventories
- logs

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

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

DISPOSITION: Temporary. Destroy when no longer needed.

Customer Support Services (CSS)

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001) [GRS 5.1, item 010] [Numeric Folder: 4003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)

- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Backups of Master Files and Databases

- a. **File identical to permanent records scheduled for transfer to the National Archives** (Disposition Authority: DAA-GRS-2013-0006-0007) [GRS 3.2, item 050] [Numeric Folder: 4004.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives.

- b. **File identical to temporary records authorized for destruction by a NARA-approved records schedule** (Disposition Authority: DAA-GRS-2013-0006-0008) [GRS 3.2, item 051] [Numeric Folder: 4004.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

Collaboration Systems (Guru) (Unscheduled) [Numeric Folder: 400]5

Indicate on your office's File Plan comments column if you DO NOT have these records.

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 4009]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: data and detailed reports on implementation of systems, applications and modifications, application sizing, resource and demand management records, documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, documentation of software distribution (including COTS software license management files) and release or version management.

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

NOTE 2: Per National Archives practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

NOTE 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

Customer / Client Records (Disposition Authority: DAA-GRS-2017-0002-0002) [GRS 6.5, item 020] [Numeric Folder: 4011]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

DISPOSITION: Temporary. Delete when supersede, obsolete, or when customer requests the agency to remove the records.

Cybersecurity Logging Records

For additional information about these records, see OMB Memo M-21-31.

Note: The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.

- a. **Full Packet Capture** (Disposition Authority: DAA-GRS-2022-0005-0001) [GRS 3.2, item 035] [Numeric Folder: 4012.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network.

Legal citation: OMB Memo M-21-31

Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 72 hours old. Longer retention is authorized for business use.

- b. **Cybersecurity Event Logs** (Disposition Authority: DAA-GRS-2022-0005-0002) [GRS 3.2, item 036] [Numeric Folder: 4012.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats.

Legal citation: OMB Memo M-21-31 Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 30 months old. Longer retention is authorized for business use.

Data Administration Records

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

a. Documentation necessary for preservation of permanent electronic records (Disposition Authority: DAA-GRS-2013-0005-0002) [GRS 3.1, item 050] [Numeric Folder: 4012.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

- b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records** (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051] [Numeric Folder: 4012.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

and also the following records for all electronic records whether scheduled as temporary or permanent

- software operating manuals
- data standards
- table and dependency descriptions
- taxonomies
- schemas
- registries
- source code
- physical data model
- logical data model

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Email, Associated Calendars, and other types of Electronic Messages – Permanent

(Disposition Authority: GRS 6.1-0490-2023-0001, item 010) [GRS 6.1, item 010] [Numeric Folder: ~~4013.5~~ STORED IN OUTLOOK]

Capstone Officials are senior agency officials whose day-to-day work reflects the policies and decisions that direct the activities of the Peace Corps. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item also applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or

office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of records created/sent from unofficial accounts must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Permanent. Cutoff when individual leaves the agency. Transfer to National Archives 15 years after cutoff.

Email, Associated Calendars, and other types of Electronic Messages – Temporary

(Disposition Authority: GRS 6.1-0490-2023-0001, item 011) [GRS 6.1, item 011] [Numeric Folder: ~~4013.6~~ STORED IN OUTLOOK]

Emails of all other officials, staff, and contractors not designated as Capstone permanent. (See above definition.)

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Temporary. Cutoff when individual leaves the agency. Delete 7 years after cutoff.

Help Desk Operational Records (Technical and Administrative) (Disposition Authority: DAA-GRS-2017-0001-0001) [GRS 5.8, item 010] [Numeric Folder: 4016]

- records of incoming requests (and responses) made by phone, email, web portal, etc.
- trouble tickets and tracking logs
- quick guides and “Frequently Asked Questions” (FAQs)
- evaluations and feedback about help desk services
- analysis and reports generated from customer management data
- customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

Exclusion: Public customer service records scheduled under GRS 6.5.

DISPOSITION: Temporary. Destroy 1 year after resolved.

Information Access and Protection Operational Records

- a. **Records Tracking and Controlling Access to Protected Information** (Disposition Authority: DAA-GRS-2019-0001-0002) [GRS 4.2, item 030] [Numeric Folder: 4017.5]

Indicate on your office’s File Plan comments column if you DO NOT have these records.

Includes:

- records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records
- tracking databases and other records used to manage overall access program
- requests and authorizations for individuals to have access to classified and controlled unclassified records and information

Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181

DISPOSITION: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate.

- b. Access Control Records** (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 4017.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Technology Development Project Records

- a. **Infrastructure Project Records** (Disposition Authority: DAA-GRS-2013-0005-0006) [GRS 3.1, item 010] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications.

DISPOSITION: Temporary. Destroy 5 years after project is terminated.

- b. **System Development Records** (Disposition Authority: DAA-GRS-2013-0005-0007) [GRS 3.1, item 011] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.

Includes records such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

- c. **Special Purpose Computer Programs and Applications** (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4017.003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

Information Technology Operations and Maintenance Records (Disposition Authority: DAA-GRS-2013-0005-0004) [GRS 3.1, item 020] [Numeric Folder: 4018]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - o reviews
 - o site visit reports
 - o trouble reports
 - o equipment service histories
 - o reports of follow-up actions
 - o related correspondence
- inventories of IT assets, network circuits, and building or circuitry diagrams

- equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally owned devices
- requests for service
- work orders
- service histories
- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting
 - o self-assessments
 - o performance monitoring
 - o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- records to allocate charges and track payment for software and services

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

DISPOSITION: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded.

Information Technology Oversight and Compliance Records (Disposition Authority: DAA-GRS-2013-0005-0010) [GRS 3.1, item 040] [Numeric Folder: 4019]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities
- statistical performance data
- metrics
- inventory of web activity
- web use statistics
- comments/feedback from web site or application users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded.

Legal and Regulatory Compliance Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

- a. Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy** (Disposition Authority: DAA-GRS-2013-0007-0022) [GRS 4.2, item 080]
[Numeric Folder: 4023.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 5 years after submission of report.

- b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP)** (Disposition Authority: DAA-GRS-2013-0007-0023) [GRS 4.2, item 081] [Numeric Folder: 4023.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 2 years after submission of report.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [Numeric Folder: 4025]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but **EXCLUDING** web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Non-Mission Employee Training Program Records (Disposition Authority: DAA-GRS-2016-0014-0001) [GRS 2.6, item 010] [Numeric Folder: 4026.5]

Records about planning, assessing, managing, and evaluating an agency's training program:

- plans, reports and program evaluations
- organizational and occupational needs assessments
- employee skills assessments
- employee training statistics
- notices about training opportunities, schedules, or courses
- mandatory training tracking and reporting files
- logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- registration forms, employee attendance records
- syllabi, presentations, instructor guides, handbooks, and lesson plans
- reference and working files on course content
- other course materials, such as presentations and videos
- student, class, or instructor evaluations

Note: Financial records related to purchase of training or travel for training are scheduled under DAA-GRS-2013-0003-0001 [GRS 1.1, item 010].

Exclusion: This item does not cover ethics-related training.

DISPOSITION: Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete.

Public Key Infrastructure (PKI) Administrative Records

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

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

a. **FBCA CAs** (Disposition Authority: N1-GRS-07-3, item 13a1) [GRS 3.2, item 060]
[Numeric Folder: 4027.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. 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.

- b. **Other (non-FBCA *et. al.*) CAs** (Disposition Authority: N1-GRS-07-3, item 13a2) [GRS 3.2, item 061] [Numeric Folder: 4027.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA.

PKI Transaction-Specific Records (Disposition Authority: N1-GRS-07-3, item 13b) [GRS 3.2, item 062] [Numeric Folder: 4028]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

NOTE: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do—protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

DISPOSITION: Temporary. 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 National Archives legal custody.

Records of Accounting for and Controlling Access to Records requested under FOIA, PA, and MDR (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040] [Numeric Folder: 4031]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:

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

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Special Purpose Programs and Application (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4032]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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 National Archives-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

- a. **Systems requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0004) [GRS 3.2, item 031] [Numeric Folder: 4033.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

DISPOSITION: Temporary. Destroy 6 years after password is altered or user account is terminated.

- b. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030] [Numeric Folder: 4033.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy when business use ceases.

System Backups and Tape Library Records

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- a. **Incremental backup files** (Disposition Authority: DAA-GRS-2013-0006-0005) [GRS 3.2, item 040] [Numeric Folder: 4034.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

b. Full backup files (Disposition Authority: DAA-GRS-2013-0006-0006) [GRS 3.2, item 041] [Numeric Folder: 4034.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

Tracking and Control Records (Disposition Authority: DAA-GRS-2013-0002-0016) [GRS 4.1, item 010] [Numeric Folder: 4038]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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

- indexes
- lists
- registers
- inventories
- logs

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

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

DISPOSITION: Temporary. Destroy when no longer needed.

Infrastructure Services

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001)
[GRS 5.1, item 010] [Numeric Folder: 4003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Backups of Master Files and Databases

- a. **File identical to permanent records scheduled for transfer to the National Archives** (Disposition Authority: DAA-GRS-2013-0006-0007) [GRS 3.2, item 050] [Numeric Folder: 4004.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives.

- b. **File identical to temporary records authorized for destruction by a NARA-approved records schedule** (Disposition Authority: DAA-GRS-2013-0006-0008) [GRS 3.2, item 051] [Numeric Folder: 4004.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

Collaboration Systems (Guru) (Unscheduled) [Numeric Folder: 4005]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 4009]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: data and detailed reports on implementation of systems, applications and modifications, application sizing, resource and demand management records, documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, documentation of software distribution (including COTS software license management files) and release or version management.

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

NOTE 2: Per National Archives practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

NOTE 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

Customer / Client Records (Disposition Authority: DAA-GRS-2017-0002-0002) [GRS 6.5, item 020] [Numeric Folder: 4011]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

DISPOSITION: Temporary. Delete when supersede, obsolete, or when customer requests the agency to remove the records.

Cybersecurity Logging Records

For additional information about these records, see OMB Memo M-21-31.

Note: The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.

a. Full Packet Capture (Disposition Authority: DAA-GRS-2022-0005-0001) [GRS 3.2, item 035] [Numeric Folder: 4012.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network.

Legal citation: OMB Memo M-21-31

Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 72 hours old. Longer retention is authorized for business use.

- b. **Cybersecurity Event Logs** (Disposition Authority: DAA-GRS-2022-0005-0002) [GRS 3.2, item 036] [Numeric Folder: 4012.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats.

Legal citation: OMB Memo M-21-31 Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 30 months old. Longer retention is authorized for business use.

Data Administration Records

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

- a. **Documentation necessary for preservation of permanent electronic records** (Disposition Authority: DAA-GRS-2013-0005-0002) [GRS 3.1, item 050] [Numeric Folder: 4012.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051]_[Numeric Folder: 4012.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

and also the following records for all electronic records whether scheduled as temporary or permanent

- software operating manuals
- data standards
- table and dependency descriptions
- taxonomies
- schemas
- registries
- source code
- physical data model
- logical data model

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Email, Associated Calendars, and other types of Electronic Messages – Permanent

(Disposition Authority: GRS 6.1-0490-2023-0001, item 010) [GRS 6.1, item 010] (Stored in Outlook)

Capstone Officials are senior agency officials whose day-to-day work reflects the policies and decisions that direct the activities of the Peace Corps. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item also applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of records created/sent from unofficial accounts must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Permanent. Cutoff when individual leaves the agency. Transfer to National Archives 15 years after cutoff.

Email, Associated Calendars, and other types of Electronic Messages – Temporary

(Disposition Authority: GRS 6.1-0490-2023-0001, item 011) [GRS 6.1, item 011] (Stored in Outlook)

Emails of all other officials, staff, and contractors not designated as Capstone permanent. (See above definition.)

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Temporary. Cutoff when individual leaves the agency. Delete 7 years after cutoff.

Information Access and Protection Operational Records

- a. **Records Tracking and Controlling Access to Protected Information** (Disposition Authority: DAA-GRS-2019-0001-0002) [GRS 4.2, item 030] [Numeric Folder: 4017.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

- records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records
- tracking databases and other records used to manage overall access program
- requests and authorizations for individuals to have access to classified and controlled unclassified records and information

Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181

DISPOSITION: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate.

- b. Access Control Records** (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 4017.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Technology Development Project Records

- a. **Infrastructure Project Records** (Disposition Authority: DAA-GRS-2013-0005-0006) [GRS 3.1, item 010] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications.

DISPOSITION: Temporary. Destroy 5 years after project is terminated.

- b. **System Development Records** (Disposition Authority: DAA-GRS-2013-0005-0007) [GRS 3.1, item 011] [Numeric Folder: 4017.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

- c. **Special Purpose Computer Programs and Applications** (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4017.003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

Information Technology Operations and Maintenance Records (Disposition Authority: DAA-GRS-2013-0005-0004) [GRS 3.1, item 020] [Numeric Folder: 4018]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - o reviews
 - o site visit reports
 - o trouble reports
 - o equipment service histories
 - o reports of follow-up actions
 - o related correspondence
- inventories of IT assets, network circuits, and building or circuitry diagrams

- equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally owned devices
- requests for service
- work orders
- service histories
- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting
 - o self-assessments
 - o performance monitoring
 - o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- records to allocate charges and track payment for software and services

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

DISPOSITION: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded.

Information Technology Oversight and Compliance Records (Disposition Authority: DAA-GRS-2013-0005-0010) [GRS 3.1, item 040] [Numeric Folder: 4019]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities
- statistical performance data
- metrics
- inventory of web activity
- web use statistics
- comments/feedback from web site or application users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded.

Legal and Regulatory Compliance Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

- a. Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy** (Disposition Authority: DAA-GRS-2013-0007-0022) [GRS 4.2, item 080]
[Numeric Folder: 4023.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 5 years after submission of report.

- b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP)** (Disposition Authority: DAA-GRS-2013-0007-0023) [GRS 4.2, item 081] [Numeric Folder: 4023.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 2 years after submission of report.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [Numeric Folder: 4025]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but **EXCLUDING** web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Public Key Infrastructure (PKI) Administrative Records

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of

software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

a. **FBCA CAs** (Disposition Authority: N1-GRS-07-3, item 13a1) [GRS 3.2, item 060]
[Numeric Folder: 4027.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. 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.

b. **Other (non-FBCA *et. al.*) CAs** (Disposition Authority: N1-GRS-07-3, item 13a2) [GRS 3.2, item 061] [Numeric Folder: 4027.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA.

PKI Transaction-Specific Records (Disposition Authority: N1-GRS-07-3, item 13b) [GRS 3.2, item 062] [Numeric Folder: 4028]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

NOTE: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do—protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

DISPOSITION: Temporary. 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 National Archives legal custody.

Records of Accounting for and Controlling Access to Records requested under FOIA, PA, and MDR (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040]
[Numeric Folder: 4031]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:

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

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Special Purpose Programs and Application (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4032]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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 National Archives-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

- a. **Systems requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0004) [GRS 3.2, item 031] [Numeric Folder: 4033.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

DISPOSITION: Temporary. Destroy 6 years after password is altered or user account is terminated.

- b. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030] [Numeric Folder: 4033.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy when business use ceases.

System Backups and Tape Library Records

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- a. **Incremental backup files** (Disposition Authority: DAA-GRS-2013-0006-0005) [GRS 3.2, item 040] [Numeric Folder: 4034.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

- b. **Full backup files** (Disposition Authority: DAA-GRS-2013-0006-0006) [GRS 3.2, item 041] [Numeric Folder: 4034.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

Technology Management Administrative Records (Disposition Authority: DAA-GRS-2016-0013-0002) [GRS 3.1, item 001] [Numeric Folder: 4037]

Records on day-to-day, routine information technology management. Records include:

- correspondence
- subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making
- data calls

- operational and managerial guidance to organizational segments of the agency

Exclusion: This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule.

DISPOSITION: Temporary. Destroy when 5 years old.

Tracking and Control Records (Disposition Authority: DAA-GRS-2013-0002-0016) [GRS 4.1, item 010] [Numeric Folder: 4038]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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

- indexes
- lists
- registers
- inventories
- logs

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

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

DISPOSITION: Temporary. Destroy when no longer needed.

Service Strategy and Governance

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001) [GRS 5.1, item 010] [Numeric Folder: 4003]

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)

- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Backups of Master Files and Databases

- a. **File identical to permanent records scheduled for transfer to the National Archives** (Disposition Authority: DAA-GRS-2013-0006-0007) [GRS 3.2, item 050] [Numeric Folder: 4004.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives.

- b. **File identical to temporary records authorized for destruction by a NARA-approved records schedule** (Disposition Authority: DAA-GRS-2013-0006-0008) [GRS 3.2, item 051] [Numeric Folder: 4004.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

Collaboration Systems (Guru) (Unscheduled) [Numeric Folder: 4005]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 4009]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: data and detailed reports on implementation of systems, applications and modifications, application sizing, resource and demand management records, documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, documentation of software distribution (including COTS software license management files) and release or version management.

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

NOTE 2: Per National Archives practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

NOTE 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

Customer / Client Records (Disposition Authority: DAA-GRS-2017-0002-0002) [GRS 6.5, item 020] [Numeric Folder: 4011]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

DISPOSITION: Temporary. Delete when supersede, obsolete, or when customer requests the agency to remove the records.

Cybersecurity Logging Records

For additional information about these records, see OMB Memo M-21-31.

Note: The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.

- a. **Full Packet Capture** (Disposition Authority: DAA-GRS-2022-0005-0001) [GRS 3.2, item 035] [Numeric Folder: 4012.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network.

Legal citation: OMB Memo M-21-31

Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 72 hours old. Longer retention is authorized for business use.

- b. **Cybersecurity Event Logs** (Disposition Authority: DAA-GRS-2022-0005-0002) [GRS 3.2, item 036] [Numeric Folder: 4012.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats.

Legal citation: OMB Memo M-21-31 Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 30 months old. Longer retention is authorized for business use.

Data Administration Records

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

a. Documentation necessary for preservation of permanent electronic records
(Disposition Authority: DAA-GRS-2013-0005-0002) [GRS 3.1, item 050] [Numeric Folder: 4012.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

- b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records** (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051],[Numeric Folder: 4012.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

and also the following records for all electronic records whether scheduled as temporary or permanent

- software operating manuals
- data standards
- table and dependency descriptions
- taxonomies
- schemas
- registries
- source code
- physical data model
- logical data model

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Email, Associated Calendars, and other types of Electronic Messages – Permanent

(Disposition Authority: GRS 6.1-0490-2023-0001, item 010) [GRS 6.1, item 010] [Stored in Outlook]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Capstone Officials are senior agency officials whose day-to-day work reflects the policies and decisions that direct the activities of the Peace Corps. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a

Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item also applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of records created/sent from unofficial accounts must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Permanent. Cutoff when individual leaves the agency. Transfer to National Archives 15 years after cutoff.

Email, Associated Calendars, and other types of Electronic Messages – Temporary

(Disposition Authority: GRS 6.1-0490-2023-0001, item 011) [GRS 6.1, item 011] [Stored in Outlook]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Emails of all other officials, staff, and contractors not designated as Capstone permanent. (See above definition.)

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Temporary. Cutoff when individual leaves the agency. Delete 7 years after cutoff.

Enterprise Architecture Records (Disposition Authority: DAA-GRS-2017-0009-0002) [GRS 6.3, item 020] [Numeric Folder: 4013]

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.

Exclusion: 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).

DISPOSITION: Temporary. Destroy 7 years after creating a new iteration of the enterprise or information architecture.

Information Access and Protection Operational Records

- a. **Records Tracking and Controlling Access to Protected Information** (Disposition Authority: DAA-GRS-2019-0001-0002) [GRS 4.2, item 030] [Numeric Folder: 4017.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

- records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records
- tracking databases and other records used to manage overall access program
- requests and authorizations for individuals to have access to classified and controlled unclassified records and information

Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181

DISPOSITION: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate.

- b. **Access Control Records** (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 4017.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Technology Development Project Records

- a. **Infrastructure Project Records** (Disposition Authority: DAA-GRS-2013-0005-0006) [GRS 3.1, item 010] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications.

DISPOSITION: Temporary. Destroy 5 years after project is terminated.

- b. **System Development Records** (Disposition Authority: DAA-GRS-2013-0005-0007)
[GRS 3.1, item 011] [Numeric Folder: 4017.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

- c. **Special Purpose Computer Programs and Applications** (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4017.003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

Information Technology Operations and Maintenance Records (Disposition Authority: DAA-GRS-2013-0005-0004) [GRS 3.1, item 020] [Numeric Folder: 4018]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:

- o reviews
- o site visit reports
- o trouble reports
- o equipment service histories
- o reports of follow-up actions
- o related correspondence
- inventories of IT assets, network circuits, and building or circuitry diagrams
- equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally owned devices
- requests for service
- work orders
- service histories
- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting
 - o self-assessments
 - o performance monitoring
 - o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- records to allocate charges and track payment for software and services

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

DISPOSITION: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded.

Information Technology Oversight and Compliance Records (Disposition Authority: DAA-GRS-2013-0005-0010) [GRS 3.1, item 040] [Numeric Folder: 4019]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities
- statistical performance data
- metrics
- inventory of web activity
- web use statistics
- comments/feedback from web site or application users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded.

Information Technology Program and Capital Investment Planning Records (Disposition Authority: DAA-GRS-2017-0009-0001) [GRS 6.3, item 010] [Numeric Folder: 4020]

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 TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:

- strategic and tactical plans
- records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications
- 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
- reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting
- portfolio management records, including clearance and review
- 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
- business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets

Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately).

Exclusion 2: 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).

Exclusion 3: System data or content (agencies must schedule these separately).

Exclusion 4: General Technology Management Records, Systems development records (DAA-GRS-2013-0005-0007 [GRS 3.1, item 011] covers these).

Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (DAA-GRS-2013-0005-0010 [GRS 3.1, item 040] General Technology Management Records, Information technology oversight and compliance records, covers these).

DISPOSITION: Temporary. Destroy when 7 years old.

Intermediary Files (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020]
[Numeric Folder: 4021]

Records that meet the following conditions:

- They exist for the sole purpose of creating a subsequent record and
- They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

This includes certain analog and electronic source records for electronic systems that are not otherwise excluded. For specific examples, see the GRS 5.2 Frequently Asked Questions (FAQs).

Exclusion: Source records that have been digitized. GRS 4.5, item 010, covers these records.

Note: The GRS provides disposition authority for copies of electronic records from one system that are used as source records to another system, for example an extracted data set. The GRS does not apply to either the originating system or the final system in which the final records reside. These systems must be disposed of per an agency-specific schedule, or if appropriate, another GRS. It is possible that sometimes information is moved from one system to another without the creation of an intermediary copy.

DISPOSITION: Temporary. Destroy upon verification of successful creation of the final document or file.

Legal and Regulatory Compliance Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

- a. Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy** (Disposition Authority: DAA-GRS-2013-0007-0022) [GRS 4.2, item 080]
[Numeric Folder: 4023.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 5 years after submission of report.

- b. All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP)** (Disposition Authority: DAA-GRS-2013-0007-0023) [GRS 4.2, item 081] [Numeric Folder: 4023.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 2 years after submission of report.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [Numeric Folder: 4025]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Public Key Infrastructure (PKI) Administrative Records

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

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

a. **FBCA CAs** (Disposition Authority: N1-GRS-07-3, item 13a1) [GRS 3.2, item 060]
[Numeric Folder: 4027.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. 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.

- b. **Other (non-FBCA *et. al.*) CAs** (Disposition Authority: N1-GRS-07-3, item 13a2) [GRS 3.2, item 061] [Numeric Folder: 4027.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA.

PKI Transaction-Specific Records (Disposition Authority: N1-GRS-07-3, item 13b) [GRS 3.2, item 062] [Numeric Folder: 4028]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

NOTE: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

DISPOSITION: Temporary. 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 National Archives legal custody.

Records of Accounting for and Controlling Access to Records requested under FOIA, PA, and MDR (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040] [Numeric Folder: 4031]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:

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

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Special Purpose Programs and Application (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4032]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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 National Archives-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

- a. **Systems requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0004) [GRS 3.2, item 031] [Numeric Folder: 4033.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

DISPOSITION: Temporary. Destroy 6 years after password is altered or user account is terminated.

- b. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030] [Numeric Folder: 4033.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy when business use ceases.

System Backups and Tape Library Records

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- a. **Incremental backup files** (Disposition Authority: DAA-GRS-2013-0006-0005) [GRS 3.2, item 040] [Numeric Folder: 4034.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

b. Full backup files (Disposition Authority: DAA-GRS-2013-0006-0006) [GRS 3.2, item 041] [Numeric Folder: 4034.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

White Book – Peace Corps IT Policies (Unscheduled) [Numeric Folder: 4039]

DISPOSITION: DO NOT DESTROY

OCIO - Records Management (RM) [Numeric Folder: 13400]

Copies of Records Removal / Non-Removal Certification and Inventories (Individual Employee Separation Case Files) (Disposition Authority: DAA-GRS-2014-0004-0003) [GRS 2.5, item 020] [Numeric Folder: 13401]

These documents certify that Capstone Officials have received a records debriefing, are aware of the Peace Corps' policy on removal of copies of agency records upon their departure and provide an inventory if proposing to remove copies of records. Additionally, includes non-Capstone Officials certification and inventory if the staff member intends to remove copies of records.

DISPOSITION: Temporary. Destroy 1 year after date of separation or transfer.

Records Management Program Records (Disposition Authority: DAA-GRS-2013-0002-0007) [GRS 4.1, item 020] [Numeric Folder: 13403]

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

- providing oversight of entire records management program

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

Records include:

- agency records management program surveys or evaluations
- reports of surveys or evaluations
- reports of corrective action taken in response to agency program surveys or evaluations
- disposal authorizations, schedules, and reports
- records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority)
- SF 135, Records Transmittal and Receipt
- OF 11, Reference Request
- Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States

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

DISPOSITION: Temporary. Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded.

Tracking and Control Records (Disposition Authority: DAA-GRS-2013-0002-0016) [GRS 4.1, item 010] [Numeric Folder: 13404]

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

- indexes
- lists
- registers

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

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

DISPOSITION: Temporary. Destroy when no longer needed.

IT Security

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001)
[GRS 5.1, item 010] [Numeric Folder: 4003]

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Backups of Master Files and Databases

- a. **File identical to permanent records scheduled for transfer to the National Archives** (Disposition Authority: DAA-GRS-2013-0006-0007) [GRS 3.2, item 050] [Numeric Folder: 4004.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives.

- b. **File identical to temporary records authorized for destruction by a NARA-approved records schedule** (Disposition Authority: DAA-GRS-2013-0006-0008) [GRS 3.2, item 051] [Numeric Folder: 4004.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

Collaboration Systems (Guru) (Unscheduled) [Numeric Folder: 4005]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Computer Security Incident Handling, Reporting, and Follow-up Records (Disposition Authority: DAA-GRS-2013-0006-0002) [GRS 3.2, item 020] [Numeric Folder: 4008]

A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as:

- reporting forms
- reporting tools
- narrative reports
- background documentation

Note: Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to the National Archives.

DISPOSITION: Temporary. Destroy 3 years after all necessary follow-up actions have been completed.

Configuration and Change Management Records (Disposition Authority: DAA-GRS-2013-0005-0005) [GRS 3.1, item 030] [Numeric Folder: 4009]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as: data and detailed reports on implementation of systems, applications and modifications, application sizing, resource and demand management records, documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, documentation of software distribution (including COTS software license management files) and release or version management.

NOTE 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

NOTE 2: Per National Archives practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

NOTE 3: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

Customer / Client Records (Disposition Authority: DAA-GRS-2017-0002-0002) [GRS 6.5, item 020] [Numeric Folder: 4011]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Distribution lists used by an agency to deliver specific goods or services. Records include:

- contact information for customers or clients
- subscription databases for distributing information such as publications and data sets produced by the agency
- files and databases related to constituent and community outreach or relations
- sign-up, request, and opt-out forms

DISPOSITION: Temporary. Delete when supersede, obsolete, or when customer requests the agency to remove the records.

Cybersecurity Logging Records

For additional information about these records, see OMB Memo M-21-31.

