

Guide to Judiciary Policy

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

Appx. 6A: Records Disposition Schedule 1

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

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

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

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

Records Disposition Schedule 1	
Type of Record	Disposition
A. NON-ELECTRONIC APPELLATE CASE FILES applicable to all U.S. courts of appeals and bankruptcy appellate panels.	
1. Case file records. Docket-related items such as case indices, docket sheets, briefs and appendices, mandates, opinions, disposition orders, minutes of the court, journals, and order books.	Permanent. Paper: Transfer paper records to NARA in 5-year blocks when the

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	<p>oldest FRC transfer is 20 years old, such as:</p> <p>Pre-1996: Transfer in 2011 1996 – 2000: Transfer in 2016 2001 – 2005: Transfer in 2021 2006 – 2010: Transfer in 2026</p> <p>(N1-276-09-001, Item A1)</p>
<p>2. Case administrative (correspondence) files. Case correspondence and miscellaneous files relating to attorneys, calendars, filing of papers, and other administrative matters of the case, maintained outside the case file.</p>	<p>Temporary. Destroy 2 years after close of case.</p> <p>(N1-276-09-001, Item A2)</p>
<p>3. Sealed records. Those case records which have been sealed by court order while such order is in effect.</p>	
<p>a. Records sealed for protection of the defendant under 18 U.S.C. § 5038 or 21 U.S.C. § 844(b) [repealed].</p>	<p>Temporary. Destroy as directed by the court. Do not transfer to an FRC.</p> <p>(N1-021-86-1, Item A2a)</p>
<p>b. Permanently sealed records.</p>	<p>Maintain at the court location in a separate file from the related case file. When the order sealing the records is vacated by the court, dispose of in accordance with the pertinent provisions of this schedule for the related case file.</p> <p>(N1-021-86-1, Item A2b)</p>
<p>B. CASE ASSOCIATED RECORDS.</p>	
<p>1. Calendars.</p>	<p>Temporary. Destroy 1 year after calendar period, unless otherwise needed.</p> <p>(N1-021-86-1, Item B1)</p>
<p>2. Attorney admission records.</p>	
<p>a. Rolls of attorneys admitted to practice. Records may consist of application letters, admission cards or</p>	<p>Permanent. Transfer to an FRC when 5 years old. Transfer to</p>

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computer listings, background materials, and records of court proceedings.	NARA when 25 years old. (N1-116-00-1, Item 2)
b. Records relative to disciplinary actions. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notice of hearings, and briefs.	Temporary. Transfer to an FRC when 5 years old. Destroy when 50 years old. (N1-116-00-1, Item 3)
c. Other records, including applications and certificates.	Temporary. Destroy when 5 years old. (N1-021-86-1, Item B2c)
3. Staff attorney records and circuit mediation records relating to cases.	Temporary. Destroy as directed by the court. Do not transfer to an FRC. (DAA-0276-2013-0003-0001)
4. Attorney disbarment proceedings. Records may be reciprocal or original. Records may consist of orders from another state or federal court, correspondence, orders, motions, notices to the attorney, notices of hearings, and briefs.	Permanent. Transfer to an FRC when 5 years old. Transfer to NARA when 25 years old. (N1-116-00-1, Item 1)
C. MISCELLANEOUS APPELLATE AND CIRCUIT RECORDS.	
1. Circuit Judicial Council.	
a. Minutes, final reports, and other documents related to council action.	Permanent. Transfer to NARA when 25 years old. (N1-021-86-1, Item C1a)
b. Judicial conduct and disability records. Complaints filed under the Judicial Conduct and Disability Act (28 U.S.C. §§ 351-364), alleging that a judge committed misconduct or is disabled. Items C.1.b.(1) and C.1.b.(2) relating to proceedings under the Judicial Conduct and Disability Act are confidential, and therefore disclosure-restricted, to the extent required by 28 U.S.C. § 360 and by Rules 23 and 24 of the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings.	
(1) Orders, memoranda of decision, and any reports or other items included therewith, issued by a Chief	Permanent. Transfer paper records to NARA 10 years after

