

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2021-0001

Status: APPROVED
Date Approved: 04/05/2021
Last Modified: 11/01/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	GRS 5.6, Security Management Records
Additional Schedule Information	Security Management involves the physical protection of an organization's personnel, assets, and facilities (including security clearance management). Activities include: security operations for protecting agency facilities, staff, and property; managing personnel security; and insider threat protection.

Conditions and Exclusions

The following conditions and exclusions apply to all disposition authorities in this schedule.

1. Agencies must offer any records covered by this schedule that were created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule, except records covered by items 120 and 130. Agencies must offer records covered by items 120 and 130 to the National Archives if they were created prior to January 1, 1939.
2. This schedule does not apply to records related to Federal law enforcement activities and Federal correctional activities (including records about their uniforms and equipment, body camera records, criminal surveillance records, records on accidents or incidents in incarceration or detention facilities, etc). Law enforcement and correctional functions differ from security functions and include border and transportation security and immigration and naturalization services. For additional description of these activities, see the FAQs for GRS 5.6. Agencies engaging in these activities must schedule such records on agency-specific schedules.
3. This schedule does not apply to records related to securing data and information systems. GRS 3.2, Information Systems Security Records, covers such records.
4. This schedule does not apply to records about protecting and accessing information. GRS 4.2, Information Access and Protection Records, covers such records.

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Is There a Classified Version of This
Schedule? No

Is consultation and coordination with
Tribal Governments required? Predate requirement

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Item Count

Total number of disposition items: 8

Number of Temporary disposition items: 8

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 1

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Outline of Records Schedule Items for DAA-GRS-2021-0001

Item #	Title	Disposition
0001	Security management administrative records.	Temporary
0002	Security uniform and equipment tracking records.	Temporary
0003	Facility security management operations records.	Temporary
0004	Accident and incident records.	Temporary
0005	Personal identification credentials and cards. : Application and activation records.	Temporary
0006	Temporary and local facility identification and card access records.	Temporary
0007	Personnel security and access clearance records. : Records of people not issued clearances.	Temporary
0008	Personnel security and access clearance records. : Records of people issued clearances.	Temporary

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Records Schedule Items

DAA-GRS-2021-0001-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Security management administrative records.	
Item Description	Records about routine facility security, protective services, and personnel security program administration not covered elsewhere in this schedule. Includes: *administrative correspondence *reports, including status reports on cleared individuals *staffing level and work planning assessments, such as guard assignment records *administrative subject files	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.6, item 010	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2017-0006-0001	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy when 3 years old, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-GRS-2021-0001-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Security uniform and equipment tracking records.	

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Item Description	Records tracking uniforms and equipment issued to security management personnel, including: *firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) *communication devices issued to security personnel, such as mobile radios and walkie-talkies *body armor such as bullet-proof vests *police baton and holder *handcuffs and keys Exclusion: Does not apply to uniform and equipment tracking records for Federal law enforcement and correctional officers. Federal law enforcement includes border and transportation security and immigration and naturalization services.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.6, item 030	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2017-0006-0004	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 3 months after return of equipment, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-GRS-2021-0001-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Facility security management operations records.

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Item Description	<p>Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> *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 that do not document accidents or incidents **recordings of protective mobile radio transmissions **video surveillance recordings **closed circuit television (CCTV) records *door slip summaries <p>Exclusions: The following records are excluded and must be scheduled on agency-specific schedules:</p> <ol style="list-style-type: none"> 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. <p>Notes:</p> <ol style="list-style-type: none"> 1. Item 100 covers records of accidents and incidents. 2. Items 110 and 111 cover records of visitor processing.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.6, item 090
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
DAA-GRS-2017-0006-0012	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy when 30 days old, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2021-0001-0004	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Accident and incident records.
Item Description	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. Includes: <ul style="list-style-type: none"> *statements of witnesses *warning notices *records about arrests, commitments, and traffic violations *accident and incident reports *law enforcement agency requests for information <p>Exclusions: 1. Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules.</p>

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	<p>2. Records related to Federal law enforcement and Federal correctional activities. Federal law enforcement includes border and transportation security and immigration and naturalization services. Agencies that create these records must schedule them on agency-specific schedules.</p> <p>3. Records of accidents or incidents in Federal facilities involved in incarcerating or detaining individuals. Agencies that create these records must schedule them on agency-specific schedules.</p> <p>4. Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records.</p> <p>5. 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.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.6, item 100	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2017-0006-0013	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2023-0007-0002 on 03/07/2024.		
Final Disposition	Temporary	
Retention Period	Other: Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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Group Title	Personal identification credentials and cards.
Group Description	<p>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.</p> <p>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. Agencies must schedule these records on agency-specific schedules.</p>
DAA-GRS-2021-0001-0005	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Application and activation records.
Item Description	<p>Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> *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 <p>Note 1: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p> <p>Note 2: GRS 3.2, Information Systems Security Records, covers applications for access to information systems.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 5.6, item 120
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items

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Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2017-0006-0016	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 6 years after the end of an employee or contractor's tenure, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-GRS-2021-0001-0006		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Temporary and local facility identification and card access records.	
Item Description	<p>Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> *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 <p>Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.6, item 130	

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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Item	Superseded Items
DAA-GRS-2017-0006-0018	Item Superseded in Part? No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Personnel security and access clearance records.
Group Description	Records about security clearances, and other clearances for access to Government facilities or to 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: GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.
DAA-GRS-2021-0001-0007	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Records of people not issued clearances.

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Item Description	Includes case files of applicants not hired.	
	Exclusion: Copies of investigative reports covered in items 170 and 171.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.6, item 180	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2017-0006-0024	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-GRS-2021-0001-0008	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Records of people issued clearances.	
Item Description	Exclusion: Copies of investigative reports covered in items 170 and 171.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 5.6, item 181	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	

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Superseded Item	Item Superseded in Part?	Explanation
DAA-GRS-2017-0006-0025	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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Signatory Information

Action	User	Date
Approve	David Ferriero	04/05/2021