Note: The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.

- a. Full Packet Capture Data** (Disposition Authority: DAA-GRS-2022-0005-0001) [GRS 3.2, item 035] [Numeric Folder: 4012.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network.

Legal citation: OMB Memo M-21-31

Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 72 hours old. Longer retention is authorized for business use.

- b. Cybersecurity Event Logs** (Disposition Authority: DAA-GRS-2022-0005-0002) [GRS 3.2, item 036] [Numeric Folder: 4012.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats.

Legal citation: OMB Memo M-21-31 Not media neutral. Applies to electronic records only.

DISPOSITION: Temporary. Destroy when 30 months old. Longer retention is authorized for business use.

Data Administration Records

Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for

the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

a. Documentation necessary for preservation of permanent electronic records
(Disposition Authority: DAA-GRS-2013-0005-0002) [GRS 3.1, item 050] [Numeric Folder: 4012.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

DISPOSITION: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

b. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051] [Numeric Folder: 4012.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any

types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- metadata
- user guides
- output specifications

and also the following records for all electronic records whether scheduled as temporary or permanent

- software operating manuals
- data standards
- table and dependency descriptions
- taxonomies
- schemas
- registries
- source code
- physical data model
- logical data model

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Email, Associated Calendars, and other types of Electronic Messages – Permanent

(Disposition Authority: GRS 6.1-0490-2023-0001, item 010) [GRS 6.1, item 010] [Stored in Outlook]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Capstone Officials are senior agency officials whose day-to-day work reflects the policies and decisions that direct the activities of the Peace Corps. If a Capstone official has more than one agency-administered email account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item also applies to those accounts. This item applies to all email regardless of the address names used by the Capstone official for agency business, such as nicknames or office title names. Email from personal or non-official email accounts in which official agency business is conducted is also included. A complete copy of records created/sent from unofficial accounts must be forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Permanent. Cutoff when individual leaves the agency. Transfer to National Archives 15 years after cutoff.

Email, Associated Calendars, and other types of Electronic Messages – Temporary

(Disposition Authority: GRS 6.1-0490-2023-0001, item 011) [GRS 6.1, item 011] [Stored in Outlook]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Email and/or other types of electronic messages of all other officials, staff, and contractors not designated as Capstone permanent.

Not media neutral; applies to records managed in an electronic format only.

DISPOSITION: Temporary. Cutoff when individual leaves the agency. Delete 7 years after cutoff.

Information Access and Protection Operational Records

- a. Records Tracking and Controlling Access to Protected Information** (Disposition Authority: DAA-GRS-2019-0001-0002) [GRS 4.2, item 030] [Numeric Folder: 4017.5]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

- records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records
- tracking databases and other records used to manage overall access program
- requests and authorizations for individuals to have access to classified and controlled unclassified records and information

Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181

DISPOSITION: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate.

- b. Access Control Records** (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 4017.6]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Includes:

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Technology Development Project Records

- a. **Infrastructure Project Records** (Disposition Authority: DAA-GRS-2013-0005-0006)
[GRS 3.1, item 010] [Numeric Folder: 4017.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications.

DISPOSITION: Temporary. Destroy 5 years after project is terminated.

- b. **System Development Records** (Disposition Authority: DAA-GRS-2013-0005-0007)
[GRS 3.1, item 011] [Numeric Folder: 4017.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.

Includes records such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records

- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

Exclusion: This item does not apply to system data or content.

Note 1: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

Note 2: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

DISPOSITION: Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency / IT administrative purposes.

- c. **Special Purpose Computer Programs and Applications** (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4017.003]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

Information Technology Operations and Maintenance Records (Disposition Authority: DAA-GRS-2013-0005-0004) [GRS 3.1, item 020] [Numeric Folder: 4018]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - o reviews
 - o site visit reports
 - o trouble reports
 - o equipment service histories
 - o reports of follow-up actions
 - o related correspondence
- inventories of IT assets, network circuits, and building or circuitry diagrams
- equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally owned devices
- requests for service
- work orders
- service histories
- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting

- o self-assessments
- o performance monitoring
- o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- records to allocate charges and track payment for software and services

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

DISPOSITION: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded.

Information Technology Oversight and Compliance Records (Disposition Authority: DAA-GRS-2013-0005-0010) [GRS 3.1, item 040] [Numeric Folder: 4019]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities
- statistical performance data
- metrics
- inventory of web activity

- web use statistics
- comments/feedback from web site or application users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

DISPOSITION: Temporary. Destroy 5 years after the project / activity / transaction is completed or superseded.

Legal and Regulatory Compliance Records

Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.

- a. **Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy** (Disposition Authority: DAA-GRS-2013-0007-0022) [GRS 4.2, item 080]
[Numeric Folder: 4023.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 5 years after submission of report.

- b. **All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP)** (Disposition Authority: DAA-GRS-2013-0007-0023) [GRS 4.2, item 081] [Numeric Folder: 4023.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Destroy 2 years after submission of report.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [Numeric Folder: 4025]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Public Key Infrastructure (PKI) Administrative Records

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

Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

a. **FBCA CAs** (Disposition Authority: N1-GRS-07-3, item 13a1) [GRS 3.2, item 060]

Indicate on your office's File Plan comments column if you DO NOT have these records. [Numeric Folder: 4027.001]

DISPOSITION: Temporary. 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.

- b. **Other (non-FBCA *et. al.*) CAs** (Disposition Authority: N1-GRS-07-3, item 13a2) [GRS 3.2, item 061] [Numeric Folder: 4027.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA.

PKI Transaction-Specific Records (Disposition Authority: N1-GRS-07-3, item 13b) [GRS 3.2, item 062] [Numeric Folder: 4028]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

NOTE: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

DISPOSITION: Temporary. 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 National Archives legal custody.

Records of Accounting for and Controlling Access to Records requested under FOIA, PA, and MDR (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040]
[Numeric Folder: 4031]

Indicate on your office's File Plan comments column if you DO NOT have these records.

Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:

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

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Special Purpose Programs and Application (Disposition Authority: DAA-GRS-2013-0005-0008) [GRS 3.1, item 012] [Numeric Folder: 4032]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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 National Archives-approved records schedule.

Exclusion 1: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Exclusion 2: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.

Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.

DISPOSITION: Temporary. Delete when related master file or database has been deleted.

System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

- a. **Systems requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0004) [GRS 3.2, item 031] [Numeric Folder: 4033.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

DISPOSITION: Temporary. Destroy 6 years after password is altered or user account is terminated.

- b. **Systems not requiring special accountability for access** (Disposition Authority: DAA-GRS-2013-0006-0003) [GRS 3.2, item 030] [Numeric Folder: 4033.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

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.

DISPOSITION: Temporary. Destroy when business use ceases.

System Backups and Tape Library Records

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- a. **Incremental backup files** (Disposition Authority: DAA-GRS-2013-0006-0005) [GRS 3.2, item 040] [Numeric Folder: 4034.001]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

- b. **Full backup files** (Disposition Authority: DAA-GRS-2013-0006-0006) [GRS 3.2, item 041] [Numeric Folder: 4034.002]

Indicate on your office's File Plan comments column if you DO NOT have these records.

DISPOSITION: Temporary. Delete when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

Systems and Data Security Records (Disposition Authority: DAA-GRS-2013-0006-0001) [GRS 3.2, item 010] [Numeric Folder: 4035]

These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as:

- System Security Plans
- Disaster Recovery Plans
- Continuity of Operations Plans
- published computer technical manuals and guides
- examples and references used to produce guidelines covering security issues related to specific systems and equipment
- records on disaster exercises and resulting evaluations
- network vulnerability assessments
- risk surveys
- service test plans
- test files and data

DISPOSITION: Temporary. 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.

Technology Management Administrative Records (Disposition Authority: DAA-GRS-2016-0013-0002) [GRS 3.1, item 001] [Numeric Folder: 4037]

Records on day-to-day, routine information technology management. Records include:

- correspondence
- subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making
- data calls
- operational and managerial guidance to organizational segments of the agency

Exclusion: This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule.

DISPOSITION: Temporary. Destroy when 5 years old.

Civil Rights and Diversity (OCRD) [Numeric Folder: 5000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 5000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 5000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Alternative Dispute Resolution (ADR) Records

1. ADR Program Files (Disposition Authority: DAA-GRS-2022-0001-0001) [GRS 2.3, item 010] [Numeric Folder: 5001.001]

Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:

- program-related correspondence
- copies of statutes, regulations, directives, and instructions
- timetables and guidelines for processing case files and appealing decisions
- planning records
- meeting minutes
- program evaluations and reports to senior management
- statistical records tracking program participation and participants
- records tracking programs' compliance with relevant Executive Orders and other requirements
- records arranging for outside mediator and facilitator involvement in case settlements

Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).

Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).

Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).

DISPOSITION: Temporary. Destroy when 3 years old.

2. Alternative Dispute Resolution (ADR) Case Files - Informal process (Disposition Authority: DAA-GRS-2018-0002-0007) [GRS 2.3, item 070] [Numeric Folder: 5001.002]

Records not associated with another employee dispute, complaint or grievance process.

Includes:

- agreements to use ADR
- records of intake and process
- records of settlement or discontinuance of case
- parties' written evaluations of the process

DISPOSITION: Temporary. Destroy 3 years after case is closed.

3. ADR case files - Formal process (Disposition Authority: DAA-GRS-2018-0002-0008) [GRS 2.3, item 071] [Numeric Folder: 5001.003]

Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.

Includes:

- agreements to use ADR
- records of intake and process
- records of settlement or discontinuance of case
- parties' written evaluations of the process

DISPOSITION: Temporary. Destroy 7 years after case is closed.

Equal Employment Opportunity (EEO) Compliance Review Files (Disposition Authority: DAA-GRS-2018-0002-0014) [GRS 2.3, item 120] [Numeric Folder: 5003]

Reviews, background documents, and correspondence relating to contractor employment practices.

DISPOSITION: Temporary. Destroy when 7 years old.

Equal Employment Opportunity (EEO) Records

1. EEO Program Files (Disposition Authority: DAA-GRS-2022-0001-0001) [GRS 2.3, item 010] [Numeric Folder: 5004.001]

Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:

- program-related correspondence
- copies of statutes, regulations, directives, and instructions
- timetables and guidelines for processing case files and appealing decisions
- planning records
- meeting minutes
- program evaluations and reports to senior management
- statistical records tracking program participation and participants
- records tracking programs' compliance with relevant Executive Orders and other requirements
- records arranging for outside mediator and facilitator involvement in case settlements

Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).

Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).

Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).

DISPOSITION: Temporary. Destroy when 3 years old.

2. EEO Official Discrimination Complaint Case Files – Informal Process

(Disposition Authority: DAA-GRS-2018-0002-0012) [GRS 2.3, item 110] [Numeric Folder: 5004.002]

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.

Includes:

- intake sheet
- summary report
- notes
- supporting documentation
- correspondence

DISPOSITION: Temporary. Destroy 3 years after resolution of case.

3. EEO Official Discrimination Complaint Case Files – Formal Process

(Disposition Authority: DAA-GRS-2018-0002-0013) [GRS 2.3, item 111] [Numeric Folder: 5004]

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.

Includes:

- intake sheet
- summary report
- notes
- supporting documentation
- correspondence

DISPOSITION: Temporary. Destroy 7 years after resolution of case.

EEO Reports and Employment Statistics Files (Disposition Authority: DAA-GRS-2020-0001-0003) [GRS 5.7, item 050] [Numeric Folder: 5005]

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:

- information collection clearances
- report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- EEOC reports
- Analysis and Action Plans and other reports required by EEOC's MD 715
- No FEAR Act reports
- service organization auditor report, or equivalent

Includes ancillary records such as:

- background and research records
- submission packets and compilations
- related files

Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.

Exclusion 2: Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately).

Exclusion 3: Mandatory external reports on finance matters (DAA-GRS-2013-0003-0001 [GRS 1.1, item 020] and DAA-GRS-2013-0003-0012 [GRS 1.1, item 040] cover these; mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection DAA-GRS-2013-0007-0022 [GRS 4.2, item 080] covers these).

DISPOSITION: Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate.

Event Announcements (Administrative directives and notices) (Disposition Authority: DAA-GRS-2017-0008-0003) [GRS 5.7, item 030] [Numeric Folder: 5006]

Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.

Announcements advertising dates, times, and locations of events that cover topics such as equal employment opportunity, discrimination, harassment, diversity, and inclusion policies. Also covers topics such as Employee Resource Groups (ERGs), reasonable accommodations for persons with disabilities, minorities, the No FEAR Act, gender

identity and orientation, intercultural differences, bullying in the workplace, religious accommodations, feminism, and implicit bias.

Exclusion: Documents related to mission activities (agencies schedule these separately).

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Non-Mission Employee Training Program Records (Disposition Authority: DAA-GRS-2016-0014-0001) [GRS 2.6, item 010] [Numeric Folder: 5007.5]

Records about planning, assessing, managing, and evaluating an agency's training program:

- plans, reports and program evaluations
- organizational and occupational needs assessments
- employee skills assessments
- employee training statistics
- notices about training opportunities, schedules, or courses
- mandatory training tracking and reporting files
- logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- registration forms, employee attendance records
- syllabi, presentations, instructor guides, handbooks, and lesson plans
- reference and working files on course content
- other course materials, such as presentations and videos
- student, class, or instructor evaluations

Note: Financial records related to purchase of training or travel for training are scheduled under DAA-GRS-2013-0003-0001 [GRS 1.1, item 010].

Exclusion: This item does not cover ethics-related training.

DISPOSITION: Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete.

Reasonable Accommodation Records

1. Reasonable Accommodation Program Files (Disposition Authority: DAA-GRS-2022-0001-0001) [GRS 2.3, item 010] [Numeric Folder: 5007.001]

Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:

- program-related correspondence

- copies of statutes, regulations, directives, and instructions
- timetables and guidelines for processing case files and appealing decisions
- planning records
- meeting minutes
- program evaluations and reports to senior management
- statistical records tracking program participation and participants
- records tracking programs' compliance with relevant Executive Orders and other requirements
- records arranging for outside mediator and facilitator involvement in case settlements

Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).

Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).

Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).

DISPOSITION: Temporary. Destroy when 3 years old.

2. Reasonable Accommodation Employee Case Files (Disposition Authority: DAA-GRS-2022-0001-0002) [GRS 2.3, item 020] [Numeric Folder: 5007.002]

Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for religious accommodation, reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee.

Includes:

- request, approvals and denials
- notice of procedures for informal dispute resolution or appeal processes
- forms, correspondence, records of oral conversations
- policy guidance documents
- medical records
- supporting notes and documentation

DISPOSITION: Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later.

Training Records (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: 5008]

Headquarters subject matter experts create training content for Volunteers/Trainees, headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session

plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Director's - Level Office [Numeric Folder: 1000-1300]

Directors' Records (Disposition Authority: Unscheduled) [Numeric Folder: 1001]

Records created or received by the Peace Corps Director relating to issues and subjects requiring the Director's attention, whether acted upon or not. Can include memoranda, briefings, notes, reports, and other materials about the creation, development, coordination, and execution of Peace Corps programs, policies, plans, and projects.

DISPOSITION: DO NOT DESTROY

Anniversary Celebration Records (Disposition Authority: DAA-0490-2016-0010-0001) [Numeric Folder: 1002]

Records documenting major Peace Corps anniversary celebrations, such as the 45th, 50th, etc., held in the United States and at overseas posts. Includes the strategic plan, files that document the policies involved and actions taken in putting together an event, branding and marketing, speeches made by the Peace Corps Director and other luminaries, correspondence between senior governmental officials and other influential individuals, and final reports.

DISPOSITION: Permanent. Cut off files at the end of the year of celebration. Transfer to National Archives 1 year after cutoff.

Chief of Staff Records (Disposition Authority: Unscheduled) [Numeric Folder: 1301]

Records created or received by the Chief of Staff relating to issues and subject matters requiring the Chief of Staff's attention, whether acted upon or not. Can include memoranda, briefings, notes, reports, and other materials about the coordination, development, and execution of Peace Corps programs, policies, plans, and projects.

DISPOSITION: DO NOT DESTROY

Chief of Staff Speeches (Disposition Authority: Unscheduled) [Numeric Folder: 1302]

DISPOSITION: DO NOT DESTROY

Chief of Staff Trip Briefing Materials (Disposition Authority: Unscheduled) [Numeric Folder: 1303]

DISPOSITION: DO NOT DESTROY

Decision Memos

Decision memoranda signed by the Director, Chief Executive Officer, Deputy Director, or Deputy Chief Executive Officer, Chief of Operations and Administration, or Chief of Staff. Records contain a wide variety of approved actions, from administrative matters to policy issues.

1. Significant Memos (Disposition Authority: *Unscheduled*) [Numeric Folder: 1004.001]

Decision memoranda concerning the agency's mission, policies, how programs are started, altered, closed, or restarted, and how funds are allocated and spent. Includes policy decisions, Memoranda of Understanding, Memoranda of Agreement, office reorganization and restructuring, and budget decisions.

DISPOSITION: DO NOT DESTROY

2. Routine Memos (Disposition Authority: *Unscheduled*) [Numeric Folder: 1004.002]

Personnel or other administrative decisions. Includes third tour extensions, one-year extensions, delegations of authority for less than 60 days, and other administrative matters.

DISPOSITION: DO NOT DESTROY

Deputy Directors' Records (Disposition Authority: *Unscheduled*) [Numeric Folder: 1100]

Records created or received by the Deputy Director relating to issues and subjects requiring the Deputy Director's attention, whether acted upon or not. Can include memoranda, briefings, notes, reports, and other materials about the coordination, development, and execution of Peace Corps programs, policies, plans, and projects.

DISPOSITION: DO NOT DESTROY

Deputy Director's Speeches (Disposition Authority: *Unscheduled*) [Numeric Folder: 1101]

DISPOSITION: DO NOT DESTROY

Deputy Director's Trip Briefing Materials (Disposition Authority: *Unscheduled*) [Numeric Folder: 1102]

DISPOSITION: DO NOT DESTROY

Emergency Declaration Response Records – Substantive (Disposition Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 1005.5]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

Disposition: Permanent. Cut off records upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Emergency Declaration Response Records – Administrative (Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 1005.6]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, reports and other supporting documentation used to generate final products.

Disposition: Temporary. Cut off annually. Destroy 7 years after cutoff.

Executive Correspondence

Correspondence addressed to the Director requiring an answer, outgoing responses signed by the Director, and any other outgoing correspondence. Correspondence is filed by subject according to a numerical filing system.

1. Policy Correspondence (Disposition Authority: DAA-0490-2013-0001-0001) [Numeric Folder: 1376]

Correspondence relating to Peace Corps policies, procedures, operations, and decisions. Includes correspondence to other federal agencies, the White House, committees and members of Congress, foreign government representatives, and various national and international development and volunteer organizations.

Note: Transfer to the National Archives with permanent Executive Correspondence Log (DAA-0490-2013-0001-0001).

DISPOSITION: Permanent. Cut off every four years on January 20th at the end of each presidential administrative term, beginning January 20, 2001. Transfer to the National Archives 20 years after cutoff.

2. Other Correspondence (Disposition Authority: DAA-0490-2013-0001-0002) [Numeric Folder: 1377]

Correspondence relating to general interest inquiries and specific Peace Corps applicants, Volunteers, or returned Volunteers.

DISPOSITION: Temporary. Cut off every four years on January 20th at the end of each presidential administrative term, beginning January 20, 2001. Destroy 20 years after cutoff.

Executive Correspondence Log (Disposition Authority: DAA-0490-2013-0001-0001)

[Numeric Folder: 1378]

Chronological log of incoming and outgoing correspondence.

Note: Transfer to the National Archives with permanent Policy Correspondence (DAA-0490-2013-0001-0001).

DISPOSITION: Permanent. Cut off every four years on January 20th at the end of each presidential administrative term, beginning January 20, 2001. Transfer to the National Archives 20 years after cutoff.

Organizational Charts (Disposition Authority: Unscheduled) [Numeric Folder: 1005]

Charts showing the organizational structure of the Peace Corps. Includes updated charts every time there is an agency reorganization, a new office is created, or the office hierarchy is revised.

DISPOSITION: DO NOT DESTROY

Planning and Analysis Records

Significant plans, evaluations, studies, and reports about the Peace Corps, produced at the direction of the Director or Congress. Includes "The Peace Corps: A Comprehensive Agency Assessment" and "Five-Year Rule Analysis."

1. Significant Planning and Analysis Records (Disposition Authority: Pending) [Numeric Folder: 1006]

Final plans, evaluations, studies, and reports.

DISPOSITION: DO NOT DESTROY

2. Working Papers (Disposition Authority: Pending) [Numeric Folder: 1007]

Drafts and other working papers as well as statistical or other background information used to complete significant final plans, evaluations, studies, and reports.

DISPOSITION: DO NOT DESTROY

Senior Advisor's Records (Disposition Authority: Unscheduled) [Numeric Folder: 1009.5]

DISPOSITION: DO NOT DESTROY

Senior Staff Meeting Minutes (Disposition Authority: Unscheduled) [Numeric Folder: 1009]

Minutes and/or agendas of Senior Staff meetings, Leadership meetings, and other formal meetings held by senior staff (Director, Deputy Director, and Chief of Staff).

DISPOSITION: DO NOT DESTROY

Speeches

Speeches given by Peace Corps staff.

1. Directors' Speeches (Disposition Authority: Unscheduled) [Numeric Folder: 1008]

DISPOSITION: DO NOT DESTROY

2. All other Speeches (Disposition Authority: Unscheduled) [Numeric Folder: 1009.4]

DISPOSITION: DO NOT DESTROY

Transition Briefing Book Records (Disposition Authority: Unscheduled) [Numeric Folder: 1010]

High-level transition plans created at the end of a presidential term for incoming Peace Corps senior officials appointed or installed by new presidential administrations. Contains information for continued agency operations, such as summaries of issues and situations requiring action, or pending deadlines.

DISPOSITION: DO NOT DESTROY

Trip Briefing Materials

Trip materials (also known as briefing books) prepared for senior staff to take on trips. Includes itinerary, background information about the destination, biographies of people senior staff will meet, and information about programs and projects in host country.

[**Note:** Travel authorizations and other administrative information are not included.]

1. Directors' Trip Briefing Materials (Disposition Authority: Unscheduled) [Numeric Folder: 1011]

Briefing Notes prepared by Headquarters and/or Post for high-level official's visits.

DISPOSITION: DO NOT DESTROY

Office of Chief Compliance Officer (OCCO) [Numeric Folder: 1400]

Compliance Analysis Master Spreadsheet (Disposition Authority: DAA-0490-2015-0001-0001) [Numeric Folder: 1401]

The Compliance Analysis Master Spreadsheet is a record of all Office of Inspector General's (OIG) recommendations, a detailed breakdown of recommendations by category and the responses generated from those recommendations. The OIG recommendations are based on financial audits and program evaluations of Peace Corps' overseas offices and headquarters.

DISPOSITION: Temporary. Cut off at end of fiscal year. Destroy 10 years after cutoff.

Compliance Analysis Trends (Disposition Authority: DAA-0490-2015-0001-0002) [Numeric Folder: 1402]

Analyses of data logged in the master spreadsheet show trends of various issues, such as the most commonly occurring issues from the Office of Inspector General's (OIG) reports. Trend materials generated include graphs, charts and booklets.

DISPOSITION: Temporary. Cut off at end of fiscal year. Destroy 10 years after cutoff.

Compliance Working Files (Disposition Authority: DAA-0490-2015-0001-0003) [Numeric Folder: 1403]

Consists of documents collected to respond to the Office of Inspector General's (OIG) financial audits, management alerts, program evaluations or investigations. Working files include correspondence between the Compliance Office and headquarters' offices or among the Compliance Office, overseas posts, and Regions. An additional working file is the Compliance Office's Agency response memo, which becomes an appendix to the OIG final report.

DISPOSITION: Temporary. Cut off at close of recommendations. Destroy 5 years after cutoff.

NEW ITEM - ERM Risk Register (Disposition Authority: Unscheduled) [Numeric Folder: 1404]

DISPOSITION: DO NOT DESTROY

NEW ITEM - ERM Annual Assurance Statements (Disposition Authority: Unscheduled) [Numeric Folder: 1405]

DISPOSITION: DO NOT DESTROY

NEW ITEM - ERM Risk Review Records (Disposition Authority: Unscheduled) [Numeric Folder: 1406]

DISPOSITION: DO NOT DESTROY

NEW ITEM - ERM Working Files (Disposition Authority: Unscheduled) [Numeric Folder: 1407]

DISPOSITION: DO NOT DESTROY

Intercultural Competence, Diversity, Equity, Inclusion, and Accessibility (ICDEIA) [Numeric Folder: 1450]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 1450-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 1450-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Sexual Assault Prevention and Response (SAPR) [Numeric Folder: 1500]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 1500-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

NOTE: Includes Sexual Assault Advisory Council (SAAC) Annual Reports and the IDEAL Quarterly Newsletter.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 1500-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

External Affairs (EA) [Numeric Folder: 6000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 6000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 6000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

EA - Communications (EA-C) [Numeric Folder: 6000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 6000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: INCLUDES ALL ITERATIONS OF THE “BOLD” RECRUITMENT CAMPAIGN.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 6000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Audiovisual Records (Administrative) (Disposition Authority: DAA-GRS-2016-0005-0006)
[GRS 6.4, item 050] [Numeric Folder: 6101]

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.

Note: Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.

DISPOSITION: Temporary. Destroy when 2 years old.

NEW Audiovisual Records (Routine) (Disposition Authority: DAA-0490-2024-0003-0002)

Routine audiovisual records (pictures, video, audio, etc.) taken by Peace Corps staff of Peace Corps training events, workshops, conferences of a standard and repeating nature, awards ceremonies, holiday celebrations, social activities and events at Headquarters or Posts; identification portraits of Volunteers, staff, non-senior staff, host country nationals, community members, and returned Peace Corps Volunteers (RPCV); or records having technical deficiencies (such as photo files of less than 6 megapixels), descriptive deficiencies (lacking required metadata), or aesthetic deficiencies (blurry, subject not centered in image or cut off, garbled audio, etc.); records with unknown subject matter or provenance; or visual coverage in excess of what is needed for adequate and sufficient documentation of any event, activity, or person.

DISPOSITION: Temporary. Cut off at end of calendar year in which record is created. Destroy 3 years after cutoff.

NEW Audiovisual Records – Significant (Disposition Authority: DAA-0490-2024-0003-0001)

Historically significant digital images and videos of Peace Corps and other high-level officials, Volunteers, or staff. Includes coverage of activities, interactions, and accomplishments related to the wide range of social, economic, technical development projects worldwide. Records may depict Peace Corps Directors, Deputy Directors, or designated surrogates; Peace Corps Volunteers, U.S. or foreign ambassador-level officials or higher, NGO partners, host country staff and counterparts, notable Returned Peace Corps Volunteers (RPCVs), and other notable persons at official or important events such as anniversary celebrations, new country signing ceremonies, and conferences of an unusual or unique nature. Volumes of records should be the smallest number of images needed to document significant Peace Corps headquarters and Post activities and individuals. Includes major video productions used in social media campaigns or advertising campaigns promoting the Peace Corps and for recruiting. All official audiovisual records must include metadata such as date, subject names, project type, and/or locations as well as any associated rights or permissions to reproduce the materials. Indexes, finding aids, and moving image scripts associated with the AV records created must be saved and transferred with records.

DISPOSITION: Permanent. Cut off at end of calendar year in which record is finalized. Transfer to NARA 5 years after cutoff.

UPDATED Authorization to Use Personal Material / Release Forms (Disposition Authority: DAA-0490-2023-0002-0001) [Numeric Folder: 6102]

Authorization to use a Volunteer's personal material world-wide and in perpetuity.

DISPOSITION: Temporary. Cut off at end of calendar year. Must be filed electronically by “last name, first name, COS date, etc.”. **Destroy 6 years after cutoff but longer retention is authorized if required for business purposes.**

General Information Request Files (Transitory Records) (Disposition Authority: DAA-GRS-2022-0009-0001 [GRS 5.2, item 010] [Numeric Folder: 6103]

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.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Motion Picture Film (analog) [Numeric Folder: 6104]

NOTE: CONTACT RMO WITH QUESTIONS ABOUT THIS RECORD TYPE

Posters (Disposition Authority: DAA-0490-2016-0007-0008) [Numeric Folder: 6106]

Recruitment, anniversary, Partnership program and other promotional posters which are basic to the operation and mission of the Peace Corps.

