

GENERAL RECORDS SCHEDULE 4.3: Input Records, Output Records, and Electronic Copies

This schedule provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. In other words it covers records that contain information duplicated in the recordkeeping copies of electronic records (also known as the master records or master files). This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content. Electronic records not included in GRS 4.3 may not be destroyed unless authorized by a NARA approved schedule.

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

Item	Records Description		Disposition Instruction	Disposition Authority
010	<p>Hardcopy or analog input/source records. The GRS only covers hardcopy or analog records incorporated into an electronic system in their entirety or converted to an electronic format in their entirety. The types of input records that may be</p>	<p>Hardcopy or analog input/source records previously scheduled as temporary. Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p>Temporary. Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0001-0001
011	<p>included are:</p> <ul style="list-style-type: none"> • hardcopy forms used for data input • hardcopy documents that are scanned into an electronic recordkeeping system • hardcopy or analog still pictures, sound recordings, motion 	<p>Hardcopy or analog input/source records previously scheduled as permanent. Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA’s electronic records standards.</p> <p>Exclusion: The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency’s approved schedule:</p>	<p>Temporary. Destroy 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) <u>and</u> verification of successful conversion, but longer retention</p>	DAA-GRS-2013-0001-0002

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	<p>picture film, or video recordings that were previously scheduled as temporary</p>	<ul style="list-style-type: none"> • Hardcopy records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format. • Hardcopy records when the electronic versions do not meet NARA’s electronic records standards. • Hardcopy records that are not incorporated in their entirety into an electronic system. • Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p>is authorized if required for business use.</p>	
012		<p>Hardcopy or analog input/source records not previously scheduled. Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p>Exclusion 1: Hardcopy records when the electronic versions do not meet NARA’s electronic records standards.</p> <p>Exclusion 2: Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p>Exclusion 3: Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be scheduled by an agency-specific schedule.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>	<p>Temporary. Destroy immediately after approval of a schedule for the electronic records <u>and</u> after verification of successful conversion, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0003</p>

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020	<p>Electronic input/source records. Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:</p> <ul style="list-style-type: none"> • electronic files that duplicate information from a source electronic system for input into another electronic system • electronic records received from another agency and used as input/ source records by the receiving agency (see exclusions) • computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database • metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations <p>Exclusion 1: Original electronic records maintained in the source system.</p> <p>Exclusion 2: Electronic input records required for audit and legal purposes.</p> <p>Exclusion 3: Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.</p> <p>Not media neutral. Applies to electronic records only.</p>	<p>Temporary. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0004</p>		
030	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>Output records. Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system</p> </td> <td style="width: 50%; vertical-align: top;"> <p>Ad hoc reports. Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p>Exclusion 1: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p> <p>Exclusion 2: Records containing substantive information, such as</p> </td> </tr> </table>	<p>Output records. Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system</p>	<p>Ad hoc reports. Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p>Exclusion 1: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p> <p>Exclusion 2: Records containing substantive information, such as</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0005</p>
<p>Output records. Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system</p>	<p>Ad hoc reports. Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p>Exclusion 1: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p> <p>Exclusion 2: Records containing substantive information, such as</p>				

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	<p>itself are not system output records, for example an annual report that agency staff</p>	<p>annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)</p>		
031	<p>prepares based on reviewing information in the system.</p> <p>Exclusion 1: Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher-level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p> <p>Exclusion 2: Any hardcopy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p>	<p>Data file outputs. Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including:</p> <ul style="list-style-type: none"> • data files consisting of summarized or aggregated information (See exclusions) • electronic files consisting of extracted information (See exclusions) • print file (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports) • technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions) <p>Exclusion 1: Data files that are created as disclosure-free files to allow public access to the data.</p> <p>Exclusion 2: Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed.</p> <p>Exclusion 3: Data extracts produced by an extraction process which changes the informational content of the source master file or database.</p> <p>Exclusion 4: Technical reformat files created for transfer to NARA.</p> <p>Exclusion 5: Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0001-0006</p>

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	<p>130 (DAA-GRS-2013-0007-0012).</p> <p>Not media neutral. Applies to electronic records only.</p>		
040	<p>Non-recordkeeping copies of electronic records.</p> <p>Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:</p> <ul style="list-style-type: none"> • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including 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 after they have been copied to a recordkeeping system or otherwise preserved • electronic spreadsheets • 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 <p>Note 1: Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.</p> <p>Note 2: For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p> <p>Not media neutral. Applies to electronic records only.</p>	<p>Temporary.</p> <p>Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0001-0007</p>