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<p>Judge, a circuit judicial council, the United States Judicial Conference Committee on Judicial Conduct and Disability and its predecessors and successors, or the Judicial Conference of the United States, in any proceeding under the Judicial Conduct and Disability Act (as codified in 28 U.S.C. §§ 351-364 or elsewhere), the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings, and any other associated rules.</p>	<p>final decision or action or when no longer needed for reference purposes, whichever is later.</p> <p>(DAA-0021-2013-0003-0001)</p>
<p>(2) Interim and miscellaneous materials not listed in item (1) nor attached to a document listed in item (1), that are created or received in any proceedings under the Judicial Conduct and Disability Act (as codified in 28 U.S.C. §§ 351-364 or elsewhere), the Judicial Conference Rules for Judicial-Conduct and Judicial-Disability Proceedings, and any other associated rules. These materials may include but are not limited to: complaints, petitions for review and associated responses, special committee reports, notes, correspondence, and other items created or received during an inquiry or investigation.</p>	<p>Temporary. Destroy 5 years after final disposition of complaint or when no longer needed for reference purposes, whichever is later.</p> <p>(DAA-0021-2013-0003-0002)</p>
<p>c. All other council records.</p>	<p>Temporary. Destroy when 5 years old.</p> <p>(N1-021-86-1, Item C1b)</p>
<p>2. Circuit Judicial Conference</p>	
<p>a. Formal actions and minutes, if any. Records may consist of reports, agendas, correspondence, meeting summaries, minutes, reports of council actions, and subcommittee reports.</p>	<p>Permanent. Transfer to an FRC when 5 years old. Transfer to NARA when 25 years old.</p> <p>(N1-116-00-1, Item 4)</p>
<p>b. All other circuit conference records.</p>	<p>Temporary. Destroy when 5 years old.</p> <p>(N1-021-86-1, Item C2b)</p>
<p>3. Judicial assignments and designations to and from the courts of appeals (28 U.S.C. § 295). Records may consist of correspondence, requests for judicial assignments, and orders.</p>	<p>Temporary. Transfer to an FRC when no longer needed for reference. Destroy when 50 years old.</p>

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	(N1-116-00-1, Item 5)
4. Records of Special Prosecutors appointed by a court of appeals (28 U.S.C. §593)	Permanent. Transfer to NARA when 25 years old after close of case. (N1-021-86-1, Item C9)
D. PERSONNEL RECORDS.	
1. Local unofficial personnel/supervisor files. Local personnel files include correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action; fingerprint and background check records; and other records on individual employees duplicated in or not appropriate for the Official Personnel File (OPF).	Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (GRS 2.2, Item 080)
2. Fair employment practices.	
a. Employment Dispute Resolution (EDR) Official Discrimination Complaint Case Files – Informal Process. Cases resolved that did not go to the formal process stage. Includes intake sheet, summary report, notes, supporting documentation and correspondence.	Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use. (GRS 2.3, Item 031)
b. EDR Official Discrimination Complaint Case Files – Formal Process. Originating file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Note: This item includes all records gathered in the informal process that became the formal process case file once a formal complaint is filed.	Temporary. Destroy 7 years after resolution of the case, but longer retention is authorized if required for business use. (GRS 2.3, Item 032)
c. EDR Case Files that did not result in an EDR Complaint. Includes cases that did not result in an official or informal EDR complaint.	Temporary. Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use. (GRS 2.3, Item 033)
d. EDR employment statistics files.	Temporary. Destroy when 5