DISPOSITION: Permanent. Provide 2 copies of each poster when produced to the Records Management Office along with a box list in flat or in tubes.

Note: Posters originating with the Communications office provide 2 hard copy and all other posters provide pdf versions to Records Management Office.

Recruitment Materials (Administrative records) (Disposition Authority: DAA-GRS-2016-0005-0003) [GRS 6.4, item 030] [Numeric Folder: 6108]

Public affairs product production files. Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:

- news clippings
- marketing research
- copies of records used for reference in preparing products

- research notes
- printers galleys
- drafts and working copies (see Exclusion 1)
- preparatory or preliminary artwork or graphics
- bibliographies, checklists, and indexes of agency publications and releases
- clearances related to release of products

NOTE: FINAL, DISEMINATED PRODUCTS ARE PERMANENT UNDER OTHER ITEMS IN THIS SCHEDULE. CONTACT RMO WITH QUESTIONS.

Exclusion 1: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

UPDATED Social Media Records (Disposition: DAA-0490-2024-0004-0001) [Numeric Folder: 6110]

Social media consists of content posted by Peace offices or units on official Peace Corps social media accounts that are controlled/hosted by third-party vendors, such as social networking, including but not limited to: Facebook, LinkedIn, Google+, etc., video sharing (YouTube, Vimeo, etc.), microblogging (Twitter, Tumblr, etc.), and photo sharing (Instagram, Flickr, etc.).

The types of content posted to the agency's social media sites (Facebook, Twitter (X), etc.) may include, but is not limited to: pointers to the agency's website; general announcements; announcements promoting agency events, activities, or policies; links to recently released Peace Corps press releases; and photos and videos from agency events. Social media serves as the primary means of disseminating information (news, etc.) to potential volunteers and the general public. Posts to PC social media are considered reference material with a limited span of usefulness.

Social media platforms, specifically Facebook, Instagram, Twitter (X), and LinkedIn, provide archival access to posted materials which allows the Peace Corps to download all content posted to any/all social media accounts. Current Peace Corps practice is to download all the posted content for the past calendar year every December as a compressed file from each platform. The compressed file is considered the 'record' for Peace Corps social media posts.

DISPOSITION: Temporary. Cut off at end of calendar year. Destroy 3 years after cutoff.

Still Pictures (Disposition Authority: N1-490-92-2, item 1b and 1e) [Numeric Folder: 6111]

~~Subjects which document the mission and programs of the Peace Corps, such as photography pertaining to recruitment, training, overseas operations, and media coverage.~~

DISPOSITION: Permanent. Transfer to the National Archives in five year blocks when the oldest material is 10 years old. Transfer finding aids and production documentation with the records to which they relate.

NOTE: CONTACT RMO WITH QUESTIONS ABOUT THIS RECORD TYPE

(a) ~~Color photographs:~~

~~Original color transparency (slide) with a captioned reference copy and, if any exist, a color negative and internegative, if one exists. (Note: The reference copy may be a captioned print of a contact sheet, if none other is available.)~~

(b) ~~Existing finding aids:~~

~~These can include data sheets, shot lists, review sheets, contact lists, continuities, catalogues, indices, lists of captions, and other textual documentation that are necessary or helpful for the proper identification, retrieval and use of records described above, and production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production.~~

Video (analog) (Disposition Authority: N1-362-90-3, item 2) ———

~~Subjects which reflect the agency's program and/or mission such as tapes pertaining to recruitment, agency work in a country, ad campaigns, public service announcements, and media coverage.~~

a. ~~The original or the earliest generation of the video recording~~ plus one dubbing of same. [Numeric Folder: 6112.001]

~~**DISPOSITION:** Permanent. Transfer to National Archives in 5 year blocks when the oldest tape is 10 years old.~~

c. ~~Finding aids~~ such as indexes, shot lists, or other lists which describe and/or facilitate use of the video tapes. [Numeric Folder: 6112.002]

~~**DISPOSITION:** Permanent. Transfer to National Archives with corresponding tapes.~~

d. ~~Production documentation~~ bears on the origin, acquisition, release, and ownership of the production such as case files containing production contracts, scripts, transcripts, etc. [Numeric Folder: 6112.003]

~~**DISPOSITION:** Permanent. Transfer to National Archives with corresponding tapes.~~

e. ~~Raw camera footage~~

DISPOSITION: Offer to National Archives stock film depository. (See Motion Picture Film: N1-362-90-3, item 1e) [Numeric Folder: 6112.004]

NOTE: CONTACT RMO WITH QUESTIONS ABOUT THIS RECORD TYPE

NEW ITEM - Websites (External and Internal) (Disposition Authority: DAA-0490-2024-0004-0002)

External and internal websites disseminate information about the agency to the public and staff about activities, events, announcements, press releases, and information that may be useful to employees such as benefits and policy. Posted material is for informational purposes only. Both external and internal sites contain duplicate information captured in other agency recordkeeping systems. Information posted to Peace Corps websites may include copies of records related to agency mission and activities; annual reports; press releases; policies; and public services; recruitment; general notices of events; copies of photographs, videos, charts, and graphics; and information about the workplace and employee benefits. This item covers site content and site management that are not covered by other schedules and/or the GRS and applies to the internet and intranet of the Peace Corps.

DISPOSITION: Temporary. Cut off when content is replaced on website. Destroy when content is no longer needed for reference.

NOTE: If posted material qualifies as a record, then the Peace Corps program owner / office posting the content is responsible for ensuring the record is captured and retained in the appropriate shared drive / server location for that program office.

Peace Corps Public Websites (Disposition authority: DAA-GRS-2016-0005-0002) [GRS 6.4, item 020] [Numeric Folder: 6113.002]

This schedule covers the Peace Corps' main public web site, and individual Post websites and includes content types including but not limited to: written/text, HTML, graphical, video, photo, and audio content, as well as the code and related supporting files and structures for the site residing on either Peace Corps or vendor's servers. The types of content posted to the agency's website may include, but is not limited to: announcements promoting agency events, activities, or policies; links to recently released Peace Corps press releases; and photos and videos from agency events; includes comments received that the agency does not respond to or otherwise act upon in support of agency business. The Peace Corps website serves as a primary means of disseminating information (news, etc.) to potential volunteers and the general public. Content is considered reference material with a limited span of usefulness as the official copy is maintained in the submitting office.

DISPOSITION: Temporary. Cut off when information is posted or collected. Destroy when 90 days, old but longer retention is authorized if required for business use.

Peace Corps Intranet Websites (Disposition authority: DAA-GRS-2016-0005-0002) [GRS 6.4, item 020] [Numeric Folder: 6113.003]

Internal websites, or intranets, provide information that may be useful to employees. It serves as the primary means of disseminating information (news, benefits, etc.), links to information and tools such as staff timesheets and the agency calendar, and policies to agency staff, as well as a tool to assist them in their duties (access to training, etc.) and is considered reference material with a limited span of usefulness as the official copy is maintained in the submitting office.

Peace Corps maintains a repository of all information posted or collected from Peace Corps intranet website(s). The repository is considered the 'record' for all posts on the intranet.

DISPOSITION: Temporary. Cut off when information is posted or collected. Destroy when 90 days, old but longer retention is authorized if required for business use.

EA - Congressional Relations (CR) [Numeric Folder: 6200]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 6200-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 6200-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Congressional Correspondence / General Correspondence (Disposition Authority: N1-490-10-1, item 1.1) [Numeric Folder: 6201]

Correspondence pertaining to Peace Corps issues and interests. Primarily includes materials sent to congress but can include correspondence from congressional members. Includes but is not limited to requests for assistance on specific issues, responses to hearing requests, re-election congratulations, informational letters, and Peace Corps reports or other documents submitted to relevant committees or subcommittees. The reports and other documents include the Semi-Annual Report of the Peace Corps Inspector General (SARC) and the Peace Corps' Annual Budget Justification.

[**Note:** From the 112th Congress (2011) forward, the record copy will consist of one copy *only* of correspondence sent to more than one congressional member or committee and a list of recipients.]

DISPOSITION: Permanent. Cut off at the end of the second session of each congress (at the end of each presidential administration), hold 4 years, and transfer to a Federal Records Center. Transfer to the National Archives 10 years after cutoff.

Constituent Correspondence (Disposition Authority: N1-490-10-1, item 1.2) [Numeric Folder: 6202]

Correspondence from Congress regarding constituent issues and Peace Corps' responses to constituent issues.

DISPOSITION: Temporary. Cut off every 2 years, at the end of each congressional session. Destroy 4 years after cutoff.

Congressional Hearings File (Disposition Authority: N1-490-10-1, item 2) [Numeric Folder: 6203]

Congressional hearing briefing binders are compiled whenever individuals are nominated to serve Peace Corps as well as for Peace Corps officials appearing before Congress. Each briefing binder is labeled with the hearing date, subject of the hearing, and the name of the committee or sub-committee. After the hearing, a copy of the Congressional Record about the hearing is added to the briefing binder.

DISPOSITION: Permanent. Cut off at the end of the second session of each congress (at the end of each presidential administration), hold 4 years, and transfer to a Federal Records Center. Transfer to the National Archives 10 years after cutoff.

Legislation Files (Disposition Authority: N1-490-03-1, item 1) [Numeric Folder: 6204]

Documentation of pre-enactment actions on selected legislation, proposed legislation, and other Congressional proceedings that impact Peace Corps.

DISPOSITION: Permanent. Transfer to the National Archives when 30 years old.

EA - Gifts and Grants Management (GGM) [Numeric Folder: 1900]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 1900-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example "Memos to the Field"); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as "Country Status Reports," transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to "New Country Assessments", "Re-entry Assessments", "New Country Entry Guide", and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 1900-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Donor Files (Disposition Authority: DAA-0490-2014-0002-0001) [Numeric Folder: 1901]

Contains documentation pertaining to agency donors (individuals, foundations, corporations, and other organizations) including donor research/profiles, letters of intent,

due diligence documentation, presentations, correspondence, applications, authorization memos and reports.

DISPOSITION: Temporary. Cut off 5 years after date of last contact between the Peace Corps and donor. Destroy 15 years after cutoff.

Marketing Files (Disposition Authority: DAA-0490-2014-0002-0002) [Numeric Folder: 1903]

Marketing brochures, and e-marketing messages and announcements that target potential Peace Corps Partnership Program (PCPP) donors and/or partners.

DISPOSITION: Temporary. Cut off when superseded or obsolete. Destroy 5 years after cutoff.

Volunteer Reporting and Grants (VRG) Tool (Grant and Cooperative Agreement Case Files) (Disposition Authority: DAA-GRS-2013-0008-0001) [GRS 1.2, item 020] [Numeric Folder: 1905.001]

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

- applications, forms, and budget documents
- evaluation reports, panelist comments, review ratings or scores
- Notice of Grant Award or equivalent and grant terms and conditions
- state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)
- amendment requests and actions, if any
- periodic and final performance reports (progress, narrative, financial)
- audit reports and/or other monitoring or oversight documentation
- summary reports and the like

a. Successful Applications (Disposition Authority: DAA-GRS-2013-0008-0001) [GRS 1.2, item 020]

The database manages and tracks information pertaining to small grants. Peace Corps Volunteers enter information to apply for a grant. Additional database records include project narratives, indicators, goals and objectives, and budget information.

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

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

- DISPOSITION:** Temporary. Destroy 10 years after final action is taken on file.
- b. Unsuccessful applications** (Disposition Authority: DAA-GRS-2013-0008-0006) [GRS 1.2, item 021] [Numeric Folder: 1905.002]

DISPOSITION: Temporary. Destroy 3 years after final action is taken on file.

Small Grants Program Handbook (Grant and Cooperative Agreement Case Files)

(Disposition Authority: DAA-GRS-2013-0008-0001) [GRS 1.2, item 020] [Numeric Folder: 1907]

The Small Grants Program Staff Handbook provides information on the basic rules and requirements that will be applicable for all small grants. It also includes recommendations on post-level management of small grant programs, and links to tools that are intended to help posts run effective small grant programs. The Small Grants Program Volunteer Handbook provides guidance on the processes, procedures, materials, and requirements for the Peace Corps Small Grant Program. Volunteers should read this handbook thoroughly to understand the basic rules and requirements that are applicable for all small grants. Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs.

DISPOSITION: Temporary. Destroy 10 years after final action is taken on file.

SPA Reports (Disposition Authority: DAA-0490-2014-0003-0003) [Numeric Folder: 1908]

Annual report provided to USAID, in a form and substance satisfactory to USAID, reporting on progress toward achieving Program objectives, keyed to approved planning documents, if any. The reports must include, but are not limited to, the following information: status of achieving goals, objectives and benchmarks; progress or completion of Program components, elements or activities against planned targets; description of overall Program status; other accomplishments and major highlights of Program implementation; identification and explanation of significant problems or delays related to achievement of objectives or activities; and a brief summary of significant corrective actions and major activities planned for the subsequent reporting period. The reports must include separate sections that describe country-specific activities, as appropriate.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer legal custody of electronic records to the National Archives 15 years after cutoff.

SPA Country Files (Disposition Authority: N1-490-91-1, item 12) [Numeric Folder: 1910]

Cable chronological file containing all communications between SPA program office in Washington and the field.

DISPOSITION: Temporary. Retain in agency space. Destroy records which are 10 years old.

SPA Inter-Agency Agreement Files (Disposition Authority: DAA-GRS-2013-0008-0001)
[GRS 1.2, item 020] [Numeric Folder: 1911]

Peace Corps/A.I.D. country agreements and related records which document the roles Peace Corps and A.I.D. will play within countries in which both agencies have a presence. These agreements are generally administrative in nature and the A.I.D. copies of the agreements are scheduled as permanent in A.I.D. schedules.

DISPOSITION: Temporary. Destroy 10 years after final action is taken on file.

SPA Technical Assistance Files (Disposition Authority: N1-490-91-1, item 10) [Numeric Folder: 1913]

Pertains to SPA technical assistance provided to successful applicants. These activities are summarized in SPA annual reports.

DISPOSITION: Temporary. Cut off upon completion of project. Retire to the Federal Records Center 2 years after cutoff. Destroy when 7 years old.

Memorial Fund Records (Disposition Authority: DAA-0490-2016-0008-0001) [Numeric Folder: 1914]

Memorial funds are established with privately donated funds primarily for Peace Corps Volunteers who die while in service. The monies are used to fund Volunteer projects. Records consist primarily of correspondence with family members and donors.

DISPOSITION: Temporary. Cut off when the fund is closed. Destroy 3 years after cutoff.

EA - Press Relations (PR) [Numeric Folder: 6400]

UPDATED Authorization to Use Personal Material / Release Forms (Disposition Authority: DAA-0490-2023-0002-0001) [Numeric Folder: 6401]

Authorization to use a Volunteer's personal material world-wide and in perpetuity.

DISPOSITION: Temporary. Cut off at end of calendar year. Must be filed electronically by "last name, first name, COS date, etc.". **Destroy 6 years after cutoff but longer retention is authorized.**

General Information Request Files (Transitory Records) (Disposition Authority: DAA-GRS-2022-0009-0001) [GRS 5.2, item 010] [Numeric Folder: 6402]

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.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Media Relations Records (Routine) (Disposition Authority: DAA-GRS-2016-0005-0004) [GRS 6.4, item 040] [Numeric Folder: 6403]

Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:

- requests and responses for interviews
- requests and responses for information or assistance for media stories
- daily or spot news recordings or videos available to local radio and TV stations
- notices or announcements of media events
- public service announcements
- copies or articles created by the agency for publication in news media

Exclusion: Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Press Releases (Disposition Authority: DAA-0490-2021-0004-0001) [Numeric Folder: 6405]

Records include press releases, media advisories, and agency statements from the Director.

NOTE: INCLUDES ALL ITERATIONS OF THE "BOLD" RECRUITMENT CAMPAIGN.

DISPOSITION: Permanent. Cut off at the end of the calendar year of publication. Transfer to the National Archives 3 years after cutoff.

Public Affairs Product Production Files (Disposition Authority: DAA-GRS-2016-0005-0003)
[GRS 6.4, item 030] [Numeric Folder: 6406]

Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:

- news clippings
- marketing research
- copies of records used for reference in preparing products
- research notes
- printers galleys
- drafts and working copies (see Exclusion 3)
- preparatory or preliminary artwork or graphics
- bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4)
- clearances related to release of products (see Exclusion 5 and 6)

Exclusion 1: Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.

Exclusion 2: This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.

Exclusion 3: This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.

Exclusion 4: This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.

Exclusion 5: Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule.

Exclusion 6: This item does not cover clearances for release of information related to declassification review.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Public Affairs-Related Routine Operational Records (Disposition Authority: DAA-GRS-2016-0005-0001) [GRS 6.4, item 010] [Numeric Folder: 6407]

Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:

- logistics, planning, and correspondence records for routine conferences and events
- correspondence and records on speakers and speaking engagements, including biographies
- case files and databases of public comments (related to public affairs activities only)

DISPOSITION: Temporary. Destroy when 3 years old.

Public Correspondence and Communications not Requiring Formal Action (Disposition Authority: DAA-GRS-2016-0005-0002) [GRS 6.4, item 020] [Numeric Folder: 6408]

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:
 - o write-in campaigns
 - o personal opinions on current events or personal experiences
 - o routine complaints or commendations
 - o anonymous communications
 - o suggestion box comments
 - o public correspondence addressed to another entity and copied to the agency or that the agency receives in error
 - o comments posted by the public on an agency website that do not require response or that the agency does not collect for further use
- communications from the public that the agency responds to but takes no formal action on
- agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting

DISPOSITION: Temporary. Destroy when 90 days old.

Public Relations Publications (Disposition Authority: DAA-0490-2021-0004-0002) [Numeric Folder: 6409]

Records consist of internal and external promotional, educational, and historical publications/products including but not limited to such items as Peace Corps Times, Inside Peace Corps, and anniversary books and booklets.

DISPOSITION: Permanent. Cut off at the end of the calendar year of publication. Transfer to the National Archives 3 years after cutoff.

NEW Social Media Aggregated Records (Disposition Authority: DAA-0490-2024-0004-0001)

Social media consists of content posted by Peace offices or units on official Peace Corps social media accounts that are controlled/hosted by third-party vendors, such as social networking, including but not limited to: Facebook, LinkedIn, Google+, etc., video sharing (YouTube, Vimeo, etc.), microblogging (Twitter, Tumblr, etc.), and photo sharing (Instagram, Flickr, etc.). The types of content posted to the agency's social media sites (Facebook, Twitter (X), etc.) may include, but is not limited to: pointers to the agency's website; general announcements; announcements promoting agency events, activities, or policies; links to recently released Peace Corps press releases; and photos and videos from agency events. Social media serves as the primary means of disseminating information (news, etc.) to potential volunteers and the general public. Posts to PC social media are considered reference material with a limited span of usefulness and record materials are captured elsewhere. Social media platforms, specifically Facebook, Instagram, Twitter (X), and LinkedIn, provide archival access to posted materials which allows the Peace Corps to download all content posted to any/all social media accounts. Current Peace Corps practice is to download all the posted content for the past calendar year every December as a compressed file from each platform. The compressed file is considered the 'record' for Peace Corps social media posts.

DISPOSITION: Temporary. Cut off at end of calendar year. Destroy 3 years after cutoff.

NEW Websites – Internal and External (Disposition Authority: DAA-0490-2024-0004-0002)

External and internal websites disseminate information about the agency to the public and staff about activities, events, announcements, press releases, and information that may be useful to employees such as benefits and policy. Posted material is for informational purposes only. Both external and internal sites contain duplicate information captured in other agency recordkeeping systems. Information posted to Peace Corps websites may include copies of records related to agency mission and activities; annual reports; press releases; policies; and public services; recruitment; general notices of events; copies of photographs, videos, charts, and graphics; and information about the workplace and employee benefits.

This item covers site content and site management that are not covered by other schedules and/or the GRS and applies to the internet and intranet of the Peace Corps.

(NOTE: If posted material qualifies as a record, then the Peace Corps program owner / office posting the content is responsible for ensuring the record is captured and retained in the appropriate shared drive / server location for that program office.)

DISPOSITION: Temporary. Cut off superseded (information is replaced on website). Destroy when no longer needed for reference.

EA - Strategic Partnerships and Intergovernmental Affairs (SPIGA) **[Numeric Folder: 6500]**

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 6500-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruit

ment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 6500-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

General Counsel (OGC) [Numeric Folder: 7000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 7000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 7000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Agency Input into the Unified Agenda (Disposition Authority: DAA-GRS-2017-0012-0005) [GRS 5.7, item 080] [Numeric Folder: 7001]

Records that process agency input into the publication of:

- The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the “unified agenda” or “semiannual regulatory agenda”) published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB)
- agency regulatory flexibility agendas
- The Regulatory Plan

Exclusion: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.

DISPOSITION: Temporary. Destroy when 2 years old.

Claims and Disputes Records (Disposition Authority: DAA-0490-2017-0011-0001) [Numeric Folder: 7002]

Records relating to domestic and overseas claims against and disputes with the Peace Corps that do not result in formal adversarial legal proceedings before a judicial court or administrative forum, such as the Equal Employment Opportunity Commission (EEOC). Includes complaints, settlement agreements, releases, and waivers.

DISPOSITION: Temporary. Cut off at case closure. Destroy 7 years after cutoff.

Country Agreement Records (Disposition Authority: N1-490-12-2, item 1) [Numeric Folder: 7003.1]

Signed copies of country agreements and amendments with countries where Volunteers have served or continue to serve.

DISPOSITION: Permanent. Cut off upon post closing. Transfer to the National Archives 15 years after cutoff.

Ethics Agreements Records

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

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

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

1. Agreements for employees who do not file financial disclosure reports (Disposition Authority: DAA-GRS-2014-0005-0017) [GRS 2.8, item 100] [Numeric Folder: 7003.001]

DISPOSITION: Temporary. Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later.

2. Agreements for employees who file financial disclosure reports (Disposition Authority: DAA-GRS-2014-0005-0018) [GRS 2.8, item 101] [Numeric Folder: 7003.002]

DISPOSITION: Temporary. Destroy at the same time as the employee's last related financial report is destroyed.

Ethics Office of Government Ethics Program Questionnaire Records (Disposition Authority: DAA-GRS-2014-0005-0005) [GRS 2.8, item 040] [Numeric Folder: 7004]

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.

DISPOSITION: Temporary. Destroy 3 years after submission.

Ethics Program Records (General) (Disposition Authority: DAA-GRS-2016-0006-0001) [GRS 2.8, item 010] [Numeric Folder: 7005]

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

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

DISPOSITION: Temporary. 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.

Ethics Program Review Records (Disposition Authority: DAA-GRS-2014-0005-0006) [GRS 2.8, item 050] [Numeric Folder: 7006]

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.

DISPOSITION: Temporary. Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file.

Ethics Reports of Payments Accepted from Non-Federal Sources

1. Agency reports (Disposition Authority: DAA-GRS-2014-0005-0003) [GRS 2.8, item 030] [Numeric Folder: 7007.001]

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.

DISPOSITION: Temporary. Destroy 3 years following submission of the report to OGE.

2. Supporting documentation (Disposition Authority: DAA-GRS-2014-0005-0004) [GRS 2.8, item 031] [Numeric Folder: 7007.002]

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

DISPOSITION: Temporary. Destroy 1 year following submission of the report to OGE.

Ethics Training Records (Disposition Authority: DAA-GRS-2016-0014-0002) [GRS 2.6, item 020] [Numeric Folder: 7008]

Records include but are not limited to:

- administration of new employee ethics orientations, annual, and other types of ethics training
- agency’s annual written plans
- notices about training requirements and course offerings
- rosters of employees required to attend and verification of training completed
- instructor guides, handbooks, handouts and other materials

DISPOSITION: Temporary. Destroy when 6 years old or when superseded.

Financial Disclosure Reports and Related Records (Alternative or Additional)

1. Reports for individuals not subsequently confirmed by the U.S. Senate (Disposition Authority: DAA-GRS-2014-0005-0014) [GRS 2.8, item 080] [Numeric Folder: 7009.001]

DISPOSITION: Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.

2. All other reports (Disposition Authority: DAA-GRS-2014-0005-0015) [GRS 2.8, item 081] [Numeric Folder: 7009.002]

DISPOSITION: Temporary. Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.

Financial Disclosure Reports (Confidential)

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

1. Other Reports (Disposition Authority: DAA-GRS-2014-0005-0012) [GRS 2.8, item 071] [Numeric Folder: 7010.001]

DISPOSITION: Temporary. Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-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.

Financial Disclosure Reports (Public)

Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records

1. Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate. (Disposition Authority: DAA-GRS-2014-0005-0007) [GRS 2.8, item 060] [Numeric Folder: 7011.001]

DISPOSITION: Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.

2. All other reports (Disposition Authority: DAA-GRS-2014-0005-0008) [GRS 2.8, item 061] [Numeric Folder: 7011.002]

DISPOSITION: Temporary. Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.

3. Periodic transaction reports (Disposition Authority: DAA-GRS-2014-0005-0009) [GRS 2.8, item 062] [Numeric Folder: 7011.003]

OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.

DISPOSITION: Temporary. Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.

4. Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form) (Disposition Authority: DAA-GRS-2014-0005-0010) [GRS 2.8, item 063] [Numeric Folder: 7011.004]

DISPOSITION: Temporary. Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.

Financial Disclosure Supporting Documentation (Disposition Authority: DAA-GRS-2014-0005-0016) [GRS 2.8, item 090] [Numeric Folder: 7012]

Supporting documentation used to review and verify the filer's report submission.

Includes records such as:

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

DISPOSITION: Temporary. Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.

Intelligence Determinations (Disposition Authority: DAA-0490-2017-0011-0002) [Numeric Folder: 7013]

Case files of individual determinations regarding eligibility for Volunteer service or Peace Corps employment under the Peace Corps suitability policy. Includes agency decisions and applicant appeals that do not result in formal adversarial legal proceedings before a judicial court or administrative forum.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff.

Legal Advice and Guidance Records (Disposition Authority: DAA-0490-2017-0011-0004) [Numeric Folder: 7014]

Routine legal advice, activities, and guidance regarding issues affecting Peace Corps offices and posts. Records include summaries of issues, recommendations, comments, drafts, overseas legal counsel interviews or other notes, and correspondence.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff.

Legal Opinions (Disposition Authority: DAA-0490-2017-0011-0003) [Numeric Folder: 7014]

Formal legal opinions contain analyses, interpretations, and evaluations of Peace Corp policies formed by the Office of General Counsel in relation to the Peace Corps Act and other laws and regulations administered by or affecting the Peace Corps.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to the National Archives 20 after cutoff.

Legislation Files (Disposition Authority: N1-490-03-1, item 1) [Numeric Folder: 7016.5]

Documentation of pre-enactment actions on selected legislation, proposed legislation, and other Congressional proceedings that impact Peace Corps.

DISPOSITION: Permanent. Transfer to the National Archives when 30 years old.

Litigation and Adversarial Records (Disposition Authority: DAA-0490-2017-0011-0005) [Numeric Folder: 7016]

Case files relating to legal proceedings brought to a domestic or foreign judicial court or administrative forum, such as the Equal Employment Opportunity Commission. Includes complaints, subpoenas, orders, briefs, discovery documents, court actions, settlement agreements, dismissals, rulings, and correspondence.

DISPOSITION: Temporary. Cut off after case closure. Destroy 20 years after cutoff.

Peace Corps Manual (Disposition Authority: DAA-0490-2017-0003-0003) [Numeric Folder: 7017]

Records contain the official, approved version of Peace Corps policies that govern all Peace Corps offices and actions.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 5 years after cutoff.

Policy and Procedure Manual Section Development Records (Disposition Authority: DAA-0490-2017-0003-0001) [Numeric Folder: 7018]

Agency policies and procedures, and deliberative documents that result in publication of official Peace Corps Manual sections. Includes memos or emails proposing revisions, correspondence or the complete mark-up/tracked changes showing each individual's suggested revisions; meeting minutes from the Senior Policy Committee meetings that review all proposed policy additions/edits; regulatory documents affecting policies; procedures attached to policy revisions; memos or decision memos signed by the Director approving the finalized policy; interim policy statements; the final policy; and memos or email notifications summarizing the policy revisions.

DISPOSITION: Permanent. Cut off in the calendar year that the policy is approved. Transfer electronic copy to the National Archives 15 years after cutoff.

Policy and Procedure Manual Section Working Papers (Disposition Authority: DAA-0490-2017-0003-0002) [Numeric Folder: 7019]

Drafts, background materials, reference copies, and other working papers. Also includes all materials for unapproved policies or unapproved policy revisions.

DISPOSITION: Temporary. Cut off in the calendar year that the policy is approved or shelved. Destroy 6 years after cutoff.

Public Comments (Disposition Authority: DAA-GRS-2017-0012-0003) [GRS 6.6, item 030] [Numeric Folder: 7017]

Public comments agency receives in response to a proposed rule.

Exclusion: 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.

DISPOSITION: Temporary. Destroy 1 year after publication of final rule or decision to abandon publication.

Rule Development (Proposed) Records (Unscheduled) [Numeric Folder: 7022]

DISPOSITION: DO NOT DESTROY

Rule Documents (Proposed and Final) published in the *Federal Register* (Unscheduled)
[Numeric Folder: 7023]

DISPOSITION: DO NOT DESTROY

Volunteer Discipline Records (Disposition Authority: Unscheduled) [Numeric Folder: 7021]

DISPOSITION: DO NOT DESTROY

Global Health and HIV (OGHH) [Numeric Folder: 9000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 9000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 9000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Global Health Services Partnership Records (GHSP) / Permanent (Disposition Authority: DAA-0490-2017-0007-0001) [Numeric Folder: 9001]

Records which document policy guidance, procedures, and decisions of the GHSP. File may include memos documenting major decisions, and annual and ad hoc reports describing program challenges and accomplishments.

Global Health Services Partnership Records (GHSP) / Routine (Disposition Authority: DAA-0490-2017-0007-0002) [Numeric Folder: 9002]

All other program records relating to the operation of the office. May include event announcements, marketing materials, applicant evaluations, recruitment event materials, faculty biographies, Volunteer position descriptions, and descriptions of host country medical facilities.

DISPOSITION: Temporary. Cut off at the end of the calendar year or when the program ends. Destroy 6 years after cutoff.

Grant and Cooperative Agreement Case Files (External Partnerships)

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

- applications, forms, and budget documents
- evaluation reports, panelist comments, review ratings or scores
- Notice of Grant Award or equivalent and grant terms and conditions
- state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding)
- amendment requests and actions, if any
- periodic and final performance reports (progress, narrative, financial)
- audit reports and/or other monitoring or oversight documentation
- summary reports and the like

a. Successful Applications (Disposition Authority: DAA-GRS-2013-0008-0001) [GRS 1.2, item 020] [Numeric Folder: 9002a1]

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

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

DISPOSITION: Temporary. Destroy 10 years after final action is taken on file.

b. Unsuccessful Applications (Disposition Authority: DAA-GRS-2013-0008-0006) [GRS 1.2, item 021] [Numeric Folder: 9002a2]

DISPOSITION: Temporary. Destroy 10 years after final action is taken on file.

Monitoring and Evaluation Records (Disposition Authority: DAA-0490-2016-0002-0001)
[Numeric Folder: 9003]

Headquarters evaluation specialists in multiple Peace Corps units develop guidance for post staff and Volunteers on monitoring, reporting, and evaluating posts' programs and projects. The guidance shows how to design projects to focus on and align with post needs by applying monitoring and evaluation principles; develop metrics of the efficacy of programs and projects towards their objectives; collect, compare, and analyze sector or post-defined indicators; and report project accomplishments to Headquarters, in-country partners, and other stakeholders. Consists of quick tips, and guidance about how to design, monitor, and evaluate plans, projects, and programs, including workshop materials.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

President's Emergency Plan for AIDS Relief (PEPFAR) Interagency Agreement Records
(Disposition Authority: DAA-GRS-2013-0008-0001) [GRS 1.2, item 020] [Numeric Folder: 9004]

Consists of the administration and allocation of PEPFAR funds to posts. Monies come from the State Department through an Inter-Agency Agreement (IAA) between the Peace Corps and State Department and are distributed to overseas posts. Case files containing records relating to individual grant or cooperative agreements. Records include but are not limited to budgeting, obligations, outlays, reporting data, implementation plans, program monitoring reporting, and accountability. Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:

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

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

DISPOSITION: Temporary. Destroy 10 years after final action is taken on file.

Programming Training Records (Disposition Authority: DAA-0490-2016-0002-0002)
[Numeric Folder: 9005]

Headquarters programming specialists and subject matter experts in multiple Peace Corps units create content that assists Volunteers/Trainees, headquarters staff and post programming and training staff on how to effectively conduct programs and projects that meet the needs of host country priorities. Includes materials such as training content about specific sector or initiative subjects (such as agriculture, youth, or gender equality); lesson plans and activities; project framework guidance; technical workshop materials; and information briefs.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Volunteer Activity Support and Training (VAST) Grant Case Files (Disposition Authority: DAA-GRS-2013-0008-0001) [GRS 1.2, item 020] [Numeric Folder: 9006]

Grant case files for overseas posts to promote health training programs that include an HIV prevention and care component. Records consist of but are not limited to applications from Volunteers, evaluation reports, progress and final performance reports, and oversight documentation. Case files are maintained in Volunteer Reporting and Grants (VRG) Tool in the Office of Strategic Partnerships (OSP). Case files containing records relating to individual grant or cooperative agreements. Records include but are not limited to budgeting, obligations, outlays, reporting data, implementation plans, program monitoring reporting, and accountability. Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:

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

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

DISPOSITION: Temporary. Destroy 10 years after final action is taken on file.

Global Operations (OGO)_[Numeric Folder: 8000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 8000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 8000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Emergency Declaration Response Records – Substantive (Disposition Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 8003.5]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

Disposition: Permanent. Cut off records upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Emergency Declaration Response Records – Administrative (Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 8003.6]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, reports and other supporting documentation used to generate final products.

Disposition: Temporary. Cut off annually. Destroy 7 years after cutoff.

NEW ITEM - Quality Assurance Files (Unscheduled) [Numeric Folder: 8005]

Disposition: DO NOT DESTROY

Volunteer Information Database Application (VIDA) Records (Disposition Authority: DAA-0490-2017-0008-0001) [Numeric Folder: 8003]

The master file contains information about active and separated Peace Corps Volunteers, Trainees, and Peace Corps Response Volunteers. The types of information include personal (such as birth date, and home address), administrative (such as types of training and close of service date), business (such as banking), safety (such as emergency action planning, consolidation points, emergency testing, and actual evacuation information), site (such as project type, site visits, and host country national counterparts), and communications between Volunteers and staff. The master file also contains the Language Test Module Database information about certified testers' results and Volunteers' language proficiency interview (LPI) results.

DISPOSITION: Temporary. Cut off at the end of the fiscal year in which the Volunteer is separated or resigns. Destroy 6 years after cutoff.

- a. **Site History Files** (Disposition authority: N1-490-12-6, item 4) [Numeric Folder: 8004]

Filed by geographical location, these files contain the following records: (1) Site Applications (Applications from administrators in host countries requesting Volunteers); (2) Site Development; (3) Site Surveys/Site Identifications/Site Assessments /Site Evaluations (survey or assessment of proposed site for placement of Volunteer; assessment of community environment, including safety and security issues and public health factors); (4) Home Stay Files (information about potential Pre-Service Training sites) (5) Site Visit Reports (reports by Programming and Training staff, Country Director, Safety and Security Coordinator, or other staff after a visit to a Volunteer site); (6) Volunteer Requests; (7) Site Contact Forms and (8) Site Evaluations/Final Site Evaluations/Site History Form (Volunteer evaluations of their sites at Close of Service, including positive and negative aspects, limitations, activities, and relationships with host country supervisor and counterparts).

DISPOSITION: Temporary. Cut off when volunteers leave site. Destroy 10 years after cutoff.

NOTE: As of 2020, all Site History records should be managed in VIDA.

Staging and Pre-Departure (SPD) [Numeric Folder: 8100]

Staging Events Administrative Files (Financial management and reporting administrative records) (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [Numeric Folder: 8101]

Administrative records pertaining to individual staging events. Includes facility information and accommodation costs, record of travel arrangements, payment of overseas departure allowance for trainees, and payments for travel allowance. Records related to managing financial activities and reporting. Records include:

- correspondence
- subject files
- feeder reports
- workload management and assignment records

DISPOSITION: Temporary. Destroy when 3 years old.

Staging Project Files (Disposition Authority: DAA-0490-2017-0001-0001) [Numeric Folder: 8102]

Records which document trainee orientations and staging events. Includes invitations, reporting instructions, roster of participants, names of trainers, and information provided to trainees.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

Health Services (OHS) [Numeric Folder: 10000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 10000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 10000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Applicant Medical Case Files (Disposition Authority: NC1-362-77-3, item 1)

Contains correspondence, application, forms and other records regarding medical information including physical and dental examinations and eyeglass prescription.

1a. **Applicant Medical Case Files / Rejected Applicants** (Disposition authority: DAA-0490-2021-0006-0001) [Numeric Folder: 10001.001]

Documentation contains all correspondence, applications, forms, test requests and test results, including imaging, and other records regarding the medical, dental, mental health of applicants for Volunteer service with the Peace Corps who are ultimately not selected for service.

DISPOSITION: Temporary. Cutoff when final decision is issued about service. Destroy 7 years after cutoff.

1b. **Destroy records of trainees who do not become Volunteers after 2 years.** (Disposition Authority: NC1-362-77-3, item 1b) [Numeric Folder: 10001.002]

1c. **Acceptable applicant files will become a part of the trainee or Volunteer's official medical record.** (Disposition Authority: NC1-362-77-3, item 1c) [Numeric Folder: 10001.003 or PCMEDICS]

Applicant Peer Review Board Files (Unscheduled) [Numeric Folder: 10001.004]

Applicant records who appeal the OHS Medically Not Cleared (MNC) determination. Peer Review Board (PRB) files are reviewed at PRB hearing overseen by OHS and OGC.

DISPOSITION: DO NOT DESTROY

Emergency Declaration Response Records – Substantive (Covid Records) (Disposition Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 10002.5]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

Disposition: Permanent. Cut off records upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Emergency Declaration Response Records – Administrative (Covid Records) (Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 10002.6]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, reports and other supporting documentation used to generate final products.

Disposition: Temporary. Cut off annually. Destroy 7 years after cutoff.

Health Records / Medical Records (Disposition Authority: N1-490-12-4, item 5) [PCMEDICS]

These Volunteer health records (also known as Medical Records or PCV Medical Charts) contain reports of medical examinations and medical history prior to selection for training. They also contain Trainee/Volunteer medical examination reports, medical site visits, laboratory tests, immunization record, eye glass prescriptions, and other health/medical records.

INSTRUCTIONS: Posts uploads into PCMEDICS and verifies successful conversion. HQ/Office of Health Services is responsible for maintaining records until they have met their disposition requirements.

DISPOSITION: Temporary. Cut off upon Close of Service (COS) or termination of the Volunteer. Destroy 50 years after cutoff.

Health Surveillance Records (Disposition Authority: N1-490-97-2, item 1a) [Numeric Folder: 10003]

Peace Corps Medical Officer (PCMO) Reports to Staff Epidemiologist. On-going, PCMO-generated reports to Peace Corps Washington related to health and safety of Peace Corps Trainees and Volunteers; records used to complete annual Volunteer health report. Reports comprised of epidemiologic surveillance system, assaults notification surveillance system, in-country hospitalization surveillance system, and country-sponsored medical evacuations; files include cables, facsimile transmittals, and memos.

DISPOSITION: Temporary. Cut off at the end of the calendar year and retire to Federal Records Center. Destroy 5 years after cutoff.

Inventory of Specially Designated and Controlled Substance Medical Supplies (Disposition Authority: DAA-0490-2019-0003-0001) [Numeric Folder: 10004.5]

Inventories of Specially Designated and Controlled Substance Medical Supplies completed by every Peace Corps overseas Post on a quarterly and ad hoc basis (inventories completed when a new Peace Corps Medical Officer (PCMO)

begins employment at the post, and when a substance that was not previously a controlled substance becomes a controlled substance). Posts send the inventories to HQ for review.

DISPOSITION: Temporary. Cut off at end of year in which Post sends inventory to Headquarters. Maintain in folders by calendar year in which inventory was received. Destroy 7 years after cutoff.

Management Evaluations (Disposition Authority: N1-490-94-2, item 1a) [Numeric Folder: 10004]

This series consists of periodic reports on the organization and procedures of OMS by the General Accounting Office, private auditing firms, and the Joint Commission on Accreditation of Healthcare Organization or similar organization.

DISPOSITION: Permanent. Transfer to the National Archives at the end of the calendar year in which reports are published.

Medevac Ad Hoc Reports (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 10005]

These records consist of customized reports prepared on a one-time basis to answer specific questions or provide specific information. Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record.

- ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report

DISPOSITION: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use.

Medevac Related Documentation (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051] [Numeric Folder: 10006]

These records consist of user's manuals, codebooks and other related documentation necessary to understand the Medevac system. 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.

DISPOSITION: 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.

Medevac System (Disposition Authority: N1-490-95-4, item 1a) [Numeric Folder: 10007]

This Office of Medical Services automated system contains data from 1990 to the present on Peace Corps Volunteers (PCVs) who have been medically evacuated. Data from the system is used by Office of Medical Services for internal analysis.

Medevac System:

The system contains PCV names, gender and Social Security Numbers, country status, PCV status information, destination, number of nights in hospital and internal agency codes.

DISPOSTION: Temporary. Maintain data in Office of Medical Services. Destroy when 25 years old.

Medical Screening Guidelines (Unscheduled) [Numeric Folder: 10008]

DISPOSITION: DO NOT DESTROY

Medical Technical Guidelines (TG) (Disposition Authority: N1-490-95-10, item 1a) [Numeric Folder: 10009]

The Office of Medical Services (OMS) issues the Medical Technical Guidelines to provide the programmatic and clinical guidance for the operation of the Volunteer Health System overseas.

DISPOSITION: Temporary. Cut off when volume is superseded. Destroy 20 years after cutoff.

Reports and Studies of Staff Epidemiologist (Disposition Authority: N1-490-94-2, item 2a) [Numeric Folder: 10010]

This series consists of reports prepared for staff and Volunteer information on health hazards, epidemiological conditions in host countries, and recommended precautions for field personnel.

DISPOSITION: Permanent. Transfer to the National Archives at the end of the calendar year in which reports are published.

Training Records (Disposition Authority: DAA-0490-2016-0002-0003)

Headquarters subject matter experts create training content for Volunteers/Trainees, and headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Volunteer / Trainee Death or Disappearance Case Files, 1962 to present (Disposition Authority: N1-490-95-9, item 1) [SIMS]

These records consist of applications, cables, correspondence, death certificates, memorandums, property inventories, press clippings, resumes, reports, and other materials relating to the death or disappearance of Volunteers and Trainees.

1a (1) Microfiche files, 1962-1992

DISPOSITION: Permanent. Maintain in the Office of Safety and Security. Transfer to the National Archives and Records Administration in January 2011, when the most recent file is 30 years old.

1a (2) Paper files, 1981 to present

DISPOSITION: Permanent. Maintain in the Office of Safety and Security. Transfer to the National Archives and Records Administration annually when the files are 30 years old.

1a (3) Videotapes, 1992 to present

DISPOSITION: Permanent. Maintain in the Office of Safety and Security. Transfer to the National Archives and Records Administration in five-year blocks when the oldest tape is 10 years old. [Job No. N1-362-90-3]

1a (4) Slides, 1962 to 1980

DISPOSITION: Permanent. Maintain in the Office of Safety and Security. Transfer to the National Archives and Records Administration in five-year blocks when the oldest material is 10 years old. [Job No. N1-490-92-2]

1b Overseas Post Files

DISPOSITION: Permanent. Transfer to the Office of Safety and Security after completion of investigation. Interfile original material in HQ file, Item 1a(2), N1-490-95-9. (**Note:** Post records duplicating material in the HQ file may be destroyed by the Counseling and Outreach Unit at the time of interfiling.)

Worker's Compensation Programs Claims Files (Disposition Authority: DAA-0490-2022-0007-0001) [Numeric Folder: 10012]

These are medical case history files consisting of occupational injuries and illnesses and medical reports on Peace Corps Volunteers who have claimed job related injuries or illness. The records are maintained in order to determine if continued medical treatment is warranted and to provide data required by the Department of Labor, Office of Workers' Compensation Programs.

DISPOSITION: Temporary. Cutoff at the end of calendar year in which final action is taken on the case. Destroy 50 years after cutoff.

Human Resources Management (HRM) [Numeric Folder: 11000]

Front Office (FO)

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 11000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 11000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Emergency Declaration Response Records – Substantive (Covid Records) (Disposition

Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 11010.5]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

Disposition: Permanent. Cut off records upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Emergency Declaration Response Records – Administrative (Covid Records) (Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 11010.6]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, reports and other supporting documentation used to generate final products.

Disposition: Temporary. Cut off annually. Destroy 7 years after cutoff.

Interview Records (Disposition Authority: DAA-GRS-2014-0002-0008) [GRS 2.1, item 090] [Numeric Folder: 11023]

Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:

- copies of records in the job vacancy case file (item 050 and 051)
- notes of interviews with selected and non-selected candidates
- reference check documentation

DISPOSITION: Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a nonselection, or final settlement of any associated litigation, whichever is later.

HR - Employee Labor Relations (ELR)

Administrative Grievance, Disciplinary, Performance-based, and Adverse Action Case Files (Disposition Authority: DAA-GRS-2018-0002-0006) [GRS 2.3, item 060] [Numeric Folder: 11001]

- Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes:
 - statement of grievance, supporting documentation, and evidence
 - statements of witnesses, records of interviews and hearings o examiner's findings, recommendations, decisions
- Records of disciplinary and performance-based actions against employees. Includes:
 - performance appraisal, performance improvement plan, and supporting documents
 - recommended action, employee's reply
 - records of hearings and decisions
 - records of appeals
- Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes:
 - proposed adverse action, employee's reply
 - statements of witnesses
 - records of hearings and decisions
 - letters of reprimand
 - records of appeals

Note 1: Letter of reprimand filed in an employee's Official Personnel File is scheduled by GRS 2.2, item 041.

Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.

DISPOSITION: Temporary. Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.

Employee Assistance Program (EAP) Counseling Records

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.

1. **Records related to employee performance or conduct** (Disposition Authority: DAA-GRS-2017-0010-0014) [GRS 2.7, item 090] [Numeric Folder: 11010.001]

Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:

- leave and attendance
- performance
- alleged inappropriate behavior or workplace violence
- reason for referral
- management interventions
- illegal drug or alcohol use
 - o test results for use of illegal drugs
 - o test results for alcohol consumption on the job
 - o substance abuse assessment, treatment, aftercare, and monitoring records

Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.

DISPOSITION: Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.

2. Records not related to performance or conduct (Disposition Authority: DAA-GRS-2017-0010-0015) [GRS 2.7, item 091] [Numeric Folder: 11010.002]

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:

- Privacy Act and signed written consent forms
- psychosocial history and assessments
- medical records
- correspondence with the client
- clinical and education interventions
- records of attendance at treatment, kinds of treatment, and counseling programs
- identity and contact information of treatment providers
- name, address, and phone number of treatment facilities
- notes and documentation of internal EAP counselors
- insurance data
- intervention outcomes

DISPOSITION: Temporary. 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.

Employee Drug Test Acknowledgment of Notice Forms (Disposition Authority: DAA-GRS-2017-0010-0017) [GRS 2.7, item 110] [Numeric Folder: 11011]

Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.

DISPOSITION: Temporary. Destroy when employee separates from testing-designated position.

Employee Drug Test Plans, Procedures, and Scheduling Records (Disposition Authority: DAA-GRS-2017-0010-0016) [GRS 2.7, item 100] [Numeric Folder: 11012]

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:

- agency copies of plans and procedures, with related drafts, correspondence, and memoranda
- lists of selectees
- notification letters
- testing schedules

Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.

Exclusion 2: 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.

Exclusion 3: 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.

DISPOSITION: Temporary. Destroy when 3 years old or when superseded or obsolete.

Employee Drug Test Results

Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.

Exclusion: Drug test results of applicants for employment are covered by Employee Acquisition Records DAA-GRS-2014-0002-0006 [GRS 2.1, item 050] and DAA-GRS-2014-0002-0007 [GRS 2.1, item 051].

1. **Positive results** (Disposition Authority: DAA-GRS-2017-0010-0019) [GRS 2.7, item 130] [Numeric Folder: 11013.001]

DISPOSITION: Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.

2. **Negative results** (Disposition Authority: DAA-GRS-2017-0010-0020) [GRS 2.7, item 131] [Numeric Folder: 11013.002]

DISPOSITION: Temporary. Destroy when 3 years old.

NEW and UPDATED ITEM - Employee Incentive Award Records (Disposition Authority: DAA-GRS-2023-0002-0001) [GRS 2.2, item 030] [Numeric Folder: 11014]

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.

Exclusion: Records of Department-level awards require agency-specific schedules.

DISPOSITION: Temporary. Destroy 2 years after final action, but longer retention is authorized if required for business use.

Employee Management Administrative Records-DLB

Employee Performance File System Records

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.

Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to the National Archives.

1. **NEW ITEM - Acceptable performance appraisals of non-senior executive service employees** (Disposition Authority: DAA-GRS-2017-0007-0008) [GRS 2.2, item 070] [Numeric Folder: 11016.001]

Performance records for employees as defined in 5 U.S.C. 4301(2).

Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by DAA-GRS-2017-0007-0011 [GRS 2.2, item 073].

DISPOSITION: Temporary. Destroy 4 years after date of appraisal.

2. **NEW ITEM - Unacceptable performance appraisals of non-senior executive service employees** (Disposition Authority: DAA-GRS-2017-0007-0009) [GRS 2.2, item 071] [Numeric Folder: 11016.002]

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.

DISPOSITION: Temporary. 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.

3. NEW ITEM – Employee Performance Records of Senior Executive Service Employees (Disposition Authority: DAA-GRS-2017-0007-0010) [GRS 2.2, item 072] [Numeric Folder: 11016.003]

Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.

Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by DAA-GRS-2017-0007-0011 [GRS 2.2, item 073].

DISPOSITION: Temporary. Destroy no sooner than 5 years after date of appraisal.

4. NEW ITEM – Employee Performance records superseded through an administrative, judicial, or quasi-judicial procedure (Disposition Authority: DAA-GRS-2017-0007-0011) [GRS 2.2, item 073] [Numeric Folder: 11016.004]

Superseded performance records of both non-senior executive service employees and senior executive service employees.

DISPOSITION: Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.

Harassment Complaint Case Files (Disposition Authority: DAA-GRS-2018-0002-0005 [GRS 2.3, item 050] [Numeric Folder: 11022.5])

Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures.

Includes:

- complaint, correspondence, notes, forms, and supporting material
- records of investigation, statements of witnesses
- determination as to whether harassment occurred
- documentation of preventive or corrective measures

DISPOSITION: Temporary. Destroy 7 years after close of case.

Labor Management Relations Agreement Negotiation Records (Disposition Authority: DAA-GRS-2018-0002-0015) [GRS 2.3, item 130] [Numeric Folder: 11026]

Records relating to negotiations with labor unions. Includes:

- negotiation agreements
- requests to bargain
- bargaining session records/notes
- correspondence, memoranda, forms
- reports
- other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

DISPOSITION: Temporary. Destroy 5 years after expiration of agreement or final resolution of case, as appropriate.

Reasonable Accommodation Records

1. NEW ITEM - Reasonable Accommodation Program Files (Disposition Authority: DAA-GRS-2022-0001-0001) [GRS 2.3, item 010] [Numeric Folder: 11036-500]

Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:

- program-related correspondence
- copies of statutes, regulations, directives, and instructions
- timetables and guidelines for processing case files and appealing decisions
- planning records
- meeting minutes
- program evaluations and reports to senior management
- statistical records tracking program participation and participants
- records tracking programs' compliance with relevant Executive Orders and other requirements
- records arranging for outside mediator and facilitator involvement in case settlements

Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).

Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).

Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).

DISPOSITION: Temporary. Destroy when 3 years old.

2. NEW ITEM - Reasonable Accommodation Employee Case Files (Disposition Authority: DAA-GRS-2022-0001-0002) [GRS 2.3, item 020] [Numeric Folder: 11036.550]

Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for religious accommodation, reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee.

Includes:

- request, approvals and denials
- notice of procedures for informal dispute resolution or appeal processes
- forms, correspondence, records of oral conversations
- policy guidance documents
- medical records
- supporting notes and documentation

DISPOSITION: Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later.

NEW and UPDATED ITEM - Telework / Alternate Worksite Agreements (Disposition Authority: DAA-GRS-2023-0003-0001) [GRS 2.3, item 040] [Numeric Folder: 11044]

Telework and alternate worksite agreements between the agency and employee and other related documentation, such as questionnaires.

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Workers' Compensation (Personnel Injury Compensation) Records

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:

- forms, reports, correspondence, claims
- medical and investigatory records
- administrative determinations or court rulings
- payment records

Exclusion 1: Copies filed in the Employee Medical Folder.

Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.

1. Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records (Disposition Authority: DAA-GRS-2016-0015-0012) [GRS 2.4, item 100] [Numeric Folder: 11048.001]

DISPOSITION: Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.

2. Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records (Disposition Authority: DAA-GRS-2016-0015-0013) [GRS 2.4, item 101] [Numeric Folder: 11048.002]

DISPOSITION: Temporary. Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.

Operations and Special Projects (OSP)

All OSP records moved to ELR since OSP is no longer a division in OHR.

HR - Payroll and Benefits (P&B)

Donated Leave Program Administrative Records (Disposition Authority: DAA-GRS-2016-0015-0008) [GRS 2.4, item 070] [Numeric Folder: 11008]

Records related to managing the program, including:

- records of leave bank management
- records of leave bank governing board award decisions
- publicity and program announcements
- statistical and narrative reports
- similar records not linked to individual employee participation

DISPOSITION: Temporary. Destroy when 3 years old.

Donated Leave Program Individual Case Files (Disposition Authority: DAA-GRS-2016-0015-0009) [GRS 2.4, item 071] [Numeric Folder: 11009]

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.

DISPOSITION: Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program.

Family Medical Leave Act Program Administrative Records (Disposition Authority: DAA-GRS-2016-0015-0019) [GRS 2.4, item 140] [Numeric Folder: 11020]

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.

DISPOSITION: Temporary. Destroy 3 years after superseded or obsolete.

Family Medical Leave Act Program Individual Case Files (Disposition Authority: DAA-GRS-2016-0015-0020) [GRS 2.4, item 141] [Numeric Folder: 11021]

Includes:

- employee eligibility to participate in program
- eligibility notice given to employee

- notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them
- medical certifications
- employee identification data
- records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid
- leave request, approval/non-approval
- leave records
- records of premium payments of employee benefits
- records of disputes between employers and eligible employees regarding designation of leave as FMLA leave
- periodic reports of employee status and intent to return to work

DISPOSITION: Temporary. Destroy 3 years after conclusion of leave being taken.

Payroll Program Administrative Records

Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.

1. Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes (Disposition Authority: DAA-GRS-2016-0015-0006) [GRS 2.4, item 060] [Numeric Folder: 11030.001]

DISPOSITION: Temporary. Destroy when 2 years old.

2. UPDATED ITEM - Payroll system reports providing fiscal information on agency payroll (Disposition Authority: DAA-GRS-2023-0004-0001) [GRS 2.4, item 061] [Numeric Folder: 11030.002]

DISPOSITION: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.

Payroll Record for Each Pay Period (Disposition Authority: DAA-GRS-2016-0015-0004) [GRS 2.4, item 040] [Numeric Folder: 11031]

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.

DISPOSITION: Temporary. Destroy when 56 years old.