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	<p>years old, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 035)</p>
3. Administrative grievance, disciplinary, and adverse action files.	
a. Local adverse action and/or grievance plan or procedure maintained by the court.	<p>Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later</p> <p>(GRS 5.7 Item 030)</p>
b. Documents, memoranda, or other records related to an adverse action, disciplinary action, or grievance maintained by the court.	<p>Temporary. Destroy 7 years after case is closed.</p> <p>(GRS 2.3, Item 060, 061, 062)</p>
c. Copies of adverse action documents that are maintained in the OPF may also be maintained in a supervisor's local personnel folder (e.g. Request for Personnel Action, Remote Data Entry Notice).	<p>Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p> <p>(GRS 2.2, Item 080)</p>
4. Performance management files.	
a. Performance management plan, if applicable, including compensation strategy and appraisal tool with rating levels or tiers, and payout date for discretionary step increases.	<p>Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later.</p> <p>(GRS 5.7, Item 030)</p>
b. Individual records of employee performance including performance evaluation, performance plan upon which it is based, and rating, among other performance related materials.	<p>Temporary. Destroy when 4 years old or after AO audit, whichever is later.</p> <p>(DAA-0021-2014-0001-0001)</p>
5. Awards and bonuses files.	
a. Employee recognition and/or bonus plans, as applicable maintained by the court.	<p>Temporary. Destroy when 4 years old, after AO audit, or</p>

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	when no longer needed for reference, whichever is later. (DAA-0021-2014-0001-0002)
b. For each employee recognition award recipient, documentation that includes: name or ID, amount or cost of award, category or criteria, supporting justification, aggregate amount or cost of all awards received by the employee per year, and other related court-maintained documentation.	Temporary. Destroy when 4 years old, after AO audit, or when no longer needed for reference, whichever is later. (DAA-0021-2014-0001-0003)
c. For each recruitment, retention, or relocation bonus documentation that includes name or ID, amount of bonus, service agreement, authorization, and other related court-maintained documentation.	Temporary. Destroy when 4 years old, after AO audit, or when no longer needed for reference, whichever is later. (DAA-0021-2014-0001-0004)
6. Employee Medical Folder (EMF).	
a. Any court-maintained medical records related to Family and Medical Leave Act (FMLA), serious health condition for sick leave, medical emergency for Voluntary Leave Transfer Program donated leave, reasonable accommodation for disability, workplace injury not reported as, or related to, an Office of Workers Compensation Programs (OWCP) claim, fitness-for-duty or counseling records related to alcohol or drug treatment programs.	Temporary. Destroy 1 year after employee separation or transfer. (GRS 2.7, Item 061)
b. OWCP claim. Court-maintained documents related to an OWCP claim. Including medical reports, copies of letters and decisions, and any other material which is part of the case file, regardless of its source. These documents are considered an alternate location for OWCP claim records, and under the jurisdiction of OWCP.	See: Guide, Vol. 12, § 750.30 (Workers' Compensation).
7. Telework files.	
a. Telework Worksite Program Files. Records generated by the designated court telework coordinators and other related staff. Includes: <ul style="list-style-type: none"> • Correspondence • Notes • Policy implementation documents 	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (GRS 2.3, Item 080)

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<ul style="list-style-type: none"> • Form development files • Planning records • Program evaluation documentation/data • Other related records generated by the agency or participating employees 	
<p>b. Telework agreement for each employee who is eligible for telework, and duty station documentation, if applicable.</p>	<p>Temporary. Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 081)</p>
<p>8. Administrative training records.</p>	
<p>a. Individual employee training records. Records documenting training required by all or most Federal agencies, such as information system security and training to develop job skills. Records may include:</p> <ul style="list-style-type: none"> • Completion certificates or verification documents for mandatory training • Mentoring or coaching agreements <p>Note: This item excludes academic transcripts, professional licenses, civil service exams, or documentation of mission-related training.</p>	<p>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.</p> <p>(GRS 2.6, Item 030)</p>
<p>b. Non-mission employee training program records. Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> • Plans, reports, and program evaluations • Employee skills assessments • Organizational and occupational needs assessments • Notices about training opportunities schedules, or courses • Employee training statistics • Mandatory training tracking and reporting files • Logistics and coordination documents • Authorization and similar records • Registration forms, employee attendance records • Syllabi, presentations, instructor guides, handbooks, lesson plans • Reference and working files on course content • Other course materials, such as presentations and 	<p>Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</p> <p>(GRS 2.6, Item 010)</p>