Payroll Records - Records Used to Calculate Payroll, Arrange Paycheck Deposit, and Change Previously Issued Paychecks (Disposition Authority: DAA-GRS-2019-0004-0001) [GRS 2.4, item 010] [Numeric Folder: 11032]

Includes:

- additions to paychecks
 - o child care subsidies
 - o Internal Revenue Service form W-9 (Request for Taxpayer Identification Number)
 - o other additions
- deductions from paychecks
 - o insurance o retirement accounts (e.g. Thrift Savings Plan, my Retirement Account, etc.)
 - o flexible spending accounts, such as medical savings and dependent care assistance
 - o union dues
 - o Combined Federal Campaign
 - o garnishments (IRS form 668A—Notice of Levy—and similar records)
 - o Treasury bond purchases
 - o other deductions
- authorizations for deposits into bank accounts
- changes or corrections to previous transactions either at paying agency or payroll processor
- Fair Labor Standards Act exemption worksheets

DISPOSITION: Temporary. Destroy 3 years after paying agency or payroll processor validates data.

Tax and Wage Statements (Disposition Authority: DAA-GRS-2016-0015-0005) [GRS 2.4, item 050] [Numeric Folder: 11042]

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.

DISPOSITION: Temporary. Destroy when 4 years old.

Tax Withholding and Adjustment Documents (Disposition Authority: DAA-GRS-2016-0015-0002) [GRS 2.4, item 020] [Numeric Folder: 11043]

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.

DISPOSITION: Temporary. Destroy 4 years after superseded or obsolete.

Time and Attendance Records (Disposition Authority: DAA-GRS-2019-0004-0002) [GRS 2.4, item 030] [Numeric Folder: 11045]

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.

DISPOSITION: Temporary. Destroy when 3 years old.

HR - Quality Control and Compliance (QCC)

Internal Control Review, Response, and Mitigation Management Records (Disposition Authority: DAA-GRS-2017-0008-0002) [GRS 5.7, item 020] [Numeric Folder: 11050]

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.

Exclusion: 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).

DISPOSITION: Temporary. Destroy 5 years after no further corrective action is needed.

Non-Mission Employee Training Program Records (Disposition Authority: DAA-GRS-2016-0014-0001) [GRS 2.6, item 010] [Numeric Folder: COR-8.000]

Records about planning, assessing, managing, and evaluating an agency's training program:

- plans, reports and program evaluations
- organizational and occupational needs assessments
- employee skills assessments
- employee training statistics
- notices about training opportunities, schedules, or courses
- mandatory training tracking and reporting files
- logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- registration forms, employee attendance records
- syllabi, presentations, instructor guides, handbooks, and lesson plans
- reference and working files on course content
- other course materials, such as presentations and videos
- student, class, or instructor evaluations

DISPOSITION: Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate.

HR - Staffing and Classification (S&C)

Certificates of Classification (Disposition Authority: DAA-GRS-2014-0002-0005) [GRS 2.1, item 040] [Numeric Folder: 11002]

Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.

DISPOSITION: Temporary. Destroy 2 years after position is abolished or description is superseded.

Classification Standards (Disposition Authority: DAA-GRS-2014-0002-0001) [GRS 2.1, item 010] [Numeric Folder: 11005]

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.

Exclusion: OPM's case files on classification standards are not covered by this item.

DISPOSITION: Temporary. Destroy 2 years after standard is superseded, canceled, or disapproved by OPM.

Employees Hired Under Special Temporary Authority (Records Related to Individual Employees) (Disposition Authority: DAA-GRS-2014-0002-0017) [GRS 2.1, item 130] [Numeric Folder: 11017]

Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.

DISPOSITION: Temporary. Destroy 2 years after employee is converted to a permanent position or leaves a program.

Employment Eligibility Verification Records (Disposition Authority: DAA-GRS-2017-0007-0007) [GRS 2.2, item 060] [Numeric Folder: 11018]

Employment Eligibility Verification form I-9 and any supporting documentation.

DISPOSITION: Temporary. Destroy 3 years after employee separates from service or transfers to another agency.

Excepted Service Appointment Records

Records created in filling permanent or temporary job vacancies by noncompetitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):

- application, attachments, and supplemental forms
- documentation of eligibility for excepted service appointment
- proof of special qualifications
- resume or other proof of employment, education, or relevant experience
- proof of disability issued by a licensed medical professional
- certification of job readiness
- notice of appointment, terms, and acceptance

1. Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u) (Disposition Authority: DAA-GRS-2014-0002-0018) [GRS 2.1, item 110] [Numeric Folder: 11019.001]

DISPOSITION: Temporary. Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.

2. Case files related to all other appointees (Disposition Authority: DAA-GRS-2014-0002-0019) [GRS 2.1, item 111] [Numeric Folder: 11019.002]

DISPOSITION: Temporary. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.

Interview Records (Disposition Authority: DAA-GRS-2014-0002-0008) [GRS 2.1, item 090] [Numeric Folder: 11023]

Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:

- copies of records in the job vacancy case file (item 050 and 051)
- notes of interviews with selected and non-selected candidates
- reference check documentation

DISPOSITION: Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a nonselection, or final settlement of any associated litigation, whichever is later.

Job Application Packages (Disposition Authority: DAA-GRS-2014-0002-0011) [GRS 2.1, item 060] [Numeric Folder: 11024]

Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes:

- application
- resume
- supplemental forms
- other attachments

Note: 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 DAA-GRS-2014-0002-0006 [GRS 2.1, item 050] and DAA-GRS-2014-0002-0007 [GRS 2.1, item 051].

DISPOSITION: Temporary. Destroy 1 year after date of submission.

Job Vacancy Case Files

Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- request for lists of eligible candidates
- job announcement
- examination announcement
- job analysis, assessment criteria, and crediting plan
- basis for certification
- applications, resumes, supplemental forms, other attachments
- list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- certificates, registers or lists of eligible candidates issued to selecting officials
- job-related test records
- mandatory applicant drug test records
- annotated certificates of eligible candidates returned by selecting officials
- job offers
- records of job offer being accepted or declined
- correspondence/documentation of announcement or recruiting operation

1. Records of one-time competitive and Senior Executive Service announcements / selections (Disposition Authority: DAA-GRS-2017-0011-0001) [GRS 2.1, item 050] [Numeric Folder: 11025.001]

DISPOSITION: Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.

2. Records of standing register competitive files for multiple positions filled over a period of time (Disposition Authority: DAA-GRS-2017-0011-0002) [GRS 2.1, item 051] [Numeric Folder: 11025.002]

DISPOSITION: Temporary. Destroy 2 years after termination of register.

Notifications of Personnel Actions (Disposition Authority: DAA-GRS-2017-0007-0006) [GRS 2.2, item 050] [Numeric Folder: 11027]

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.

Exclusion: SF-50s filed in the OPF. DAA-GRS-2017-0007-0004 [GRS 2.2, item 040] and DAA-GRS-2017-0007-0005 [GRS 2.2, item 041] cover these records.

DISPOSITION: Temporary. Destroy when business use ceases.

Official Personnel Folder (OPF) / Electronic OPF (eOPF)

The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history.

Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.

Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.

Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.

1. Long-term records (Disposition Authority: DAA-GRS-2017-0007-0004) [GRS 2.2, item 040] [Numeric Folder: 11029.001]

Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.

Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.

DISPOSITION: Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner.

2. Short-term records (Disposition Authority: DAA-GRS-2017-0007-0005) [GRS 2.2, item 041] [Numeric Folder: 11029.002]

Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.

Exclusion: USCIS Form I-9 and performance related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.

DISPOSITION: Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.

Political Appointment (Schedule C) Records

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). Includes:

- applications for employment
- resumes
- individuals' background information
- ethics pledges and waivers
- security clearances
- correspondence
- other documentation relating to the selection, clearance, and appointment of political appointees

Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.

1. Records (except Ethics Pledges and Waivers) related to Appointees (Disposition Authority: DAA-GRS-2014-0002-0014) [GRS 2.1, item 100]
[Numeric Folder: 11033.001]

DISPOSITION: Temporary. Destroy after separation. Retention up to end of administration under which individual was hired is authorized.

2. Ethics Pledges and Waivers of Appointees [GRS 2.1, item 101] [Numeric Folder: 11033.002]

INSTRUCTION: File in appointee's Official Personnel File, per Executive Order 13490.

3. Records related to Non-Appointees (Disposition Authority: DAA-GRS-2014-0002-0015) [GRS 2.1, item 102] [Numeric Folder: 11033.003]

DISPOSITION: Temporary. Destroy 1 year after consideration of the candidate ends. Retention up to end of administration under which individual was considered is authorized.

Position Descriptions

Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.

1. Official record copy of position description (Disposition Authority: DAA-GRS-2014-0002-0002) [GRS 2.1, item 020] [Numeric Folder: 11034.001]

Copy held at Human Resources office.

DISPOSITION: Temporary. Destroy 2 years after position is abolished or description is superseded.

2. Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor's personnel file [GRS 2.1, item 021] [Numeric Folder: 11034.002]

INSTRUCTION: Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)

3. All other related records (Disposition Authority: DAA-GRS-2014-0002-0003) [GRS 2.1, item 022] [Numeric Folder: 11034.003]

Includes:

- case file at position's program office
- background material in Human Resources case file
- other copies of records in item 020

DISPOSITION: Temporary. Destroy when position description is final.

Position Reviews and Classification Appeals (Disposition Authority: DAA-GRS-2014-0002-0004) [GRS 2.1, item 030] [Numeric Folder: 11035]

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.

DISPOSITION: Temporary. Destroy 3 years after final decision.

Pre-Appointment Files

Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.

1. Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions [GRS 2.1, item 140] [Numeric Folder: 11036.001]

Included are forms in the SF-85 family, fingerprint charts, and related correspondence.

INSTRUCTIONS: Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.

2. Records appropriate for inclusion in OPF

Such as designation of beneficiary, life insurance election, and health benefits registration.

a. Records concerning prospective employees who enter on duty [GRS 2.1, item 141] [Numeric Folder: 11036.002a]

INSTRUCTIONS: Forward to appropriate human resources office to include in OPF after employee enters on duty.

b. Records concerning prospective employees who do not enter on duty (Disposition Authority: DAA-GRS-2014-0002-0009) [GRS 2.1, item 142] [Numeric Folder: 11036.002b]

DISPOSITION: Temporary. Destroy 1 year after prospective employee is no longer a candidate.

3. Copies of records included in job vacancy case file (items 050 or 051) (Disposition Authority: DAA-GRS-2014-0002-0010) [GRS 2.1, item 143] [Numeric Folder: 11036.003]

DISPOSITION: Temporary. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.

Requests for Non-Competitive Personnel Action (Disposition Authority: DAA-GRS-2014-0002-0013) [GRS 2.1, item 080] [Numeric Folder: 11037]

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.

DISPOSITION: Temporary. Destroy 1 year after approval is granted or denied.

Separation Program Management Records

Records documenting the general work process to release career, temporary, and political appointment employees from employment status. Includes:

- registers of separation or transfers such as SF-2807, SF-3103, or similar records;
- retention registers and related records;
- reports, correspondence, and control documents;
- exit interview compilations identifying and tracking trends.

1. **Records not specific to an agency separation initiative** (Disposition Authority: DAA-GRS-2014-0004-0001) [GRS 2.5, item 010] [Numeric Folder: 11038.001]

DISPOSITION: Temporary. Destroy when no longer required for business use.

2. **Records specific to an agency separation initiative** such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. (Disposition

Authority: DAA-GRS-2014-0004-0002) [GRS 2.5, item 011] [Numeric Folder: 11038.002]

DISPOSITION: Temporary. Destroy 2 years after date of program closure.

SF 52 log (HRM Database) (Unscheduled) [Numeric Folder: 11039]

DISPOSITION: DO NOT DESTROY

Special Hiring Authority Program Records (Disposition Authority: DAA-GRS-2014-0002-0016) [GRS 2.1, item 120] [Numeric Folder: 11040]

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.

DISPOSITION: Temporary. Destroy 2 years after hiring authority closes.

UPDATED 2025 Unemployment Compensation Records (Disposition Authority: DAA-GRS-2017-0007-0001) [GRS 2.2, item 010] [Numeric Folder: 11046]

Records on routine office program support, administration, and human resources operations.

DISPOSITION: Temporary. Destroy when 3 years old.

Volunteer Service Case Files

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 nonstudents. Records include:

- volunteer agreements documenting position title, office title, duty location, days/hours on duty
- parental approval forms
- performance evaluations
- training information
- certificates of appreciation
- correspondence documenting inclusive dates of service and total hours or days worked

NOTE: These items do not cover Peace Corps Volunteers at Posts, but volunteers that work without pay at HQ.

- a. **Case files on volunteers** (DAA-GRS-2017-0007-0016) [GRS 2.2, item 110] [Numeric Folder: 11047.001]

Exclusion: 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.

DISPOSITION: Temporary. Destroy 4 years after volunteer departs service.

- b. Case files on individuals whose applications were rejected or withdrawn** (DAA-GRS-2017-0007-0017) [GRS 2.2, item 111] [Numeric Folder: 11047.002]

DISPOSITION: Temporary. Destroy when 1 year old.

Volunteer Service Program Administrative Records (DAA-GRS-2017-0007-0015) [GRS 2.2, item 100] [Numeric Folder: 11048.5]

Records documenting routine administration, internal procedures, and general activities, including:

- general correspondence
- annual reports on volunteer activities

DISPOSITION: Temporary. Destroy when 3 years old.

HR - Workforce Planning (WP)

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 11000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Employee Management Administrative Records (Disposition Authority: DAA-GRS-2017-0007-0001) [GRS 2.2, item 010] [Numeric Folder: 11015]

Records on routine office program support, administration, and human resources operations. Includes:

- reports, including annual reports to the Department of State concerning the number of official passports issued and related matters
- reports from subordinate units regarding statistics and other reporting measures
- general correspondence with internal agency offices and with OPM
- general correspondence with travelers regarding official passport application procedures and documentation requirements
- statistics, including lists of official passport holders

Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.

DISPOSITION: Temporary. Destroy when 3 years old.

Workforce and Succession Planning Records (Disposition Authority: DAA-GRS-2017-0007-0002) [GRS 2.2, item 020] [Numeric Folder: 11049]

Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:

- planning and analysis models
- planning data
- briefing materials
- studies and surveys
- lists of functions and staff at key locations

Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.

DISPOSITION: Temporary. Destroy 3 years after issuing each new plan.

Inspector General (OIG) [Numeric Folder: 12000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 12000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 12000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Access and Disclosure Request Files (FOIA Appeals Files) (Disposition Authority: DAA-GRS-2016-0002-0001) [GRS 4.2, item 020] [Numeric Folder: 12000.5]

Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:

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

Includes:

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

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

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

DISPOSITION: Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.

Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs (FOIA Reports Files) (Disposition Authority: DAA-GRS-2013-0007-0006) [GRS 4.2, item 070] [Numeric Folder: 12000.6]

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

DISPOSITION: Temporary. Destroy 2 years after date of report.

Allegations and Claims Records that fall under U.S. Office of Special Counsel Jurisdiction (Disposition Authority: DAA-GRS-2017-0008-0006) [GRS 5.7, item 060] [Numeric Folder: 12001]

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 & 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.

Exclusion 1: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately).

Exclusion 2: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately).

DISPOSITION: Temporary. Destroy 3 years after final order or final adjudication of appeal, as appropriate.

Audit / Evaluation / Review Working Files (Disposition Authority: N1-490-02-4, item 1)
[Numeric Folder: 12002]

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

DISPOSITION: Temporary. Cut off at the end of fiscal year in which case is closed. Destroy 10 years after cutoff.

Complaints (Unscheduled) [Numeric Folder: 12003]

DISPOSITION: DO NOT DESTROY

Correspondence Chron Files (Unscheduled) [Numeric Folder: 12004]

DISPOSITION: DO NOT DESTROY

Evidence Log (Unscheduled) [Numeric Folder: 12005]

DISPOSITION: DO NOT DESTROY

Final Audit / Evaluation / Review Reports (Disposition Authority: N1-490-02-4, item 2)
[Numeric Folder: 12006]

Inspector General reports generated as the result of audits, evaluations, or reviews. Each report examines the effectiveness of Peace Corps' management in terms of Peace Corps' mission.

DISPOSITION: Temporary. Cut off at the end of fiscal year in which case is closed. Destroy 8 years after cutoff.

Investigations Follow-up Log (Unscheduled) [Numeric Folder: 12011]

DISPOSITION: DO NOT DESTROY

Investigative Case Files (Disposition Authority: N1-490-02-4, item 4)

Case files developed during investigations of known alleged fraud and abuse and irregularities and violations of laws and regulations. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having relationships with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

DISPOSITION: Temporary.

- a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation: Destroy when 5 years old. [Numeric Folder: 12012.001]
- b. All other investigative case files: Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff. [Numeric Folder: 12012.002]

Investigative Case Management System (Unscheduled) [Numeric Folder: 12013]

DISPOSITION: DO NOT DESTROY

Overseas Criminal Investigative Case Files (Unscheduled) [Numeric Folder: 12014]

DISPOSITION: DO NOT DESTROY

Preliminary Inquiry Files (Unscheduled) [Numeric Folder: 12015]

DISPOSITION: DO NOT DESTROY

Records of accounting for and controlling access to records requested under FOIA, PA, and MDR (FOIA Control Files) (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040] [Numeric Folder: 12015a]

Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:

- forms, registers, ledgers, logs, and tracking systems documenting requester

- identity and contact information, request date, and nature or purpose of request
- inventories of controlled records
- forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data
- agent and researcher files

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

Semi-Annual Reports to Congress (Disposition Authority: N1-490-02-4, item 958.7) [Numeric Folder: 12016]

Inspector General reports to Congress which summarize activities of the office related to investigations, audits, and evaluations.

DISPOSITION: Permanent. Cut off at the end of the fiscal year, hold for four years and send to the Federal Records Center. Transfer to the National Archives after 10 years.

Teammate (Unscheduled) [Numeric Folder: 12017]

DISPOSITION: DO NOT DESTROY

Management (M) [Numeric Folder: 13000]

Admin Unit

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 13000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 13000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Emergency Declaration Response Records – Substantive (Covid Records) (Disposition Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 13101]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

Disposition: Permanent. Cut off records upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Emergency Declaration Response Records – Administrative (Covid Records) (Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 13102]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, reports and other supporting documentation used to generate final products.

Disposition: Temporary. Cut off annually. Destroy 7 years after cutoff.

M - Administrative Services (M/AS)

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 13000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Financial Transaction Records (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: COR-4.001]

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 definitions NOT COVERED under "Financial Transactions" listed in "Common Office Records" or the "COR" tab in M/AS file plan.

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

M - Facilities Management Division (FMD)

Excess Personal Property, Equipment, and Vehicle Records (Disposition Authority: DAA-GRS-2016-0011-0004) [GRS 5.4, item 040] [Numeric Folder: 13127]

Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:

- excess property inventories and lists
- lists and other records identifying approved receivers of excess property
- donation receipts
- destruction certificates
- documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle
- related correspondence

Exclusion: Records documenting financial management of surplus property disposal by sale are covered by DAA-GRS-2013-0003-0001 [GRS 1.1, item 010].

DISPOSITION: Temporary. Destroy when 3 years old.

Facility Design, Engineering, and Construction Records

Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes:

- site maps and surveys
- plot plans
- structural drawings
- architectural renderings
- electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings
- exterior delivery of utilities drawings
- materials plans and drawings
- minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams
- construction progress photographs
- construction inspection reports
- equipment location plans
- paint plans and samples
- furniture design and layout drawings and plans
- space occupancy plans

Exclusion 1: Records documenting financial management of construction contracts, which are covered by DAA-GRS-2013-0003-0001 [GRS 1.1, item 010]

Exclusion 2: Records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value).

1. Draft, preliminary, intermediate, working, and contract negotiation drawings
(Disposition Authority: DAA-GRS-2016-0011-0005) [GRS 5.4, item 050] [Numeric Folder: 13128.001]

DISPOSITION: Temporary. Destroy when superseded, or when project terminates, as appropriate.

2. Final and as-built drawings, plans, and designs; and all other records
(Disposition Authority: DAA-GRS-2016-0011-0006) [GRS 5.4, item 051] [Numeric Folder: 13128.002]

DISPOSITION: Temporary. Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate.

Facility Design, Engineering, and Construction Operations Records (Disposition Authority: DAA-GRS-2016-0011-0007) [GRS 5.4, item 060] [Numeric Folder: 13129]

Records documenting operational support of facility design, engineering, and construction projects. Includes:

- project requests and approvals
- meeting agendas, minutes, and other records
- budget and cost working files
- task, punch, and action item lists
- work logs
- progress reports and presentation materials
- related correspondence and notes

DISPOSITION: Temporary. Destroy 5 years after project completion or termination.

Facility, Space, and Equipment Inspection, Maintenance, and Service Records

Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:

- repair and maintenance work orders, requisitions, and related papers
- maintenance and inspection logs and reports
- job orders, service call records, action sheets, and repair logs
- work, shop, or job schedules

Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] covers these).

- 1. Records documenting facility structure and long-term maintenance** (Disposition Authority: DAA-GRS-2016-0011-0008) [GRS 5.4, item 070] [Numeric Folder: 13130.001]

DISPOSITION: Temporary. Destroy when 3 years old.

- 2. Records tracking completion of custodial and minor repair work (Transitory Records)** (Disposition Authority: DAA-GRS-2022-0009-0001) [GRS 5.2, item 010] [Numeric Folder: 13130.002]

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Facility, Space, Vehicle, Equipment, Stock, and Supply Administrative and Operational Records (Disposition Authority: DAA-GRS-2016-0011-0001) [GRS 5.4, item 010] [Numeric Folder: 13131]

Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies.

Includes:

- statistical and narrative reports
- studies
- requests for space using Standard Form 81 or equivalent
- space assignments and directories
- inventories of property, equipment, furnishings, stock, and supplies
- reports of survey regarding lost, damaged, missing, or destroyed property
- requisitions for supplies and equipment
- records tracking supply and procurement requirements
- records scheduling and dispatching vehicles, monitoring use, and reporting use
- related correspondence

Exclusion: Records of supply and property procurement (DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] covers these).

DISPOSITION: Temporary. Destroy when 3 years old or 3 years after superseded.

Headquarters' Lease (Financial Management and Reporting Administrative Records) (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [Numeric Folder: 13132]

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

DISPOSITION: Temporary. Destroy when 3 years old.

Help Desk Operational Records (Technical and Administrative) (Disposition Authority: DAA-GRS-2017-0001-0001) [GRS 5.8, item 010] [Numeric Folder: 13133]

- records of incoming requests (and responses) made by phone, email, web portal, etc.
- trouble tickets and tracking logs
- quick guides and “Frequently Asked Questions” (FAQs)
- evaluations and feedback about help desk services
- analysis and reports generated from customer management data
- customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

Exclusion: Public customer service records scheduled under GRS 6.5.

DISPOSITION: Temporary. Destroy 1 year after resolved.

Inventory, stores, and materials cost accounting records (Disposition Authority: DAA-GRS-2013-0003-0012) [GRS 1.1, item 040] [Numeric Folder: 13134 / SUNFLOWER]

Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:

- invoices or equivalent papers used for inventory accounting purposes
- inventory accounting returns and reports
- working files used in accumulating inventory accounting data
- plant account cards and ledgers, other than those pertaining to structures
- cost accounting reports and data
- depreciation lists/costs
- contractor cost reports re contractor-held-government-owned materials and parts
- receiving, inspection, and acceptance documentation

DISPOSITION: Temporary. Destroy when 3 years old.

Inventory Records (Property, plant and equipment (PP&E) and other asset accounting) (Disposition Authority: DAA-GRS-2013-0003-0004) [GRS 1.1, item 030] [Numeric Folder: 13135 / SUNFLOWER]

Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency’s annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:

- purchase orders and contracts
- invoices
- appraisals
- costing and pricing data
- transactional schedules
- titles
- transfer, acceptance and inspection records

- asset retirement, excess and disposal records
- plant account cards and ledgers pertaining to structures
- correspondence and work papers

Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to the National Archives to cover these records or apply an existing schedule.

DISPOSITION: Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement.

M - Freedom of Information (FOIA) / Privacy Act (PA) Office

Access and Disclosure Request Files (FOIA/PA – Granted, Denied, Appealed, Final)

(Disposition Authority: DAA-GRS-2016-0002-0001) [GRS 4.2, item 020] [Numeric Folder: 13201.5]

Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:

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

Includes:

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

Exclusion: Record copies of requested records remain covered by the 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.

DISPOSITION: Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.

Federal Register Notices other than Proposed and Final Rules (Disposition Authority: DAA-GRS-2017-0012-0004) [GRS 5.7, item 070] [Numeric Folder: 13201]

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.

Note 1: SORNs *per se* are covered by DAA-GRS-2016-0003-0002 [GRS 4.2, item 150].

Note 2: PRA Information Collection reports are covered by DAA-GRS-2017-0008-0005 [GRS 5.7, item 050].

Note 3: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by DAA-GRS-2015-0001-0005 [GRS 6.2, item 050].

DISPOSITION: Temporary. Destroy when 1 year old.

FOIA, Privacy Act, and Classified Documents Administrative Records (Disposition Authority: DAA-GRS-2019-0001-0001) [GRS 4.2, item 001] [Numeric Folder: 13202]

Records on managing information access and protection activities. Records include:

- correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification
- associated subject files
- feeder and statistical reports

Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.

DISPOSITION: Temporary. Destroy when 3 years old.

FOIA Control Files (Records of accounting for and controlling access to records requested under FOIA, PA, and Mandatory Declassification Review (MDR)) (Disposition Authority: DAA-GRS-2019-0001-0003) [GRS 4.2, item 040] [Numeric Folder: 13203]

Records documenting identity, internal routing, and final disposition of classified documents. Also, records documenting control points and accountability for information relating to access requests. Includes:

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

DISPOSITION: Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate.

FOIA Reports Files (Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs) (Disposition Authority: DAA-GRS-2013-0007-0006) [GRS 4.2, item 070] [Numeric Folder: 13204]

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

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

DISPOSITION: Temporary. Destroy 2 years after date of report.

Forms Management Records (Disposition Authority: DAA-GRS-2013-0002-0009) [GRS 4.1, item 040] [Numeric Folder: 13206]

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

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

DISPOSITION: Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled.

Privacy Act Accounting of Disclosure Files (Disposition Authority: NC1-64-77-1, item 27) [GRS 4.2, item 050] [Numeric Folder: 13207]

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

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

DISPOSITION: Temporary. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

Privacy Act Amendment Request Files (Disposition Authority: DAA-GRS-2013-0007-0007) [GRS 4.2, item 090] [Numeric Folder: 13208]

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

- requests to amend and to review refusal to amend

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

DISPOSITION: Temporary. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies).

Privacy Act System of Records Notices (SORNs) (Disposition Authority: DAA-GRS-2016-0003-0002) [GRS 4.2, item 150] [Numeric Folder: 13209]

Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the 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.

DISPOSITION: Temporary. Destroy 2 years after supersession by a revised SORN or after system ceases operation.

Privacy Complaint Files (Disposition Authority: DAA-GRS-2019-0001-0004) [GRS 4.2, item 065] [Numeric Folder: 13210.5]

Records of privacy complaints (and responses) agencies receive in these categories:

- process and procedural (consent, collection, and appropriate notice)
- redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act)
- operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction)
- complaints referred to another organization.

DISPOSITION: Temporary. Destroy 3 years after resolution or referral, as appropriate.

Records Analyzing Personally Identifiable Information (PII)

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

1. Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs) (Disposition Authority: DAA-GRS-2016-0003-0003) [GRS 4.2, item 160] [Numeric Folder: 13210.001]

Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).

DISPOSITION: Temporary. Destroy 3 years after associated PIA is published or determination that PIA is unnecessary.

2. Records of Privacy Impact Assessments (PIAs) (Disposition Authority: DAA-GRS-2016-0003-0004) [GRS 4.2, item 161] [Numeric Folder: 13210.002]

DISPOSITION: Temporary. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate.

Vaccination Attestations and Proof of Vaccination Records

Records attesting to an individuals' current vaccination status and providing proof or certification of vaccination.

1. Federal Employees and Contractors (Disposition authority: DAA-GRS-2021-0003-0001) [GRS 2.7, item 063] [Numeric Folder: 13211]

Applies only to records related to federal employees and contractors of the agency collecting the records.

DISPOSITION: Temporary. Destroy when 3 years old.

2. Visitors (Disposition authority: DAA-GRS-2021-0003-0002) [GRS 2.7, item 064] [Numeric Folder: 13212]

Includes federal employees and contractors visiting from other agencies.

DISPOSITION: Temporary. Destroy when 30 days old.

M - Office of Safety and Health (OSH)

NEW ITEM - Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 13050-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Occupational Injury and Illness Program Records (Disposition authority: DAA-GRS-2017-0010-0002) [GRS 2.7, item 020] [Numeric Folder: 13052]

Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:

- miscellaneous reports, annual summaries or reports to the Secretary of Labor
- correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA)
- OSHA 300 Log
- OSHA 301 Incident Report
- OSHA 300A Summary or equivalent
- Mishap/accident reports

Exclusion: Workers’ Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.

Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69

DISPOSITION: Temporary. Destroy when 6 years old.

NEW ITEM - Occupational Health and Safety Training Records (Disposition authority: DAA-GRS-2017-0010-0003) [GRS 2.7, item 030] [Numeric Folder: 13053]

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.

DISPOSITION: Temporary. Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.

NEW ITEM - Non-occupational Health and Wellness Program Records (Disposition authority: DAA-GRS-2017-0010-0013) [GRS 2.7, item 080] [Numeric Folder: 13062]

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:

- health risk appraisals
- biometric testing
- health coaching
- disease management
- behavioral management
- preventive services
- fitness programs

DISPOSITION: Temporary. Destroy 3 years after the project/activity/ or transaction is completed or superseded.

NEW ITEM - Vaccination Attestations and Proof of Vaccination Records / Federal Employees and Contractors (Disposition authority: DAA-GRS-2021-0003-0001) [GRS 2.7, item 063] [Numeric Folder: 13063]

Records attesting to an individuals' current vaccination status and providing proof or certification of vaccination. Applies only to records related to federal employees and contractors of the agency collecting the records. Note: If agencies file these records in occupational health files, use the disposition authority for occupational health files.

DISPOSITION: Temporary. Destroy when 3 years old.

M - Post Logistics and Support Division (PLS)

Controlled Substance Orders (DEA 222) (N1-490-12-1, item 1) [Numeric Folder: 13151]

The Drug Enforcement Administration's DEA 222 (Controlled Substance Order Form – Schedules I and II) is required by the DEA for the purchase and distribution to Peace Corps Volunteers of Schedule I and II controlled substances.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 2 years after cutoff.

Controlled Substance Purchase Order Files (Financial Transaction Records...) (DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 13152]

Routine procurement files, including correspondence and related papers.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

Controlled Substance Transaction Files (N1-490-12-1, item 2) [Numeric Folder: 13153]

Transaction files for controlled substances include PC 734F (PLS Purchase Request), shipping document/packing list from the vendor, OF 347 (Order for Supplies or Services) or SF 1449 (Solicitation/Contract/Order for Commercial Items), shipping receipt (Diplomatic Pouch registration slip/DHL receipt/APO slip), PC 891 (PLS Order Confirmation) sent from HQ to Post, and PC 734A (Receipt Confirmation for Controlled Substances) sent from Post to HQ.

Note: Schedule II orders are filed separately from Schedule III, IV, and V orders. These documents are filed by country and chronologically.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 2 years after cutoff.

Drug Enforcement Agency (DEA) Registration Renewal (Unscheduled) [Numeric Folder: 13154]

DISPOSITION: DO NOT DESTROY

Mail, Printing, and Telecommunication Services Administrative and Operational Records (Disposition Authority: DAA-GRS-2016-0012-0001) [GRS 5.5, item 010] [Numeric Folder: 13157]

Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes:

- agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use
- records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment
- telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data
- records documenting allocation, distribution, and use of telephone calling cards
- statistical reports on mail and package shipment volume and costs
- related correspondence

Exclusion: Agreements used to support payment vouchers (DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] covers these).

DISPOSITION: Temporary. Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled.

Mail, Printing, and Telecommunication Services Control Records (Disposition Authority: DAA-GRS-2016-0012-0002) [GRS 5.5, item 020] [Numeric Folder: 13158]

Records of general day-to-day communication service administration and specific transmission tracking. Includes:

- records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages
- messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity
- reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment
- records that document requisitioning and receiving stamps and postage meter balances
- documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger
- staff and office directories the agency uses to ensure correct mail and package delivery
- printing requisitions, work orders, samples, manuscript clearances, and related documents
- mailing and contact lists a mailroom or similar office manages
- telephone message registers and logs

Exclusion 1: Requisitions used to support payment vouchers (DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] covers these).

Exclusion 2: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)

DISPOSITION: Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

Metered Mail Records (Disposition Authority: DAA-GRS-2016-0012-0003) [GRS 5.5, item 030] [Numeric Folder: 13159]

Official metered mail reports such as GSA-1390A, “Quarterly Postage Mail Report/Record of Accountable Metered Mail Report,” and all related papers.

DISPOSITION: Temporary. Destroy when 6 years old.

M - Staff Learning and Development (OSLD)

Training Records (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: 13301]

Headquarters subject matter experts create training content for Volunteers/Trainees, and headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

LearningSpace Administrative Files (Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051] [Numeric Folder: 13302]

Administrative management files of all LearningSpace courses such as updating course properties; integrating created courses into learning tracks/programs and enrolling users via enrollment keys and/or batch processing, course utilities such as import, export, archive, and restore; course configuration options; learning paths; course catalog entries; changing passwords; user roles; user account creation; site hierarchy management; help-desk, request, and trouble tickets; management and maintenance requests; access requests; system documentation; and periodic reports of system activities. The LearningSpace has an extensive user manual. Data administration records and documentation relating to electronic records that are scheduled as temporary.

DISPOSTION: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Training Program Records (Non-mission) (Disposition Authority: DAA-GRS-2016-0014-0001) [GRS 2.6, item 010] [Numeric Folder: 13303]

Records about planning, assessing, managing, and evaluating an agency's training program:

- plans, reports and program evaluations
- organizational and occupational needs assessments
- employee skills assessments
- employee training statistics
- notices about training opportunities, schedules, or courses
- mandatory training tracking and reporting files
- logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- registration forms, employee attendance records
- syllabi, presentations, instructor guides, handbooks, and lesson plans

- reference and working files on course content
- other course materials, such as presentations and videos
- student, class, or instructor evaluations

Note: Includes Peace Corps Learning Strategy, 2022-2026 Learning Needs Assessment (LNA)

Note: Financial records related to purchase of training or travel for training are scheduled under DAA-GRS-2013-0003-0001 [GRS 1.1, item 010].

Exclusion: This item does not cover ethics-related training.

DISPOSITION: Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete.

Individual Employee Training Records (Disposition Authority: DAA-GRS-2016-0014-0003) [GRS 2.6, item 030] [Numeric Folder: 13304]

Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:

- completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors)
- Individual Development Plans (IDPs)
- mentoring or coaching agreements

Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.

DISPOSITION: Temporary. Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.

M - Transportation (T)

Administrative and Operational Records (Facility, Space, Vehicle, Equipment, Stock, and Supply) (Disposition Authority: DAA-GRS-2016-0011-0001) [GRS 5.4, item 010] [Numeric Folder: 13176]

Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies.

Includes:

- statistical and narrative reports
- studies
- requests for space using Standard Form 81 or equivalent
- space assignments and directories
- inventories of property, equipment, furnishings, stock, and supplies
- reports of survey regarding lost, damaged, missing, or destroyed property
- requisitions for supplies and equipment
- records tracking supply and procurement requirements
- records scheduling and dispatching vehicles, monitoring use, and reporting use
- related correspondence

Exclusion: Records of supply and property procurement (DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] covers these).

DISPOSITION: Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate.

Excess Personal Property, Equipment, and Vehicle Records (Disposition Authority: DAA-GRS-2016-0011-0004) [GRS 5.4, item 040] [Numeric Folder: 13177]

Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes:

- excess property inventories and lists
- lists and other records identifying approved receivers of excess property
- donation receipts
- destruction certificates
- documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle
- related correspondence

Exclusion: Records documenting financial management of surplus property disposal by sale are covered by DAA-GRS-2013-0003-0001 [GRS 1.1, item 010].

DISPOSITION: Temporary. Destroy when 3 years old.

Official Passports (records related to)

The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.

Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.

1. UPDATED ITEM - Application records (Disposition Authority: DAA-GRS-2023-0002-0002) [GRS 2.2, item 090] [Numeric Folder: 13178.001]

Records related to administering the application or renewal of official passports and visas, including:

- copies of passport and visa applications
- passport and visa requests
- special invitation letters
- visa authorization numbers
- courier receipts
- copies of travel authorizations

DISPOSITION: Temporary. Destroy 3 years after submission, but longer retention is authorized if required for business use.

2. Official passport registers (Disposition Authority: DAA-GRS-2017-0007-0014) [GRS 2.2, item 091] [Numeric Folder: 13178.002]

Registers and lists of agency personnel who have official passports.

DISPOSITION: Temporary. Destroy when superseded or obsolete.

3. Official passports of transferred or separated agency personnel (Disposition Authority: None; filing instruction only.) [Numeric Folder: 13178.003]

INSTRUCTION: Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.

Premium Travel Reports (Mandatory reports to External Federal Entities regarding Administrative Activities) (Disposition Authority: DAA-GRS-2020-0001-0003) [GRS 5.7, item 050] [Numeric Folder: 13179]

Premium class travel reports.

DISPOSITION: Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate.

Transportation Subsidy Program Administrative Records (Disposition Authority: DAA-GRS-2016-0015-0017) [GRS 2.4, item 130] [Numeric Folder: 13180.5]

Records related to managing the program, including:

- determining subsidy amount available to employees
- publicity and program announcements
- records of program-wide benefit delivery and receipt
- statistical and narrative reports
- similar records not linked to individual employee participation.

DISPOSITION: Temporary. Destroy when 3 years old.

Transportation Subsidy Program Individual Case Files (Disposition Authority: DAA-GRS-2016-0015-0018) [GRS 2.4, item 131] [Numeric Folder: 13180.6]

Case files of individual employee participation in transportation subsidy programs, such as:

- applications and supporting documents
- eligibility verification
- notice of approval or denial of participation in program
- participant training documentation
- periodic estimates of transit expenses
- record of individual benefit delivery and receipt
- de-enrollment documents
- settlement of outstanding debts by employee or Government when employee leaves program

DISPOSITION: Temporary. Destroy 2 years after employee participation concludes.

Travel and Transportation Records (Financial Management and Reporting Administrative Records)

Records related to managing financial activities and reporting. Records include:

- correspondence
- subject files
- feeder reports
- workload management and assignment records

Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions. (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [Numeric Folder: 13180.001]

DISPOSITION: Temporary. Destroy when 3 years old.

Accountability records documenting the issue or receipt of accountable documents. (**Mail, printing, and telecommunication services control records**) (Disposition Authority: DAA-GRS-2016-0012-0002) [GRS 5.5, item 020] [Numeric Folder: 13180.002]

DISPOSITION: Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

Travel Authorizations (TA) (Financial Transaction Records...) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [Numeric Folder: 13181]

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

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

Travel Credit Card and Purchase Card Application and Approval Records (Government) (Disposition Authority: DAA-GRS-2018-0003-0001 [GRS 1.1, item 090] [Numeric Folder: 13182]

Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include:

- application for credit card
- credit release form
- applicant credit report
- cardholder agreement
- acknowledgement of responsibilities and penalties for misuse
- approving official agreement
- certificate of appointment (warrant)
- card training certificate

DISPOSITION: Temporary. Destroy upon card holder separation or when card is returned to office and destroyed, as appropriate.

Unclaimed Volunteer Vital Records for Peace Corps Passport Applications (Disposition Authority: DAA-0490-2020-0001-0001] [Numeric Folder: 13183]

Series contains original documents received by the Peace Corps, as per Department of State passport requirements, in order for Volunteers to receive a 'no fee' (Peace Corps)

passport. Documents may include birth certificates, birth registrations, Consular Report of Birth Abroad document, or similar official documents.

DISPOSITION: Cut off when Peace Corps passport is issued, or application process is terminated. Destroy 2 years after cutoff and after all attempts to contact Volunteer have been unsuccessful.

Vehicle Accident and Incident Records (Disposition Authority: DAA-GRS-2016-0011-0017) [GRS 5.4, item 140] [Numeric Folder: 13184]

Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including:

- Standard Form 91, Motor Vehicle Accident Report
- Standard Form 94, Statement of Witness
- Standard Form 95, Claim for Damage, Injury, or Death
- copies of investigative reports (see Exclusion for original investigative reports)

Exclusion: Original formal accident and incident investigation records (covered under GRS 5.6).

DISPOSITION: Temporary. Destroy 3 years after case is closed.

UPDATED ITEM - Vehicle and Equipment Ownership Records and Operation Manuals (Disposition Authority: DAA-GRS-2023-0006-0002) [GRS 5.4, item 030] [Numeric Folder: 13185]

Vehicle and equipment identification, registration, and warranty records. Also manuals and similar documentation, whether produced locally or by the manufacturer.

DISPOSITION: Temporary. Destroy after final action. Transfer of extant records to new owner at sale or donation is authorized.

Vehicle Inspection, Maintenance, and Service Records (Disposition Authority: DAA-GRS-2016-0011-0011) [GRS 5.4, item 090] [Numeric Folder: 13186]

Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes:

- work orders, service and repair requisitions, and logs
- descriptions of provided service and repair, and related papers

Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (DAA-GRS-2013-0003-0001 [GRS 1.1, item 010] covers these).

DISPOSITION: Temporary. Destroy when 3 years old. Transfer of extant records to new owner at sale or donation is authorized.

Overseas Programming & Training Support (OPATS) [Numeric Folder: 14000]

OPATS-WIDE

These records schedule items are applicable to all units within OPATS.

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 14000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 14000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Programming and Training Policy Records (Disposition Authority: DAA-0490-2016-0001-0001) [Numeric Folder: 14001]

Major policy documents that provide programming and training guidance to post staff, trainees, and Volunteers with instructions on how to build quality programs that achieve the Peace Corps' mission of promoting world peace and friendship. Includes policies and procedures for developing project frameworks, designs, plans, and assessments; training designs, programs, and assessments; and monitoring, evaluation, and reporting plans. Also contains policies and procedures for project management and implementation.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to the National Archives 1 year after cutoff.

Monitoring and Evaluation Records (Disposition Authority: DAA-0490-2016-0002-0001) [Numeric Folder: 14002]

Headquarters evaluation specialists in multiple Peace Corps units develop guidance for post staff and Volunteers on monitoring, reporting, and evaluating posts' programs and projects. The guidance shows how to design projects to focus on and align with post needs by applying monitoring and evaluation principles; develop metrics of the efficacy of programs and projects towards their objectives; collect, compare, and analyze sector or post-defined indicators; and report project accomplishments to Headquarters, in-country partners, and other stakeholders. Consists of quick tips, and guidance about how to design, monitor, and evaluate plans, projects, and programs, including workshop materials.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Programming Records (Disposition Authority: DAA-0490-2016-0002-0002) [Numeric Folder: 14003]

Headquarters programming specialists and subject matter experts in multiple Peace Corps units create content that assists Volunteers/Trainees, headquarters staff and post programming and training staff on how to effectively conduct programs and projects that meet the needs of host country priorities. Includes materials such as training content about specific sector or initiative subjects (such as agriculture, youth, or gender equality); lesson plans and activities; project framework guidance; technical workshop materials; and information briefs.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Training Records (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: 14004]

Headquarters subject matter experts create training content for Volunteers/Trainees, headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources. EXCLUDES records that are published.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Copyright Release Agreements (Disposition Authority: DAA-0490-2016-0001-0006) [Numeric Folder: 14005]

Agreements with owners of original materials granting permission for Peace Corps use.

DISPOSITION: Temporary. Cut off at the end of the year of publication. Destroy 75 years after cutoff.

Library Records (Disposition Authority: DAA-GRS-2015-0003-0001) [GRS 4.4, item 010] [Numeric Folder: 14006]

Library administrative records: Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as: strategic plans, project plans, policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material, promotional material describing library services and resources, correspondence and records on library staffing and relations with other libraries, quick guides to library databases and resources, topical or customized reading lists, and bibliographies.

DISPOSITION: Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable.

PCLive (Disposition Authority : DAA-0490-2016-0002-0003) (Electronic Information System)

Headquarters subject matter experts create training content for Volunteers/Trainees, headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources. EXCLUDES records that are published.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Post-Produced Training Materials (Disposition Authority: N1-490-12-7, item 1) [Numeric Folder: 14008]

Training Materials created at Posts. These materials are not limited to, but include materials used in Pre-Service Training (PST), Mid-Service Training (MST), In-Service Training (IST), Close of Service Training (COS).

DISPOSITION: Temporary. Cut off when materials are no longer used. Destroy 2 years after cutoff.

Publication Production Files (Mail, printing, and telecommunication services control records) (Disposition Authority: DAA-GRS-2016-0012-0002) [GRS 5.5, item 020] [Numeric Folder: 14009]

Files can include copyright guidance, order forms, developmental files, templates, graphic designs, field feedback, correspondence with internal Peace Corps offices, and writer/editor standard operating procedures. Records of general day-to-day communication service administration and specific transmission tracking.

DISPOSITION: Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

Training Publications (Disposition Authority: DAA-0490-2016-0001-0005) [Numeric Folder: 14010]

Training materials developed for trainees, Volunteers, and staff by Peace Corps staff and contractors, and published by the Peace Corps. Can include pre-service and in-service training sessions, technical training materials, guides, case studies, lesson plans, handbooks, idea books, and training manuals.

DISPOSITION: Permanent. Cut off in the year the publication is released. Paper copies of records may be destroyed upon quality control of scanned image. Transfer to the National Archives 1 year after cutoff.

Monitoring Reporting and Evaluation (MRE) Unit

Programming and Training Reports (Disposition Authority: N1-490-12-2, item 5) [Numeric Folder: 14101]

Post reports about a project or training, submitted annually to the Regions and Overseas Programming and Training Support (OPATS). These reports include but are not limited to the following: 1) Partnership Reports that include information about the international partners and types of support provided; 2) Project Status Reports (PSRs) that can include information about promising practices, challenges and plans, monitoring and evaluation, project changes, technical training, goals and objectives, a description of each activity and outcome, a report about Peace Corps' goals 2 and 3, a needs assessment, and Volunteer stories; 3) Training Status Reports (TSRs) which describe training models, methods and priorities; descriptions of competency areas and learning objectives; statistics about the achievement of competencies and learning objectives; information about the training materials and resources used; the assessment and evaluation of learning; promising practices and challenges; and planned improvements; and 4) Initiative Reports (IRs)/Cross-Sector Programming Priorities Reports that provide information across all project sectors and relate to Peace Corps-wide initiatives (such as Gender Equality & Women's Empowerment).

DISPOSITION: Permanent. Cut off at end of fiscal year. Transfer to the National Archives 3 years after cutoff.

Significant Reports (Disposition Authority: DAA-0490-2016-0001-0002) [Numeric Folder: 14102]

Annual and semiannual progress reports include quantitative data of accomplishments and qualitative information such as background material, objectives, status of activities, constraints, challenges, corrective actions, successes, and an analysis of how Peace Corps has used USAID resources. Reports currently include initiative and project indicator reports pertaining to Feed the Future activities and accomplishments.

DISPOSITION: Permanent. Cut off at the end of the fiscal year. Transfer legal custody of electronic records to the National Archives 15 years after cutoff. Transfer paper records to the National Archives 15 years after cutoff in 5 year blocks when the latest record in block is 5 years old.

Volunteer Reporting Tool (VRT) System

The Volunteer Reporting Tool (VRT) is the primary reporting mechanism for capturing and reporting data that post staff collects from Volunteers on their activities and the results of their work. Post staff also manage and use that data to provide feedback to Volunteers, assess the progress and planning of their projects, and report project status and results to donor organizations, nongovernmental organizations, host country governmental partners, and to headquarters. The VRT stores and summarizes the results of Volunteer Report Forms (VRFs) for programming and training purposes; and allows

posts to manage projects, partnerships, and other program-related work to support Peace Corps' goals.

1. **Electronic Input (Intermediary Records)** (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 14103.001]

Volunteer Reporting Forms (VRF) are typically sent from post Associate Peace Corps Directors (APCD) or Project Managers (PM) to Volunteers via email or by USB/thumb drives to collect data on a Volunteer's activities and results. Volunteers return the completed VRFs to the APCD/PMs which are then imported into the local version of the VRT system at each post. Volunteers provide the majority of the data in the VRT, but post staff also enters a small amount of data. Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record.

Exclusion: Source records that have been digitized. GRS 4.5, item 010, covers these records.

DISPOSTION: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use.

2. **Master File** (Disposition Authority: DAA-0490-2016-0001-0003) [Numeric Folder: 14103.002]

The VRT master file contains information such as: project frameworks, the types of Volunteer activities, activity summaries, Volunteer to Volunteer collaborations, locations of activity, whether an activity was a mass media activity, whether activity furthered Peace Corps' goals 1, 2, and 3, project work areas, partnering organizations, gender equality and women's empowerment Cross Sector Programming Priorities (CSPP), HIV/AIDS CSPP, technology for development CSPP, volunteerism CSPP, youth as resources CSPP, people with disabilities CSPP, numbers of individuals participating in activities, numbers of service providers, organizational capability strengthening, community-wide activities, activity objectives, and sector indicators.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 15 years after cutoff.

3. **Data File Outputs (Intermediary Records)** (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 14103.003]

The VRT has extensive reporting capabilities, many of which offer the user filters and formatting options. Currently, there are 11 summary reports in the VRT, each with different relevant filters that summarize data collected from Volunteers for post staff. Post staff can also query data freely using a report generator, meaning they can choose any data point from amongst hundreds of data points collected from Volunteers to display in an Excel spreadsheet. The summary reports can be exported

into XML files, PDF files, Word files, TIFF files, MHTML files, CSV files, or Excel spreadsheets. Information from various queries can be used in status reports, and reports to community and country partners. Post staff uses the VRT to complete annual reports for submission to Headquarters, and to prepare reports for local partners. Additionally, headquarters Monitoring, Reporting, and Evaluation staff submits VRT data to the USAID's Feed the Future Monitoring System (FTFMS). Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record.

Exclusion: Source records that have been digitized. GRS 4.5, item 010, covers these records.

DISPOSITION: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use.

4. **Administrative Files (All documentation for temporary electronic records)**
(Disposition Authority: DAA-GRS-2013-0005-0003) [GRS 3.1, item 051] [Numeric Folder: 14103.004]

Administrative management of the Volunteer Reporting Tool (VRT) such as: satisfaction surveys and their responses, feedback from in-country staff, standard operating procedures, user's manuals, monitoring activities and disseminating results, and the VRT charter detailing the purpose, vision, and scope of the VRT. Data administration records and documentation relating to electronic records that are scheduled as temporary.

DISPOSTION: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.

Programming Unit

Project Plans (Disposition Authority: N1-490-12-2, item 4) [Numeric Folder: 14201]

Peace Corps has from one to five projects in each country, forming the basis of that post's program or mission. Project plans describe the 5-year plan for each project (such as health or education or agriculture) in the host country. The project plan includes but is not limited to the background, project description, project timeline, strategy statements, the monitoring and evaluation plan, and task analysis.

DISPOSITION: Temporary. Destroy 7 years after the project is completed or work ceases.

Teaching English as a Foreign Language (TEFL) Certificates (Disposition Authority: DAA-0490-2016-0001-0004) [Numeric Folder: 14202]

The TEFL certificate is earned by Volunteers after successfully completing 120 hours of field-vetted training sessions, practice teaching, and 2 years of supervised teaching experience. The certificate states the type(s) of training completed.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 30 years after cutoff.

Women in Development (WID) Program Mission and Policy File (Disposition Authority: N1-490-92-1, item 2a and 2b)

Records relating to the duties, functions, and purpose of the WID program. The records should be segregated into two subseries: a) Substantive Program Mission and Policy records; and b) Routine Administrative and Reference files. The substantive records have permanent historical value, and the routine files have only temporary value.

- a. **Examples of permanent, substantive Program Mission and Policy records include** but are not limited to "Regional Coordinators Group" Minutes of WID Coordinators Meeting, 1986; Program Records and Written Resources of Other Organizations; "Presentations" (speeches by Denman); and Association for WID, April, 1987. [Numeric Folder: 14203.001]

DISPOSITION: Permanent. Transfer records to the National Archives when a new WID Coordinator is appointed, or every 5 years, whichever occurs first.

- b. **Examples of temporary routine records include** but are not limited to pamphlets, brochures, and related records of organizations dedicated to promoting and assisting with programs for women, such as: reference copies of speeches by Loret Miller Ruppe, Director, PC; film purchase ordering information; "Beyond the Borders," 8 by 8 inch floppy disc and draft text for handbook; "Budget-OTAPS," 1985 proposals for FY 1986-1987; "Financial-PSCS, PRs, Contracts, General information; "SPA/TA – OTAPS, 1985-1987;" Peace Corps, PC 25th Anniversary; OTAPS; ICE; Africa Food

Systems Initiative; Gender Issues in Farming Systems Research; Private Voluntary Organizations (PVO), Non-Government Organizations (NGO), the American Association for International Aging, and the American Association for Retired Persons. [Numeric Folder: 14203.002]

DISPOSITION: Temporary. Review annually and destroy when no longer needed for program administration.

Training Unit

Instructional Systems Design Records (Disposition Authority: DAA-0490-2016-0001-0008)

[Numeric Folder: 14301]

The training unit creates training resources for overseas staff, trainees, and Volunteers by applying instructional methodologies to training content created by various Overseas Programming and Training Support (OPATS) units and overseas staff. Training records consist of instructions on how to acquire the skills and knowledge that assists overseas staff, trainees, and Volunteers to meet the objectives of their given assignments in areas such as diversity, technical, language, and intercultural training. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off the end of the calendar year. Destroy 6 years after cutoff.

Peace Corps Response (PCR) [Numeric Folder: 15000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 15000-001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 15000-001]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Domestic Deployment Records (Emergency Declaration Response) - Substantive

(Disposition Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 15007]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

DISPOSITION: Permanent. Cut off upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Domestic Deployment Records (Emergency Declaration Response) - Administrative

(Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 15008]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, information about national and international travel restrictions or policies, checklists, reports and other supporting documentation used to generate final products.

DISPOSITION: Temporary. Cut off annually. Destroy 7 years after cutoff.

DOVE (Database of Volunteer Experience)

DOVE is the system used to maintain and manage records relating to the application, evaluation, and placement of Peace Corps, Peace Corps Response (PCR), and Global Health Services Partnership (GHSP) Volunteers. DOVE also contains information relating to the recruitment and staging (pre-departure orientation) of Peace Corps Volunteers. Additionally, the system includes overseas posts' requests for Peace Corps Volunteers with specific knowledge, skills, and abilities. For PCR and GHSP Volunteers only, the system contains information about country programming, duties, responsibilities, Volunteer qualifications, supervision and reporting requirements, housing and living conditions, orientation, and safety and security from the Posts. The system also includes records relating to Administrative Separations.

Input (Intermediary Records) (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 15001.001]

Persons interested in becoming Peace Corps Volunteers complete cards or sign-up sheets and the information is entered into DOVE by Peace Corps staff members. Where the capability exists (Tablets or other technology), interested person enter personal information directly into DOVE at recruiting and other events. Information includes name, address (home or school), college/university (if appropriate), major, email address, availability date, knowledge of languages, and information about how they learned about the Peace Corps. Recruitment staff uses the information to follow-up with these individuals and to send them a Peace Corps kit containing additional information about various service locations and job opportunities.

Peace Corps Recruiters enter marketing information regarding particular resources and/or influences that prompted individuals to inquire about the Peace Corps; calendars of recruiting events for each quarter; and information regarding the value of recruiting events.

Applicants (Peace Corps, Peace Corps Response and Global Health Services Partnership Volunteers) enter information into DOVE via a web portal. The application includes personal and background information; and a description of the applicant's knowledge, skills and abilities; motivations for becoming a Volunteer; availability date; and preliminary medical information. Peace Corps Recruiters enter recommendations to further consider a candidate for placement as a Volunteer. Placement staff enters notes from interviews with applicants.

Peace Corps Posts enter information about the knowledge, skills and abilities needed for specific jobs in their areas for each recruiting quarter approximately 12 months prior to the time when the trainees are needed in their country of service. This information is used to develop recruitment strategies and to match potential Peace Corps Volunteers to specific positions.