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<ul style="list-style-type: none"> videos • Student, class, or instructor evaluations 	
<p>9. Position classification files. Court copies of:</p> <ul style="list-style-type: none"> • Position Description and Position Classification Certification Form (AO 194) • Organization chart at the time of position approval for supervisory or managerial positions, and • Other classification related documentation 	<p>Temporary. Destroy 2 years after position is abolished but longer retention is authorized if required for business use.</p> <p>(GRS 2.1, Item 020)</p>
<p>10. Job vacancy files. Court recruitment files consisting of:</p> <ul style="list-style-type: none"> • Copy of the vacancy announcement, job analysis, if applicable • Copy of newspaper advertisements (or other forms of advertising) • List of recruitment sources • Application materials with date of receipt • Ranking or rating criteria, if applicable (to include rating/scoring definitions and/or methodology) • List of applicants with designation or not qualified, qualified, and best qualified • List of applicants interviewed • List of interview questions used • New appointment Applicants and Interviewees Worksheet (Part D of the AO 78A), and • Other relevant recruitment documentation 	<p>Disposition Not Authorized.</p>
<p>11. Drug testing files. Includes records based on reasonable suspicion.</p>	<p>Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.</p> <p>(GRS 2.7, Item 130)</p>
<p>12. Employee Drug Test Acknowledgement of Notice Forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	<p>Temporary. Destroy when employee separates from testing-designated position.</p> <p>(GRS 2.7, Item 110)</p>
<p>13. Alternative Dispute Resolution (ADR) Records. ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini trials, arbitration. The records covered by this schedule</p>	

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relate to techniques or processes used in an ADR program in resolving dispute with or between its own employees.	
<p>a. ADR Program Files. This item refers to the program management and routine activities of offices running processes. Includes:</p> <ul style="list-style-type: none"> • Program related correspondence • Copies of statues, regulations • Meeting minutes • Copies of records of financial payments and authorization to mediators and/or facilitators (excludes copies held by financial offices) • Evaluation records of ADR program • Other records relating to the agency’s overall administration of its ADR program. 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 010)</p>
<p>b. ADR Case Files – Informal Process. This item includes records that are not associated with another employee dispute, complaint, or grievance process. Includes:</p> <ul style="list-style-type: none"> • Agreements to use ADR • Documentation of the settlement or discontinuance of the ADR case • Parties written evaluation of the process and/or the neutral third-party mediator • Correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR programs) 	<p>Temporary. Destroy 3 years after case is closed, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 011)</p>
<p>c. ADR Case Files – Formal Process. This item includes originals and copies of records generated in response to a referral from another dispute, grievance, or complaint process (like EDR complaints or grievances). Includes:</p> <ul style="list-style-type: none"> • Agreements to use ADR • Documentation of the settlement or discontinuance of the ADR case • Parties written evaluation of the process and/or the neutral third-party mediator • Correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR programs) 	<p>Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.</p> <p>(GRS 2.3, Item 012)</p>
E. PAYROLL, PAY AND BENEFITS ADMINISTRATION RECORDS.	
<p>1. Time and attendance files. Sign-in/sign-out records, time cards, leave applications and approval of all types</p>	Disposition Not Authorized.

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(annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approval; premium pay authorizations; and other records documenting employees' presence at or absence from work.	
2. Leave files. Leave records. Leave balances and documentation of accrual and use.	Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier. (GRS 2.2, Item 041)
3. Voluntary Separation Incentive Program. Voluntary Separation Incentive Payment (VSIP) and Voluntary Early Retirement Authority (VERA) Files. VSIP or VERA restructuring plans, including target universe and selection criteria, organizational charts, offer notices, acceptance notices, VSIP payment calculations and documentation of how selection criteria was applied (if applicable). Retention is based on 5-year repayment requirements.	Temporary. Destroy when 5 years old. (GRS 2.2, Item 010)
4. Benefits files.	
a. Request for health benefits under spouse equity – Denied applications.	Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate. (GRS 2.4, Item 111)
b. Requests for health benefit under spouse equity – Successful applications, including those successfully appealed.	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins. (GRS 2.4, Item 110)
c. Documentation related to retirement assistance that includes correspondence, memoranda, annuity estimates, and other records used to assist retiring employees.	Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use. (GRS 2.5, Item 020)