Peace Corps Volunteers who have accepted an invitation to serve provide additional personal information during the staging (onboarding) process. Information includes next of kin and emergency contacts; changes in status (marital, citizenship, legal, financial, etc.); authorizations for release of financial information; hometown news release authorizations; life insurance designation or waiver; safety and security training agreement; assignment description and Welcome Book receipt confirmations; and Passport and Visa submission confirmations.

For Peace Corps Response and Global Health Services Partnership Volunteers, Posts provide information about country programming, duties, responsibilities, Volunteer qualifications, supervision and reporting requirements, housing and living conditions, orientation, and safety and security; and position descriptions. This information is used to match potential Volunteers to specific positions.

Records relating to Peace Corps Volunteers' Administrative Separation or Resignation In Lieu Of Administrative Separation are entered into DOVE. These records include the

Consideration of Administrative Separation Memorandum; Volunteer response, if any; and the Administrative Separation Memorandum, if written.

DISPOSITION: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use.

1. Master File

- a. **DOVE Volunteer Recruitment and Applicant Records** (Disposition Authority: DAA-0490-2016-0006-0001) [Stored in DOVE]

For all potential Volunteers (Peace Corps, Peace Corps Response, Global Health Service Partnerships), information includes applicant's name, contact information, availability, knowledge of languages, references, overseas suitability assessments, background investigations, evaluator-recruiter interview notes, and invitations to serve. For Peace Corps Volunteers only, also includes an invitation to training, additional personal information, Welcome Book receipt confirmation, and passport and visa submission confirmations, recruitment calendars, strategies, and marketing information.

DISPOSITION: Temporary. Cut off at the end of the fiscal year in which the final action is taken on the application. Destroy 6 years after cutoff.

b. Administrative Separation or "Resignation in Lieu of" Records

Records relating to a Volunteer's involuntary separation or resignation from the Peace Corps. The records are created at posts and some documents are uploaded to DOVE.

- 1) **DOVE Post Administrative Separation Records** (Disposition Authority: DAA-0490-2016-0006-0002) [Stored in DOVE]

Includes evidence supporting the Consideration of Administrative Separation, Memorandum, notes, Volunteer resignations, and any other documentation associated with the Volunteer's Administrative Separation or "Resignation in Lieu of" an Administrative Separation.

Send Administrative Separation records to the Office of General Counsel.

DISPOSITION: Temporary. Cut off at end of the fiscal year in which the Volunteer is separated or resigns. Destroy 5 years after cutoff.

- 2) **DOVE Administrative Separation Records** (Disposition Authority: DAA-0490-2016-0006-0003) [Stored in DOVE]

Includes the official documentation relating to the Volunteer separation process, including Consideration of Administrative Separation Memorandum; Volunteer response, if any; and the Administrative Separation Memorandum, if written.

DISPOSITION: Temporary. Cut off at the end of the fiscal year in which the Volunteer is separated or resigns. Destroy 30 years after cutoff.

c. **Requests for Trainees – DOVE** (Disposition Authority: DAA-0490-2016-0006-0004) [Stored in DOVE]

Information from the Posts about the knowledge, skills and abilities needed for specific jobs in their areas for each recruiting quarter. Includes a description of the project, country conditions, and Volunteer qualifications.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

3. **Outputs (Intermediary Records)** (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 15001.003 and / or Stored in DOVE]

Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record.

Output records include system generated reports (in hardcopy or electronic format), online displays, or summary statistical information, or any combination of the above. Ad hoc and one-time reports are used to manage and monitor program progress. Examples of reports include application processing time by month, number of countries with Peace Corps Volunteers, number of extensions, on-board strength, and applicant diversity.

[**Note:** Summary information is captured in the Peace Corps' Strategic and Performance Plans, Annual Strategic Reviews, Quarterly Strategic Plan Performance Reviews, Performance and Accountability Reports, Integrated Planning and Budget System, and Reports to Congress.]

DISPOSITION: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use.

Fingerprint Cards (Disposition Authority: DAA-0490-2021-0001-0001) [Numeric Folder: 15002]

Fingerprint cards of individuals who apply or serve as Volunteers in the Peace Corps.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

PCrm (Unscheduled) [Electronic Information System]

Records stored within PCrm such as email marketing templates and contact information for leads, contacts, event participants, etc.

DISPOSITION: DO NOT DESTROY

Peace Corps Response Volunteer Files (Disposition Authority: DAA-0490-2016-0005-0003)
[Numeric Folder: 15004]

Administrative records that ensure required documentation is completed. Includes checklists and authorizations covering information about next of kin and emergency contacts; changes in status (marital, citizenship, legal, financial, etc.); authorizations for release of financial information; hometown news release authorizations; life insurance designations or waivers; safety and security training agreements; assignment descriptions; passport and visa submission confirmations, and other administrative records.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

Programming Training Records (Disposition Authority: DAA-0490-2016-0002-0002)
[Numeric Folder: 15005]

Headquarters programming specialists and subject matter experts in multiple Peace Corps units create content that assists Volunteers/Trainees, headquarters staff and post programming and training staff on how to effectively conduct programs and projects that meet the needs of host country priorities. Includes materials such as training content about specific sector or initiative subjects (such as agriculture, youth, or gender equality); lesson plans and activities; project framework guidance; technical workshop materials; and information briefs.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Training Records (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: 15006]

Headquarters subject matter experts create training content for Volunteers/Trainees, headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Regions (AF, EMA, IAP) [Numeric Folder: 8200]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 8200-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example "Memos to the Field"); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as "Country Status Reports," transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to "New Country Assessments", "Re-entry Assessments", "New Country Entry Guide", and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 8200-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Administrative Separation or "Resignation in Lieu of" Records (Disposition Authority: DAA-0490-2016-0006-0003) [Stored in DOVE]

A Volunteer may be administratively separated at the discretion of the Peace Corps. For an Administrative Separation, the Country Director prepares a Consideration of Administrative Separation Memo, the Volunteer may respond, and the Country Director may write an Administrative Separation Memo. These documents are to be uploaded to DOVE. Country Desk Officers aid in the process of getting the documents in DOVE. (See MS 284 Attachment H)

INSTRUCTIONS: When a Volunteer is considered for an Administrative Separation, the Country Desk Officer (CDO) for that post will do the following after the Country Director sends the Consideration of Administrative Separation Memo, Volunteer response, if any, and Administrative Separation Memo, if prepared: locate the Consideration of Administrative Separation Form in DOVE by selecting the Volunteer's Talent Record, clicking on the "Forms" icon, and selecting the Consideration of Administrative Separation Form in the "Select form" dropdown menu. The CDO then clicks "Add Form" and completes the required fields (indicated by red asterisk) of the Consideration of Administrative Separation Form, and then clicks "Save."

IPBS (Integrated Planning and Budget System) / Post Operating Plan (Disposition Authority: N1-490-12-3, item 9) [Numeric Folder: 7.250 - see Region-specific File Plan]

One-year budget plan for post operations.

DISPOSITION: Temporary. Cut off at end of fiscal year. Destroy 6 years after cutoff.

IPBS (Integrated Planning and Budget System) / Post Strategic Plan (Disposition Authority: N1-490-12-2, item 6) [Numeric Folder: 7.250 - see Region-specific File Plan]

Annually, each post creates a three-year plan containing a contextual analysis (current program and accomplishments, goals, and objectives), operating framework, trainee requests, and budget requests.

INSTRUCTIONS: Posts submit to Regions. Regions are responsible for maintaining and transferring to the National Archives. (See disposition.)

DISPOSITION: Permanent. Cut off when Strategic Plan is published.

1. Send copy to Region Director at the end of the fiscal year. RD to send to the National Archives 3 years after cutoff.
2. Post keeps a copy. Destroy 3 years after cutoff.

Memoranda of Understanding (MOUs) (Disposition Authority: N1-490-95-10, item 2) [Numeric Folder: 8200-0001 or 8200-0002 - see Region-specific File Plan]

Documents Peace Corps program agreements with other government entities such as state, local, municipal, federal, and foreign governments; and private sector institutions such as universities, foundations, institutes, and corporations. Programs include training

of Volunteers; recruitment of Volunteers; foreign health care; travel arrangements; manpower and/or supplies for joint projects; field site administrative oversight; etc.

- a. **Record Copy Memoranda of Understanding.** Original signed agreements with government and private sector entities for program development. Arranged alphabetically by name of entity. Dates: 1961-present.

DISPOSITION: Permanent. Cut off at the end of the calendar year when the agreement is concluded. Transfer to the National Archives 20 years after cutoff or when no longer needed for administrative, audit, legal, or other operational purposes, whichever is sooner. [Numeric Folder: 001]

- b. **Administrative Reference Copies of Memoranda of Understanding.** Copies of original Peace Corps agreements used to administer affected programs.

DISPOSITION: Temporary. Destroy when no longer needed for administrative, audit, legal, or other operational purposes. [Numeric Folder: 002]

Monitoring and Evaluation Records (Disposition Authority: DAA-0490-2016-0002-0001)
[Numeric Folder: 14002 - see Region-specific File Plan]

Headquarters evaluation specialists in multiple Peace Corps units develop guidance for post staff and Volunteers on monitoring, reporting, and evaluating posts' programs and projects. The guidance shows how to design projects to focus on and align with post needs by applying monitoring and evaluation principles; develop metrics of the efficacy of programs and projects towards their objectives; collect, compare, and analyze sector or post-defined indicators; and report project accomplishments to Headquarters, in-country partners, and other stakeholders. Consists of quick tips, and guidance about how to design, monitor, and evaluate plans, projects, and programs, including workshop materials.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Programming Training Records (Disposition Authority: DAA-0490-2016-0002-0002)
[Numeric Folder: 14001 - see Region-specific File Plan]

Headquarters programming specialists and subject matter experts in multiple Peace Corps units create content that assists Volunteers/Trainees, headquarters staff and post programming and training staff on how to effectively conduct programs and projects that meet the needs of host country priorities. Includes materials such as training content about specific sector or initiative subjects (such as agriculture, youth, or gender equality); lesson plans and activities; project framework guidance; technical workshop materials; and information briefs.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Read for Life Literacy Records / Routine (Disposition Authority: DAA-0490-2017-0005-0003) [Numeric Folder: see Region-specific File Plan]

Includes program records, such as strategic plans, reports, marketing materials, teacher guides, handbooks, and other materials.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Training Records (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: 14004 - see Region-specific File Plan]

Headquarters subject matter experts create training content for Volunteers/Trainees, and headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Volunteer / Trainee Death or Disappearance Case Files (Disposition Authority: N1-490-95-9, item 1b) [Numeric Folder: see Region-specific File Plan – then transfer to OSS at end of case]

These records consist of applications, cables, correspondence, death certificates, memorandums, property inventories, press clippings, resumes, reports, and other materials relating to the death or disappearance of Volunteers and Trainees.

DISPOSITION: Permanent. Send to Office of Safety and Security after completion of investigation.

Workshops and Conferences (Administrative Training Records) (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: see Region-specific File Plan]

Headquarters subject matter experts create training content for Volunteers/Trainees, and headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Safety and Security (OSS) [Numeric Folder: 16000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 16000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 16000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

UPDATED ITEM - Accident and Incident Records (Disposition Authority: DAA-GRS-2023-0007-0002) [GRS 5.6, item 100] [Numeric Folder: 16001]

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.

Exclusions:

1. Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.
2. Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.

DISPOSITION: Temporary. Destroy 3 years after final action. Longer retention is authorized for business use.

Classified or Controlled Unclassified Document Container Records (Disposition Authority: DAA-GRS-2016-0002-0003) [GRS 4.2, item 032] [Numeric Folder: 16002]

Records relating to classified or controlled unclassified document containers

Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.

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

DISPOSITION: Temporary. Destroy 90 days after last entry on form.

Classified Information Non-Disclosure Agreement Form (SF 312) (Disposition Authority: DAA-GRS-2015-0002-0003) [GRS 4.2, item 121] [Numeric Folder: 16003]

Records maintained separately from the individual's official personnel folder. 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.

DISPOSITION: Temporary. Destroy when 50 years old.

Colocation Waiver (Unscheduled) [Numeric Folder: 16004]

DISPOSITION: DO NOT DESTROY

Communication Security Custodian Acknowledgment of Responsibility / Agreement (Unscheduled) [Numeric Folder: 16005]

DISPOSITION: DO NOT DESTROY

Security Incident Management System (SIMS) (formerly CARS CMS) (Disposition Authority: DAA-0490-2022-0005-0001) [Numeric Folder: 16007.5]

Security Incident Management System (SIMS) is a Peace Corps electronic information system database that stores sensitive unclassified, point-in-time records of reported security incidents and services provided in response to those incidents. SIMS is the source of the agency's official statistics on reported Volunteer/Trainee deaths and disappearances; crimes, such as robbery, sexual assault, and stalking; and vehicular accidents. SIMS also documents other security incidents involving on-duty Peace Corps Staff and Peace Corps property. All security incidents and vehicular accidents reported to any Peace Corps staff must be documented using the Security Incident Management System (SIMS). These records are protected by the Privacy Act.

DISPOSITION: Temporary. Cut off when final action is taken on case or when system is decommissioned. Destroy no sooner than 10 years after cutoff but longer retention is authorized.

Continuity Planning and Related Emergency Planning Files (Disposition Authority: DAA-GRS-2016-0004-0001) [GRS 5.3, item 010] [Numeric Folder: 16007]

Records may include:

- records on continuity and emergency planning administrative and operational activities:
 - o briefing materials and presentations
 - o status reports
 - o informational papers
 - o files documenting policy or plan development, including policy studies
 - o procedures, operational manuals, and related development records
 - o implementation guidance
 - o related correspondence
 - o Memorandum(s) of Understanding
 - o Delegations of Authority/Orders of Succession
- continuity plans or directives and supporting documentation, including but not limited to:
 - o Continuity of Operations (COOP) plans
 - o Devolution Plans
 - o Occupant Emergency Plans (OEP)
 - o Emergency Action Plans (EAP)
 - o Facility Emergency Action Plans (FEAPS)
 - o Records Emergency Plans (REMT)
 - o Disaster Recovery Plans (DRP)
 - o Pandemic Influenza Plans
- records on continuity or emergency tests or exercises, such as:
 - o instructions to members participating in tests
 - o staffing assignments
 - o records of tests of communications and facilities
- evaluative reports on continuity or emergency tests or exercises, such as:

- o result reports
- o readiness reports
- o risk and vulnerability assessments
- o site evaluations and inspections
- o corrective action plans
- o after action reports/improvement plans

Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by the National Archives.

Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.

Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in DAA-GRS-2014-0001-0001 [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.

DISPOSITION: Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable.

Emergency Declaration Response Records – Substantive (Disposition Authority: DAA-0490-2022-0004-0001) [Numeric Folder: 16008.5]

Records documenting the mission activities of the Peace Corps' global response related to declared global emergencies such as the Covid-19 pandemic. Records to include but not limited to: documents coordinating the agency's crisis preparation and response activities, task force and monitoring groups' activities, overseas risk evaluations, and other crisis-related activities documenting all actions taken. Reports include all formal summaries, memos, assessments, responses, and reports by headquarters offices and Posts; and evacuation reports concerning evacuations of overseas posts; planning documents for continuity of work and returning to the office, such as the "Peace Corps Everlasting" document. Examples of the uniqueness of the Peace Corps' response to global emergency events such as COVID-19 include the Virtual Service program and Volunteer FEMA domestic deployment records.

Disposition: Permanent. Cut off records upon resuming normal agency activities. Transfer to the National Archives 15 years after cutoff.

Emergency Declaration Response Records – Administrative (Disposition Authority: DAA-0490-2022-0004-0002) [Numeric Folder: 16008.6]

Records documenting the administrative activities related to all aspects of crisis response and preparedness, to include but not limited to, correspondence, reports and other supporting documentation used to generate final products.

Disposition: Temporary. Cut off annually. Destroy 7 years after cutoff.

Employee Emergency Contact Information (Disposition Authority: DAA-GRS-2016-0004-0002) [GRS 5.3, item 020] [Numeric Folder: 16008]

Records used 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 numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.

Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under DAA-GRS-2016-0012-0002) [GRS 5.5, item 020].

DISPOSITION: Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.

NEW ITEM - Essential or Vital Records Program Records (Disposition Authority: DAA-GRS-2013-0002-0008) [GRS 4.1, item 030] [Numeric Folder: 16009.5]

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

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

(Includes Continuity of Operation (COOP) records.)

DISPOSITION: Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded.

Facility Security Assessment Records

Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies.

Includes:

- facility notes
- inspector notes and reports
- vulnerability assessments

a. All other facility security areas (Disposition Authority: DAA-GRS-2017-0006-0011) [GRS 5.6, item 081] [Numeric Folder: 16009.002]

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

DISPOSITION: Temporary. Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner.

Index to the Personnel Security Case Files (Disposition Authority: DAA-GRS-2017-0006-0026) [GRS 5.6, item 190] [Numeric Folder: 16010]

Lists or reports showing the current security clearance status of individuals.

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Access and Protection Operational Records

Access control records (Disposition Authority: DAA-GRS-2013-0007-0020) [GRS 4.2, item 031] [Numeric Folder: 16011]

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

DISPOSITION: Temporary. Destroy when superseded or obsolete.

Information Security Violations Records (Disposition Authority: DAA-GRS-2017-0006-0027) [GRS 5.6, item 200] [Numeric Folder: 16012]

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.

Exclusion 1: Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records.

Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.

DISPOSITION: Temporary. Destroy 5 years after close of case or final action, whichever occurs sooner.

Insider Threat Administrative and Operations Records (Disposition Authority: DAA-GRS-2017-0006-0028) [GRS 5.6, item 210] [Numeric Folder: 16013]

Records about insider threat program and program activities. Includes:

- correspondence related to data gathering

- briefing materials and presentations business use
- status reports
- procedures, operational manuals, and related development records
- implementation guidance
- periodic inventory of all information, files, and systems owned
- plans or directives and supporting documentation, such as:
 - independent and self-assessments
 - corrective action plans
 - evaluative reports

Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.

DISPOSITION: Temporary. Destroy when 7 years old.

Interagency Security Committee Member Records (Disposition Authority: DAA-GRS-2017-0006-0009) [GRS 5.6, item 070] [Numeric Folder: 16017]

Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:

- agendas
- meeting minutes
- best practice and standards documents
- funding documents for security countermeasures

Exclusion: 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.

DISPOSITION: Temporary. Destroy when 10 years old.

Key and Card Access Accountability Records

Records accounting for keys and electronic access cards.

1. All other facility security areas (Disposition Authority: DAA-GRS-2017-0006-0003) [GRS 5.6, item 021] [Numeric Folder: 16018.002]

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

DISPOSITION: Temporary. Destroy 6 months after return of key.

Legal Environmental Survey (Disposition Authority: N1-490-12-5, item 3) [Numeric Folder: 16019]

Review of legal and investigative capabilities of host country. This document, completed by the Peace Corps Safety and Security Officer (PCSSO) in collaboration with the post, provides information about the legal process in the host country, including the rights and role of crime victims. It also provides details about how host countries treat sexual assaults, and the process of death investigations and forensic examinations.

[**Note:** PCSSOs send record copy to HQ Safety and Security Office.]

DISPOSITION: Temporary. Cut off when updated. Destroy at cutoff.

Local Facility Identification and Card Access Records (Temporary) (Disposition Authority: DAA-GRS-2021-0001-0006) [GRS 5.6, item 130] [Numeric Folder: 16020]

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:

- temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance
- supplemental cards issued to access elevators
- personnel identification records stored in an identity management system for temporary card issuance
- parking permits

DISPOSITION: Temporary. 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.

PCCATS Personnel Security Case Management Database (Unscheduled) [Numeric Folder: 16021.5]

DISPOSITION: DO NOT DESTROY

Peace Corps Safety and Security Officer (PCSSO) Report Files (Disposition Authority: N1-490-12-5, item 4) [Numeric Folder: 16021]

Reports include threat assessments and ad hoc trip reports. A threat assessment is done by PCSSOs every 5 years for each post. The report analyzes the post's safety and security systems and offers financial or programmatic recommendations. In addition to the report, files include correspondence about the report, recommendations, feedback, and changes. Trip reports, written by PCSSOs after reviewing safety and security issues at posts,

contain information about the PCSSO's activities while at post, observations, and recommendations.

DISPOSITION: Temporary. Cut off at the end of the calendar year of report. Destroy 5 years after cutoff.

Personal Identification Credentials and Cards

Records about credential badges (such as smart cards) that are (1) based on the HSPD- 12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (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.

Exclusion: 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.

1. Application and activation records (Disposition Authority: DAA-GRS-2021-0001-0005) [GRS 5.6, item 120] [Numeric Folder: 16022.001]

Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:

- application for identification card
- 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
- lost or stolen credential documentation or police report

Note 2: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.

DISPOSITION: Temporary. Destroy 6 years after the end of an employee or contractor's tenure.

2. Cards (Disposition Authority: DAA-GRS-2017-0006-0017) [GRS 5.6, item 121] [Numeric Folder: 16022.002]

DISPOSITION: Temporary. Destroy after expiration, confiscation, or return.

Personnel Security and Access Clearance Records

Records about security clearances, and other clearances for access to Government facilities or controlled unclassified information, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes:

- questionnaires
- summaries of reports prepared by the investigating agency
- documentation of agency adjudication process and final determination

Note: Information Systems Security Records DAA-GRS-2013-0006-0003 [GRS 3.2, item 030] and DAA-GRS-2013-0006-0004 [GRS 3.2, item 031] covers Information system access records.

1. Records of people not issued clearances (Disposition Authority: DAA-GRS-2021-0001-0007) [GRS 5.6, item 180] [Numeric Folder: 16023.001]

Includes case files of applicants not hired.

Exclusion: Copies of investigative reports are covered in GRS 5.6, item 170 and 171.

DISPOSITION: Temporary. Destroy 1 year after consideration of the candidate ends.

2. Records of people issued clearances (Disposition Authority: DAA-GRS-2021-0001-0008) [GRS 5.6, item 181] [Numeric Folder: 16023.002]

Exclusion: Copies of investigative reports are covered in DAA-GRS-2017-0006-0022 [GRS 5.6, item 170] and DAA-GRS-2017-0006-0023 [GRS 5.6, item 171].

DISPOSITION: Temporary. Destroy 5 years after employee or contractor relationship ends.

Personnel Security Investigative Reports

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.

1. Personnel suitability and eligibility investigative reports (Disposition Authority: DAA-GRS-2017-0006-0022) [GRS 5.6, item 170] [Numeric Folder: 16024.001]

DISPOSITION: Temporary. Destroy in accordance with the investigating agency instruction.

2. Reports and records created by agencies conducting investigations under delegated investigative authority (Disposition Authority: DAA-GRS-2017-0006-0023) [GRS 5.6, item 171] [Numeric Folder: 16024.002]

DISPOSITION: Temporary. Destroy in accordance with delegated authority agreement or memorandum of understanding.

Facility Security Management Operations Records (Routine Security Operations Records)
(Disposition Authority: DAA-GRS-2021-0001-0003) [GRS 5.6, item 090] [Numeric Folder: 16025]

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:

- control center key or code records
- registers of patrol and alarm services
- service reports on interruptions and tests
- emergency alarm contact call lists
- temporary identification cards
- correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date
- round and perimeter check reports, including facility patrol tour data
- surveillance records
 - o recordings of protective mobile radio transmissions
 - o video surveillance recordings
 - o closed circuit television (CCTV) records
- door slip summaries

Exclusions: The following records are excluded and must be scheduled on agency-specific schedules:

1. Records related to federal law enforcement and federal correctional activities, such as body camera recordings and criminal surveillance records. Federal law enforcement includes border and transportation security and immigration and naturalization services.
2. Records related to accident or incident investigations (see note 1 below). Surveillance recordings that include accidents or incidents may be destroyed using this disposition authority provided a copy is retained in the accident or incident investigation records.

Note 1. DAA-GRS-2023-0007-0002 - Item 100 covers records of accidents and incidents.
Note 2. DAA-GRS-2017-0006-0014 Item 110 and DAA-GRS-2017-0006- 0015 Item 111 cover records of visitor processing.

DISPOSITION: Temporary. Destroy when 30 days old.

Response Quality Survey (RQS) - Survey Instrument and data (Qualtrics) (Unscheduled)
[Numeric Folder: 16027.5]

DISPOSITION: DO NOT DESTROY

Response Quality Survey (RQS) - SOPs, instructions, administrative, etc. (Unscheduled)
[Numeric Folder: 16027.6]

DISPOSITION: DO NOT DESTROY

Response Quality Survey (ROS) - Reports (Unscheduled) [Numeric Folder: 16027.7]

DISPOSITION: DO NOT DESTROY

Security Management Administrative Records (Disposition Authority: DAA-GRS-2021-0001-0001) [GRS 5.6, item 010] [Numeric Folder: 16027]

Records about routine facility security, protective services, and personnel security program. Includes:

- administrative correspondence
- reports, including status reports on cleared individuals
- staffing level and work planning assessments, such as guard assignment records
- administrative subject files

DISPOSITION: Temporary. Destroy when 3 years old.

Security Incident Questionnaire (SIQ) Data Collection System (Unscheduled) [Numeric Folder: 16028.5]

DISPOSITION: DO NOT DESTROY

Security Incident Questionnaire (SIQ) SOPs, Survey, Documentation, Training Data (Unscheduled) [Numeric Folder: 16028.6]

DISPOSITION: DO NOT DESTROY

Statistical Report of Crimes Against Volunteers (Disposition Authority: DAA-0490-2013-0002-0002) [Numeric Folder: 16028]

Annual report produced by the Office of Safety and Security (headquarters), documenting information about the types of assaults and in-service deaths or disappearances, and the demographics of the victims, including strategies to reduce risks to Volunteers. The data comes from the Security Incident Management System (SIMS). From 2001 to 2010, this report was titled “Annual Report of Volunteer Safety.”

DISPOSITION: Permanent. Cut off at end of the calendar year in which the report is issued. Transfer to the National Archives 15 years after cutoff.

Training Records (Disposition Authority: DAA-0490-2016-0002-0003) [Numeric Folder: 16029]

Headquarters subject matter experts create training content for Volunteers/Trainees, headquarters staff, overseas staff, and recruiting staff on a variety of administrative and programmatic topics. Records can include syllabi, agendas, workshop materials, session plans, training-the-trainer materials, visual aids, handbooks, coaching materials, instructions, participant assessments, and electronic training resources.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Visitor Processing Records / All other facility security areas (Disposition Authority: DAA-GRS-2017-0006-0015) [GRS 5.6, item 111] [Numeric Folder: 16032.002]

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.

Note: Information Access and Protection Records DAA-GRS-2016-0002-0002 [GRS 4.2, item 030] covers requests and authorizations for individuals to have access to classified files.

DISPOSITION: Temporary. Destroy when 2 years old.

Volunteer Safety and Overseas Security (SOPs) (Unscheduled) [Numeric Folder: 16033]

DISPOSITION: DO NOT DESTROY

Volunteer Death Records (Disposition Authority: N1-490-95-9, item 1) [Numeric Folder: 16034]

These records consist of applications, cables, correspondence, death certificates, memorandums, property inventories, press clippings, resumes, reports, and other materials relating to the death or disappearance of Volunteers and Trainees.

DISPOSITION: Permanent. Transfer to the National Archives when 30 years old.

Strategic Information, Research, and Planning (OSIRP) [Numeric Folder: 17000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 17000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

Note: Includes global reports such as the Annual Volunteer Survey (Global Tabular Report), the Global Counterpart Survey Summary Report, **Host Country Staff Survey, Annual Performance Plan/Report (APP), Peace Corps Strategic Plan, Annual Performance Review (APR)**, special studies, Bi-annual Open Government Plans, and Country Portfolio Reviews.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 17000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

Note: Includes region- and country-specific reports such as the Host Country Staff Survey Report and the Host Country Impact Study reports.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Office of Strategic Information, Research, and Planning (OSIRP) Records / Raw Data Files
(Disposition Authority: DAA-0490-2017-0004-0003) [Numeric Folder: 17003]

SPSS or other raw data files and data sets extracted from vendor or agency databases. Records contain information about Volunteers, posts, host country counterparts, and headquarter offices. Also includes spreadsheets, charts, graphs, and tables.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 10 years after cutoff or when no longer needed for business purposes.

Planning and Analysis Records

Significant plans, evaluations, studies, and reports about the Peace Corps, produced at the direction of the Director or Congress. Includes "The Peace Corps: A Comprehensive Agency Assessment" and "Five-Year Rule Analysis."

1. Significant Planning and Analysis Records (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 17004]

Final plans, evaluations, studies, and reports.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to the National Archives 15 years after cutoff.

2. Working Papers (Disposition Authority: DAA-0490-2021-0003-0002)
[Numeric Folder: 17005]

Drafts and other working papers as well as statistical or other background information used to complete significant final plans, evaluations, studies, and reports.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff.

Office of Victim Advocacy (OVA) [Numeric Folder: 18000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial

(Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 18000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative

(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 18000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Victim Advocate Case Files (Disposition Authority: DAA-0490-2013-0003-0001) [Numeric Folder: 18001]

Files contain a copy of the Consolidated Incident Reporting System (CIRS) report for violent crimes, detailing information on the incident that took place (type of crime, date

of crime, possible involvement of law enforcement, possible forensic exam); the paper intake form, which captures a snapshot of the incident; name of the victim advocate assigned to the case, and steps taken by the victim and post staff. The file also contains contact information for the victim and any handwritten notes taken by the assigned victim advocate.

DISPOSITION: Temporary. Cut off at the end of the calendar year in which the case was closed. Destroy 10 years after cutoff.

Volunteer Recruitment and Selection (VRS) [Numeric Folder: 19000]

Associate Director / Deputy Director (or Equivalent) Program Records - Substantial (Disposition Authority: DAA-0490-2021-0003-0001) [Numeric Folder: 19000-0001]

Substantial files pertaining to the mission of Peace Corps program offices (HR, Volunteer Recruitment and Selection, et. al); formulation and development of policies, allocations of resources including domestic and international deployments, and other records directing the activities of sub-offices and Posts. Includes interim and final policies; official memoranda and correspondence signed by the Associate Director (for example “Memos to the Field”); Memorandums of Agreement, Memorandums of Cooperation (unless specifically noted in another Peace Corps schedule), strategic plans, committee charters, statistical analyses, notifications summarizing new policies or directives, Senior Staff meeting minutes and agendas (AD/RD meetings and Field Advisory Board meetings, etc.), and Volunteer recruitment strategies.

Also includes reports such as but not limited to: annual, bi-annual, and ad hoc reports such as “Country Status Reports,” transition reports, international crisis reports on civil or natural disasters, and recommendations to Senior Management.

Agency assessments and evaluations including but not limited to “New Country Assessments”, “Re-entry Assessments”, “New Country Entry Guide”, and Internal Management Assessments.

NOTE: DRAFT DOCUMENTS ARE ACCEPABLE TO SHOW DEVELOPMENT OF POLICY OR PROCESS / RESEARCH THAT LEADS TO THE FINAL APPROVED VERSION OF PERMANENT RECORDS.

DISPOSITION: Permanent. Cut off at the end of the incumbent's tenure. Transfer to the National Archives 15 years after cutoff.

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 19000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

DOVE (Database of Volunteer Experience)

DOVE is the system used to maintain and manage records relating to the application, evaluation, and placement of Peace Corps, Peace Corps Response (PCR), and Global Health Services Partnership (GHSP) Volunteers. DOVE also contains information relating to the recruitment and staging (pre-departure orientation) of Peace Corps Volunteers. Additionally, the system includes overseas posts' requests for Peace Corps Volunteers with specific knowledge, skills, and abilities. For PCR and GHSP Volunteers only, the system contains information about country programming, duties, responsibilities, Volunteer qualifications, supervision and reporting requirements, housing and living conditions, orientation, and safety and security from the Posts. The system also includes records relating to Administrative Separations.

Input (Intermediary Records) (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 19003.001]

Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record.

Persons interested in becoming Peace Corps Volunteers complete cards or sign-up sheets and the information is entered into DOVE by Peace Corps staff members. Where the capability exists (Tablets or other technology), interested person enter personal information directly into DOVE at recruiting and other events. Information includes name, address (home or school), college/university (if appropriate), major, email address, availability date, knowledge of languages, and information about how they learned about the Peace Corps. Recruitment staff uses the information to follow-up with these individuals and to send them a Peace Corps kit containing additional information about various service locations and job opportunities.

Peace Corps Recruiters enter marketing information regarding particular resources and/or influences that prompted individuals to inquire about the Peace Corps; calendars of recruiting events for each quarter; and information regarding the value of recruiting events.

Applicants (Peace Corps, Peace Corps Response and Global Health Services Partnership Volunteers) enter information into DOVE via a web portal. The application includes personal and background information; and a description of the applicant's knowledge, skills and abilities; motivations for becoming a Volunteer; availability date; and preliminary medical information. Peace Corps Recruiters enter recommendations to further consider a candidate for placement as a Volunteer. Placement staff enters notes from interviews with applicants.

Peace Corps Posts enter information about the knowledge, skills and abilities needed for specific jobs in their areas for each recruiting quarter approximately 12 months prior to the time when the trainees are needed in their country of service. This information is used to develop recruitment strategies and to match potential Peace Corps Volunteers to specific positions.

Peace Corps Volunteers who have accepted an invitation to serve provide additional personal information during the staging (onboarding) process. Information includes next of kin and emergency contacts; changes in status (marital, citizenship, legal, financial, etc.); authorizations for release of financial information; hometown news release authorizations; life insurance designation or waiver; safety and security training agreement; assignment description and Welcome Book receipt confirmations; and Passport and Visa submission confirmations.

For Peace Corps Response and Global Health Services Partnership Volunteers, Posts provide information about country programming, duties, responsibilities, Volunteer qualifications, supervision and reporting requirements, housing and living conditions, orientation, and safety and security; and position descriptions. This information is used to match potential Volunteers to specific positions.

Records relating to Peace Corps Volunteers' Administrative Separation or Resignation In Lieu Of Administrative Separation are entered into DOVE. These records include the Consideration of Administrative Separation Memorandum; Volunteer response, if any; and the Administrative Separation Memorandum, if written.

DISPOSITION: Temporary. Destroy upon creation or update of the final record, or when no longer needed for business use.

1. Master File

- a. **DOVE Volunteer Recruitment and Applicant Records** (Disposition Authority: DAA-0490-2016-0006-0001) [No Numeric Folder – data in electronic information system only]

For all potential Volunteers (Peace Corps, Peace Corps Response, Global Health Service Partnerships), information includes applicant's name, contact information, availability, knowledge of languages, references, overseas suitability assessments, background investigations, evaluator-recruiter interview notes, and invitations to serve. For Peace Corps Volunteers only, also includes an invitation to training, additional personal information, Welcome Book receipt confirmation, and passport and visa submission confirmations, recruitment calendars, strategies, and marketing information.

DISPOSITION: Temporary. Cut off at the end of the fiscal year in which the final action is taken on the application. Destroy 6 years after cutoff.

b. DOVE Administrative Separation or "Resignation in Lieu of" Records

Records relating to a Volunteer's involuntary separation or resignation from the Peace Corps. The records are created at posts and some documents are uploaded to DOVE.

- 1) **Post Administrative Separation Records - DOVE** (Disposition Authority: DAA-0490-2016-0006-0002) [Numeric Folder: 19003.002b1]

Includes evidence supporting the Consideration of Administrative Separation, Memorandum, notes, Volunteer resignations, and any other documentation associated with the Volunteer's Administrative Separation or "Resignation in Lieu of" an Administrative Separation.

Send Administrative Separation records to the Office of General Counsel.

DISPOSITION: Temporary. Cut off at end of the fiscal year in which the Volunteer is separated or resigns. Destroy 5 years after cutoff.

- 2) **DOVE Administrative Separation Records** (Disposition Authority: DAA-0490-2016-0006-0003) [Numeric Folder: 19003.002b2]

Includes the official documentation relating to the Volunteer separation process, including Consideration of Administrative Separation Memorandum; Volunteer response, if any; and the Administrative Separation Memorandum, if written.

DISPOSITION: Temporary. Cut off at the end of the fiscal year in which the Volunteer is separated or resigns. Destroy 30 years after cutoff.

- c. **Requests for Trainees - DOVE** (Disposition Authority: DAA-0490-2016-0006-0004) [Numeric Folder: 19003.002c]

Information from the Posts about the knowledge, skills and abilities needed for specific jobs in their areas for each recruiting quarter. Includes a description of the project, country conditions, and Volunteer qualifications.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

3. **Outputs (Intermediary Records)** (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 19003.003]

Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. Output records include system generated reports (in hardcopy or electronic format), online displays, or summary statistical information, or any combination of the above. Ad hoc and one-time reports are used to manage and monitor program progress. Examples of reports include application processing time by month, number of countries with Peace Corps Volunteers, number of extensions, on-board strength, and applicant diversity.

Note: Summary information is captured in the Peace Corps' Strategic and Performance Plans, Annual Strategic Reviews, Quarterly Strategic Plan Performance Reviews, Performance and Accountability Reports, Integrated Planning and Budget System, and Reports to Congress.

DISPOSITION: Temporary. Destroy upon creation or update of the final record.

VRS - Office of Analysis and Evaluation (OAE)

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative
(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 19000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

VRS - Placement

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative
(Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 19000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Background Investigations - Personnel security investigative reports / Reports and records created by agencies conducting investigations under delegated investigative authority
(Disposition Authority: DAA-GRS-2017-0006-0023) [GRS 5.6, item 170] [Numeric Folder: 19201.5]

Investigations initiated and assembled by Defense Counter Intelligence & Security Agency. The original file is owned by DCSA.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy after 6 years.

Fingerprint Cards (Disposition Authority: DAA-0490-2021-0001-0001) [Numeric Folder: 19201]

Fingerprint cards of individuals who apply or serve as Volunteers in the Peace Corps.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 6 years after cutoff.

Guide to Placement and Trainee Request Handbook (Disposition Authority: N1-490-95-11, item 1) [Numeric Folder: 19202]

The Trainee Request Handbook provides an analysis of the programming and supply trends affecting each of the assignment areas for which the Peace Corps has programs and recruits Volunteers. Based on recruiting statistics and applicant pool, it provides information to the posts on the type of Volunteer they are likely to receive based on the type of position for which they are recruiting. The Handbook is issued once a year in the fall.

DISPOSITION: Temporary. Cut off upon issuance of the new handbook. Destroy 6 years after cutoff.

Staging Sign-in Sheets (Disposition Authority: Unscheduled) [Numeric Folder: 19205]

Paper Sign-in sheets that trainees were required to sign when arriving for staging. Verifying that trainees had read and understood the Volunteer handbook and acknowledged the rules and regulations of Peace Corps.

DISPOSITION: DO NOT DESTROY

VRS - Recruitment

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 19000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

Recruitment Records (Disposition Authority: DAA-0490-2016-0004-0002) [Numeric Folder: 19304]

Records relating to Peace Corps' Volunteer recruitment efforts. Records include headquarters' and regional recruiting offices' promotional materials, campaign guidance, planning, and event files, as well as college and university partnerships files.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

VRS - University Programs (UP)

Associate Director / Deputy Director (or Equivalent) Program Records - Administrative (Disposition Authority: DAA-0490-2021-0003-0002) [Numeric Folder: 19000-0002]

Records relating to routine program and administrative activities. Records include drafts of formal and routine correspondence, administrative memoranda (such as Country Director selection memos), interim and administrative reports (agency dashboards; New Hire report, etc.), and financial records; administrative meeting minutes and agendas, background or briefing materials, talking points, promotional materials; working files; and administrative cables from the Department of State.

DISPOSITION: Temporary. Cut off at the end of the incumbent's tenure. Destroy 7 years after cutoff.

University Programs (UP) Files - High Level (Disposition Authority: DAA-0490-2019-0002-0001) [Numeric Folder: 19401]

Records include policy decisions, program policies, strategic plans, annual reports, Memorandums of Agreement, Memorandums of Cooperation (except those specified elsewhere), program brochures, notifications of college and university program terminations, and other high-level records pertaining to the creation and operation of the University Programs Partnership programs.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to inactive storage when no longer needed for immediate business use. Transfer electronic records to the National Archives for pre-accessioning 5 years after cutoff. Transfer to the National Archives 15 years after cutoff.

University Programs (UP) Files - Routine (Disposition Authority: DAA-0490-2019-0002-0002) [Numeric Folder: 19402]

All other materials (not included in Item 1 - High-Level) relating to the day to day operations of the University Programs Partnership programs. Includes, but not limited to routine correspondence, site visits, conference materials, guidance documents, administrative reports, marketing plans, application files, university publications, and monthly updates.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Transfer to inactive storage when no longer needed for current business use. Destroy 7 years after cutoff.

Master's International and Fellows Newsletters (Disposition Authority: DAA-0490-2014-0004-0005) [Numeric Folder: 19403]

Newsletters distributed to the Masters International and/or Fellows communities, including Peace Corps Volunteers, Returned Peace Corps Volunteers, and current and former Masters International and Fellows participants. The newsletters may provide information about headquarters activities, profile Masters International or Fellows participants, or describe university programs.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

Master's International and Fellows Photographs and Authorizations (Disposition Authority: DAA-0490-2014-0004-0006) [Numeric Folder: 19404]

Photographs of Masters International or Fellows Program participants and the authorizations to use those photographs. These photographs may be used in newsletters or for other marketing purposes.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 50 years after cutoff.

Recruitment Records (Disposition Authority: DAA-0490-2016-0004-0002) [Numeric Folder: 19409]

Records relating to Peace Corps' Volunteer recruitment efforts. Records include headquarters' and regional recruiting offices' promotional materials, campaign guidance, planning, and event files, as well as college and university partnerships files.

DISPOSITION: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

Common Office Records

Administrative Records - Miscellaneous (Disposition Authority: DAA-GRS-2016-0016-0001)
[GRS 5.1, item 010] [**Numeric Folder: 1.000**]

Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

DISPOSITION: Temporary. Destroy when business use ceases.

Budget Administration Records held in any office (not responsible for preparing agency's budget proposal to the White House) (Disposition Authority: DAA-GRS-2015-0006-0007)
[GRS 1.3, item 050] [**Numeric Folder: 2.001**]

Records documenting administration of budget office responsibilities. Includes:

- correspondence relating to routine administration, internal procedures, and other day-to-day matters
- records monitoring expenditures under approved budget allocations
- records of financial controls maintenance
- spreadsheets and databases tracking income, expenditures, and trends
- work planning documentation
- cost structure and accounting code lists
- feeder and statistical reports
- related correspondence

DISPOSITION: Temporary. Destroy when 3 years old.

Budget Preparation Background Records held in any office (not responsible for preparing agency's budget proposal to the White House) (Disposition Authority: DAA-GRS-2015-0006-0006) [GRS 1.3, item 041] [**Numeric Folder: 2.002**]

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.

DISPOSITION: Temporary. Destroy when 2 years old.

Delegation of Authority (Financial Transaction Records...) (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010] [**Numeric Folder: 3.000**]

Chronological series includes materials pertaining to the issuance of delegation of authority to key Peace Corps officials and line of succession to principal positions within the agency. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.

DISPOSITION: Temporary. Cut off when delegation is canceled or superseded; same for lines of succession. Destroy 6 years after cutoff.

Financial Transaction Records [**Numeric Folder: 4.001**]

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- contracts (**NOT PSC CONTRACTS – those are 30-year records**)
- requisitions
- purchase orders
- interagency agreements
- printing requisitions to the Government Printing Office
- memoranda of agreement specifying a financial obligation

- solicitations/requests for bids, quotations or proposals for contracts and competitive grants
- proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- contingent fee justifications
- legal and financial instruments such as bond and surety records
- data submitted to the Federal Procurement Data System (FPDS)
- FAIR Act (A-76) records linked directly to specific procurement actions
- credit card/purchase card/charge card statements and supporting documentation
- vendor tax exemption records
- invoices
- leases
- recurring financial transactions such as utility and communications invoices
- documentation of contractual administrative requirements submitted by contractors such as status reports
- correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

- records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
 - cash register transaction records
 - credit card and charge cards receipts
 - records documenting deposits
 - records documenting allocation of fees to funds/accounts
 - deposit lists and logs
 - customer orders
 - revolving fund records
- fee and fine collection records
- garnishments
- Sale of excess and surplus personal property
- fee or rate schedules and supporting documentation
- out-leases of Federal property
- debt collection files and cash receipts
- write-offs
- copies of checks
- payment billing coupons
- letters from lenders
- payment records
- money orders

- journal vouchers
- collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities.

Accounting records include those such as:

- accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
 - statements of transactions
 - statements of accountability
 - collection schedules and vouchers
 - disbursement schedules and vouchers
- vouchers
- certificates of closed accounts
- certificates of periodic settlements
- general funds files
- general accounting ledgers
- appropriation, apportionment, and allotment files
- posting and control files
- bills of lading
- transportation and travel requests, authorizations, and vouchers
- commercial freight vouchers
- unused ticket redemption forms

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to the National Archives.

Note 2: 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.

1. Official record held in the office of record (Disposition Authority: DAA-GRS-2013-0003-0001) [GRS 1.1, item 010]

DISPOSITION: Temporary. Destroy 6 years after final payment or cancellation.

Financial Management and Reporting Administrative Records (Disposition Authority: DAA-GRS-2016-0013-0001) [GRS 1.1, item 001] [**Numeric Folder: 5.000**]

Records related to managing financial activities and reporting. Records include:

- correspondence

- subject files
- feeder reports
- workload management and assignment records

DISPOSITION: Temporary. Destroy when 3 years old.

General Information Request Files (Transitory Records) (Disposition Authority: DAA-GRS-2022-0009-0001) [GRS 5.2, item 010] [**Numeric Folder: 6.000**]

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.

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Input Records (See: Working Files)

Intermediary Records (See: Transitory and Intermediary Records)

Interview Records (Disposition Authority: DAA-GRS-2014-0002-0008) [GRS 2.1, item 090] [**Numeric Folder: 7.000**]

Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:

- copies of records in the job vacancy case file (item 050 and 051)
- notes of interviews with selected and non-selected candidates
- reference check documentation

Contact OCIO to restrict this folder to only those staff that are authorized and have a need-to-know to access these records. These records contain sensitive or PII information.

DISPOSITION: Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a nonselection, or final settlement of any associated litigation.

IPBS (Integrated Planning and Budgeting System) (See: Budget Preparation Background Records held in any office (not responsible for preparing agency's budget proposal to the White House))

Meeting Minutes (Disposition Authority: DAA-GRS-2016-0016-0001) [GRS 5.1, item 010] [**Numeric Folder: 7.500**]

Notes of office meetings documenting past, current, and future activities and issues.

DISPOSITION: Temporary. Cut off at end of calendar year. Destroy three years after cutoff.

Non-Mission Employee Training Program Records (Disposition Authority: DAA-GRS-2016-0014-0001) [GRS 2.6, item 010] [**Numeric Folder: 8.000**]

Records about planning, assessing, managing, and evaluating an agency's training program:

- plans, reports and program evaluations
- organizational and occupational needs assessments
- employee skills assessments
- employee training statistics
- notices about training opportunities, schedules, or courses
- mandatory training tracking and reporting files
- logistics and coordination documents
- Authorization, Agreement and Certification of Training (SF-182) and similar records
- registration forms, employee attendance records
- syllabi, presentations, instructor guides, handbooks, and lesson plans
- reference and working files on course content
- other course materials, such as presentations and videos
- student, class, or instructor evaluations

DISPOSITION: Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate.

Non-Recordkeeping Copies of Electronic Records (Disposition Authority: DAA-GRS-2016-0016-0002) [GRS 5.1, item 020] [**Numeric Folder: 9.000**]

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.

(Basically, any copy other than the final version once that final version is approved and saved in the appropriate folder.) This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-records 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.

Note 2: 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.

Note 3: Identify recordkeeping copy and save to an approved recordkeeping system before destroying.

DISPOSITION: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving.

Records of Non-Mission Related Internal Agency Committees (Disposition Authority: DAA-GRS-2016-0016-0003) [GRS 5.1, item 030] [**Numeric Folder: 10.000**]

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:

- meeting minutes, summaries, agendas, and transcripts
- reports and studies
- membership records
- correspondence, mailing, and distribution records

Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records.

Note: Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.

DISPOSITION: Temporary. Destroy when business use ceases.

NEW ITEM - Social Media Records (All offices except External Affairs) (Disposition Authority: DAA-GRS-2016-0005-0002) [GRS 6.4, item 020] [**Numeric Folder: 11.000**]

Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:

- agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting.

DISPOSITION: Temporary. Destroy when 90 days old.

INSTRUCTION: If posted social media material qualifies as a record, then the Peace Corps program owner / office posting the content is responsible for ensuring the record is captured and retained in the appropriate shared drive / server location for that program office.

Supervisors' Personnel Files (Disposition Authority: DAA-GRS-2017-0007-0012) [GRS 2.2, item 080] [**Numeric Folder: 12.000**]

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.

Contact OCIO to restrict this folder to only those staff that are authorized and have a need-to-know to access these records. These records contain sensitive or PII information.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

DISPOSITION: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.

Transitory and Intermediary Records (Disposition Authority: DAA-GRS-2022-0009-0001 and DAA-GRS-2022-0009-0002) [GRS 5.2, item 010 and 020] [**Numeric Folder: 13.000**]

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 **OR** records that exist for the sole purpose of creating a subsequent record (covered under other GRS or PC records schedules).

Records include, but are not limited to:

- messages coordinating schedules, appointments, and events

- transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments
- received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees
- messages received from agency distribution lists or listservs
- “to-do” or task lists and assignments

DISPOSITION: Temporary. Destroy when no longer needed for business use.

Validation Records for Digitized Temporary Records (Digitization Project Records/ Documentation for digitizing temporary records) (Disposition Authority: DAA-GRS-2022-0010-0001) [GRS 4.5, item 010] [**Numeric Folder: 13.500**]

NOTE: Staff must follow [NARA regulations for digitizing temporary records](#)

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:

- standards and procedures records used to document that the agency has met validation process requirements, such as:
 - o quality management plans describing quality assurance objectives
 - o quality control (QC) protocols
 - o format-specific instructions
- records documenting validation actions, such as:
 - o equipment calibration and test reports
 - o image quality testing results
 - o QC plans, procedures, and reports

Exclusion 1: Validation records for digitized permanent records.

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.

Exclusion 3: Digital surrogates (the newly digitized records); the appropriate current, approved agency specific records schedule or applicable GRS item covers these.

Legal citation: 36 CFR Part 1236.34

Store (save as a PDF) with scanned records stating details about scanning process such as: when records scanned (date) and any important information about scanning (DPI, Quality Control on finished documents, etc.)

DISPOSITION: Temporary. Destroy the validation documentation associated with each record that has been digitized when the records digitized using that validation process are destroyed, but longer retention is authorized if required for business use.

NEW ITEM - Websites (External and Internal) (Disposition Authority: DAA-0490-2024-0004-0002) [Numeric Folder: 14.000]

External and internal websites disseminate information about the agency to the public and staff about activities, events, announcements, press releases, and information that may be useful to employees such as benefits and policy. Posted material is for informational purposes only. Both external and internal sites contain duplicate information captured in other agency recordkeeping systems. Information posted to Peace Corps websites may include copies of records related to agency mission and activities; annual reports; press releases; policies; and public services; recruitment; general notices of events; copies of photographs, videos, charts, and graphics; and information about the workplace and employee benefits. This item covers site content and site management that are not covered by other schedules and/or the GRS and applies to the internet and intranet of the Peace Corps.

DISPOSITION: Temporary. Cut off when content is replaced on website. Destroy content when no longer needed for reference.

INSTRUCTION: If posted material qualifies as a record, then the Peace Corps program owner / office posting the content is responsible for ensuring the record is captured and retained in the appropriate shared drive / server location for that program office.

Working Files / Input Source / Intermediary Files (Disposition Authority: DAA-GRS-2022-0009-0002) [GRS 5.2, item 020] [Numeric Folder: 15.000]

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.
- audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
- dictation recordings
- input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:
 - hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)

- electronic input source records such as transaction files or intermediate input/output files
- ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report
- data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2)

Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.

Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):

- files created only for public access purposes
- summarized information from unscheduled electronic records or inaccessible permanent records
- data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original
- data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012)

Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.

DISPOSITION: Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use.

Frequently Asked Questions (FAQ)

What are the benefits of records management?

- Contributes to the smooth operation of Peace Corps programs by making the information needed for decision making and operations readily available
- Meets statutory and regulatory requirements including archival, audit, and oversight activities
- Provides protection and support in litigation
- Protects the rights of the agency, its employees, and its customers
- Provides continuity in the event of a disaster
- Protects records from inappropriate and unauthorized access
- Improves office efficiency and productivity
- Supports and documents historical and other research
- Frees up office space for other purposes by moving inactive records to storage facilities

What is the definition of a Federal record?

- Must be recorded
- May be any media or any format
- Created or received in the course of agency business
- Preserved or appropriate to be preserved
- Shows activity of government
- Has informational value

What are non-records?

- Extra copies of records
- Materials used for reference purposes only
- Information from the internet
- Stocks of publications
- Library and museum materials
- Personal papers
- Other materials that do not meet the definition of a Federal record

Which is the recordkeeping copy? Paper or electronic?

Only one copy of a record is the “recordkeeping copy.” Unless the record is created only with pen/pencil and paper, all records today are created electronically and must be managed electronically. If created in paper, scan and saved electronically, whenever possible. Store recordkeeping copy in appropriate shared drive folder.

Are emails, texts, or short message service (SMS) messages records? If so, how do I deal with them?

Yes, emails, texts, or short message service (SMS) messages can be records if they meet the definition of a Federal record. A complete copy of these records must be forwarded to an official electronic messaging account of the official or staff member no later than 20 days after the original creation or transmission of the record. The OCIO at Headquarters is responsible for managing all email and calendar records for Posts and Headquarters.

What emails, texts, or short message service (SMS) messages are not considered records?

Emails, texts, or short message service (SMS) messages that do not contain substantial information or show the activity of the government are not records. There are many types of messages that are non-records, such as personal messages, HQ-All, PC-Global, and meeting invitations. These types of messages should be deleted as soon as they are no longer needed.

What do I do with Peace Corps-related email, texts, or short message service (SMS) messages records created or received on a personal account?

Emails, texts, or short message service (SMS) messages from or to personal or non-official accounts in which official agency business is conducted are government records. A complete copy of these records must be forwarded to an official electronic messaging account of the official or staff member no later than 20 days after the original creation or transmission of the record.

What if I have records from a predecessor or someone whose office or desk I inherit?

Although these records were not created by you, you have the responsibility to properly maintain them or send paper records to off-site storage if they have not met their legally-approved retention period. If they have met their approved retention period, it is your responsibility to work with the Records Management Office to accession the records to the National Archives for PERMANENT records or destroy them if they are temporary records.

Where can I store paper records?

If paper records have not yet reached their disposition date but are not needed in the office for business reasons, they can be stored at an approved off-site storage facility. Records can be stored off-site until they are eligible for destruction or permanently accessioned into the holdings of the National Archives. For more information, please contact the Records Management Office at Records@peacecorps.gov. Electronic records must be stored in an agency-approved manner, such as on agency server space (the shared drive).

When and how may I destroy temporary records held by my office?

You may destroy temporary records only if they have met their records schedule disposition requirements. If you are unsure of this check with your office Records Point of Contact. If the records belong to a Privacy Act System of Records, they must be shredded, burned, or otherwise mutilated to protect individual privacy. Other records may be recycled, although shredding is preferred.

Permanent records may not be destroyed. Contact the Records Management Office for help transferring Permanent records to the National Archives.

What if a record I create or maintain is not listed in this *Guide to Peace Corps' Records Schedules*?

The record may be covered by a General Records Schedule (GRS), a set of schedules that apply to records regardless of the agency. There may also be a Peace Corps schedule which you are not aware of which covers the record in question. These records may be uncheduled. Uncheduled records must be kept until they are covered by a records schedule approved by the National Archives and have met their disposition requirements. Contact the Records Management Office at (Records@peacecorps.gov).

Who do I contact with questions concerning records?

Your office or unit Records Point of Contact or the Peace Corps Records Management Office at (Records@peacecorps.gov). You may also wish to view information which the National Archives and Records Administration maintains on its website: <https://www.archives.gov/records-mgmt/>