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5. Reasonable accommodation files.	
a. Documentation for an employee with a disability. Includes information created while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation including requests for personal assistance under 5 U.S.C. §3102.	Temporary. Destroy 3 years after separation. (GRS 2.3, Item 021)
F. PROCUREMENT AND SUPPLY RECORDS.	
1. Financial records. Records relating to the procurement of goods and services (i.e., contracts, requisitions, purchase orders, etc.), payment of bills, collection debts, accounting, and processing travel vouchers/authorizations.	Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1, Item 010)
2. Personal property records. Includes documents relating to the acquisition and disposition of property.	Temporary. Destroy 7 years after date of final transaction. (N1-021-86-1, Item C3)
G. BUDGET FILES.	
1. Budget background records. Contains cost statements, financial system data, financial projections and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements and related schedules.	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (GRS 1.3, Item 041)
2. Budget execution records. Records that offices create and receive in the course of implementing and tracking appropriations.	Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use. (GRS1.3, Item 020)
H. SPACE, FACILITIES AND MAINTENANCE RECORDS. Facility, space, and equipment inspection, maintenance, and service records. Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes repair and maintenance orders, requisitions, and related papers;	

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<p>maintenance and inspection logs and reports; job orders, service call records, action sheets, and repair logs; and work, shop, or job schedules.</p>	
<p>1. Records documenting facility structure and long-term maintenance.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>(GRS 5.4, Item 70)</p>
<p>2. Records tracking completion of custodial and minor repair work.</p>	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p> <p>(GRS 5.4, Item 71)</p>
<p>3. Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to administering and operating facilities, space, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes:</p> <ul style="list-style-type: none"> • 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 <p>Note: This item excludes records of supply and property procurement.</p>	<p>Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.</p> <p>(GRS 5.4, Item 010)</p>
<p>I. ADMINISTRATIVE MANAGEMENT RECORDS.</p>	
<p>1. Internal administrative accountability and operational</p>	<p>Temporary. Destroy 1 year after</p>

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<p>management control records. Internal evaluations of accounting and administrative controls. Includes:</p> <ul style="list-style-type: none"> • Copies of internal and external directives outlining management control policy • Management control plans and records of the planning process • Records of management reviews • Risk analyses and risk profiles • Internal control over reports • Records tracking assignments, tasks, and responsibilities • Administrative correspondence <p>Note: This item excludes reports related to agency mission activities.</p>	<p>submission or when superseded, as appropriate, but longer retention is authorized if required for business use.</p> <p>(GRS 5.7, Item 010)</p>
<p>2. Internal control review, response and mitigation management records. Includes copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions.</p> <p>Note: This item excludes records held by offices contributing to internal control review response and mitigation, but not responsible for overseeing it.</p>	<p>Temporary. Destroy 5 years after no further corrective action is needed, but longer retention is authorized if required for business use.</p> <p>(GRS 5.7, Item 020)</p>
<p>J. ORGANIZATIONAL/GENERAL ADMINISTRATIVE FILES.</p>	
<p>1. Files on internal administration and housekeeping activities. In general, these are records accumulated by individual offices that relate to office organization, staffing, procedures and communications and the expenditure of funds. Includes budget; day-to-day administration of office personnel such as travel and training; supplies, requests and receipts; and the use of office space. These papers do not serve as official documentation of the programs of the office.</p> <p>Note: This item excludes records that relate only to the functions for which the office exists.</p>	<p>Temporary. Destroy when business use ceases.</p> <p>(GRS 5.1, item 010)</p>
<p>2. General correspondence files. Includes all other administrative records.</p>	<p>Temporary. Destroy 5 years after close of file.</p>

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	(N1-021-86-1, Item C4)
K. RECORDS TRANSMITTAL AND RECEIPT FORM (SF 135).	Temporary. Maintain for 50 years. Do not transfer to an FRC. (N1-021-86-1, Item C7)
L. INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS.	
1. Systems and data security files.	
System and data security records. Records relate 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: <ul style="list-style-type: none"> • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • Published computer technical manuals and guides • Example and references used to produce guidelines covering security issues related to specific systems and equipment • Records on disaster exercise and resulting evaluations • Risk surveys • Service test plans • Test files and data 	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. (GRS 3.2, Item 010)
2. IT customer service files.	
Technical and administrative help desk operational records. Includes: <ul style="list-style-type: none"> • Records of incoming requests (and responses) made by phone, email, web portal, etc. • Trouble tickets and tracking logs • Quick guides and “Frequently Asked Questions” (FAQs) • Evaluations and feedback about help desk services • Analysis and reports generated from customer management data 	Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. (GRS 5.8, item 010)

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<ul style="list-style-type: none"> • Customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports 	
3. IT asset and configuration management files.	
a. Inventories of IT assets, network circuits, and building or circuitry diagrams. Includes equipment control systems such as databases of barcodes affixed to IT physical assets.	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. (GRS 3.1, Item 020)
b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:	
(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.	Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use. (GRS 3.1, Item 050)
(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. (GRS 3.1, Item 020)
4. User identification, profiles, authorizations, and	

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password files. Excludes records relating to electronic signatures.	
a. Systems requiring special accountability for access (e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records).	Temporary. Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized if required for business use. (GRS 3.2, Item 031)
b. Systems not requiring special accountability for access. 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.	Temporary. Destroy when business use ceases. (GRS 3.2, Item 030)
5. Computer security incident handling, reporting and follow-up records.	Temporary. Destroy 3 years after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use. (GRS 3.2, Item 020)
6. System backups and tape library records.	
a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	
(1) Incremental backup tapes.	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (GRS 3.2, Item 040)
(2) Full back up tapes.	Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. (GRS 3.2, Item 041)

Records Disposition Schedule 1	
Type of Record	Disposition
<p>b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in tape library. Also included list of holdings and control logs.</p>	<p>Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</p> <p>(GRS 3.2, Item 040)</p>
<p>7. IT Operations and Maintenance Records. Records relate to the activities associated with the operation and maintenance of the basic systems and services used to supply the agency and its staff with access to computer and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as:</p> <ul style="list-style-type: none"> • Files identifying IT facilities and sites • Files concerning implementation of IT facility and site management • Equipment support services provided to specific sites • Inventories of IT assets, network circuits, and building and circuitry diagrams • Equipment control systems such as database 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 • Reports on operations • Website administration • Records to allocate charges and track payment for software and services <p>Note: Records needed to support contracts should be in procurement files.</p> <p>Note: If any maintenance activities have a major impact on a system or lead to a significant change, those</p>	<p>Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated, or superseded, but longer retention is authorized if required for business use.</p> <p>(GRS 3.1, Item 020)</p>

Records Disposition Schedule 1	
Type of Record	Disposition
records should be maintained according to item 8.	
<p>8. Configuration and Change Management 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 operation networks and systems. Includes records such as:</p> <ul style="list-style-type: none"> • Data and detailed reports on implementation of systems, applications, and modifications • Application sizing, resource and demand management records • Documents identifying, requesting, analyzing, authorizing and documenting the implementation of possible changes and actual changes • Documentation of software distribution (including COTS software license management files) and release or version management <p>Note: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained according to this item.</p> <p>Note: Per NARA practice, documentation for electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p>Note: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	<p>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, but longer retention is authorized if required for business use.</p> <p>(GRS 3.1, Item 030)</p>