

UPDATED AUTHORITIES

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Department of Energy
Administrative Records Schedule 16:
Administrative Management
October 2021
Revision 4

This schedule covers those administrative management activities not covered by other Administrative Schedules. Included are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. See ADM 1 (items 12 and 13) for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs.

The organizational locations and titles of administrative management units vary. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards followed are : the first Departmental level is the Secretarial level, the next level is the program office; followed by the subordinate components of division, branch, section, and unit.

This schedule covers the records of management activities that are carried on by a specialized person or unit with wide responsibilities. Similar or comparable records created at lower organizational levels in the Department and in field offices are not covered by this schedule.

A relatively large proportion of administrative management records are of continuing value. Files of potential archival value must be scheduled by submission of an SF 115 to NARA. Among these records are organizational charts and reorganization studies, functional statements, delegations of authority, and histories. Certain materials related to these records that are not archival, however, include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary work sheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routine slips, and extra copies of documents.

All records described in this schedule are authorized for disposal in both hard copy and electronic formats. (N1-434-98-19, entire introduction.)

1. Administrative Issuances. (GRS 16, item 1)

- a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete.

Superseded by GRS 5.7, Item 030 (DAA-GRS-2017-0008-0003)

- b. Case files related to (a) above that document aspects of the development of the issuance.

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Destroy when issuance is destroyed.

Superseded by GRS 5.7, Item 030 (DAA-GRS-2017-0008-0003)

1.1 Issuance Documenting Substantive Functions. (N1-434-98-19(1.1))

Record set of DOE Secretary, Assistant Secretary, or equivalent contractor of Federal level records documenting the substantive functions for which the maintaining organization is responsible including policies, plans, procedures, practices, and directives.

Permanent. Cut off at the end of each fiscal year. Transfer to inactive storage after 5 years. Transfer to NARA in 5 year blocks when most recent record is 25 years old.

1.1.1 Internal Publications.

Internal publications such as newsletters and bulletins that relate to the mission of the Department and include articles on major program and laboratory activities, personnel (at work), experimental methods and results which document projects of scientific, technical or public interest, agency sites and their growth, high-level, one-of-a-kind meetings, ceremonies or events, and/or high-level officials carrying out transactions of political, scientific, technical or public interest. These publications provide unique historical documentation of the internal operations and development of DOE's programs and organizations.

a. Official/Editor's copy. (N1-434-01-8(1.1.1a))

Permanent. Cutoff file annually. Transfer to NARA 20 years after cutoff.

b. All other copies. (N1-434-01-8(1.1.1))

Destroy when 2 years old or when no longer needed.

1.2 Management Improvement Programs. (N1-434-98-19(1.2))

Records generated as a part of a cultural philosophy which promulgates management improvement programs. The focus is on streamlining operations, providing cost effectiveness, improving customer satisfaction, and continuing improvement of work processes or products. Proactive preventive program records are included. Records may provide internal information, advice, or recommendations. Includes such files as employee suggestion forms, analyses, nonconformance process records, and related background material. Also includes corrective action plans in response to management improvement recommendations.

Cut off at the end of each fiscal year. Destroy 5 years after cutoff.

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1.3 Performance Indicators. (N1-434-98-19(1.3))

The performance indicator (PI) program establishes a uniform system for analyzing data to support progress for improving performance and strengthen control of operations. Files include documentation of improvement, performance gains, and early identification of deteriorating conditions. Information includes quarterly reports, summary reports, associate data sheets, errata forms, trending and analysis documentation, distribution diagrams, program scheduled and status logs, facility lists, and charts used to summarize the information evaluated and data complied; including control charts that serve to alert management to the existence of special causes of variation within a system or process.

Cut off at the end of each fiscal year. Destroy 5 years after cutoff.

1.4 Baseline Management.

Records generated to document facility project activities' technical scope, project schedule, and cost. Deviations from the baseline are documented and approved or disapproved in baseline change proposals.

- a. Development of baselines and all supporting documentation.

Cut off at the end of each fiscal year. Destroy when 10 years old.

(N1-434-98-19(1.4a)) **Superseded by DOE 1.3, Item 030 (DAA-434-2020-0008-0003)**

- b. Baseline change proposals, approvals, and supporting documentation.

Cut off at the end of each fiscal year. Destroy when 10 years old.

(N1-434-98-19(1.4b))

Superseded by DOE 1.3, Item 030 (DAA-434-2020-0008-0003)

1.5 Correspondence.

Correspondence files are arranged according to general information or subject content. Files include letters, memorandums, forms, reports, and other data that relate to functions for which the office exists, but not the specific case files.

- a. Correspondence files documenting the development and overall implementation and administration of plans and policies pertaining to the mission or functions for which the office has primary responsibility; opinions and decisions of an important policy or those that set precedents. (These files will generally be found in the offices of principal or senior staff.)

Permanent. Cut off at the end of each fiscal year. Transfer to inactive storage after 5 years. Transfer to NARA in 5 year blocks when most recent record is 25 years old. (N1-434-98-19(1.5a))

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- EPI** b. Correspondence files documenting the day to day operations and routine administration of established or new missions, policies, and procedures for which the office or contractor has primary responsibility, provided that the documentation in 1.5a, above is preserved. (N1-434-98-19(1.5b))

Cutoff at the end of each Fiscal Year. Destroy 15 years after cutoff.

1.6 All Other copies of Issuances. (N1-434-98-19(1.6))

Destroy when no longer needed for reference.

2. Records Disposition Files. (GRS 16, item 2)

Descriptive inventories, disposal authorizations, schedules, and reports.

- a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

- (1) SF 115s that have been approved by NARA.

Destroy 2 years after supersession.

Superseded by GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

- (2) Other records.

Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.

Superseded by GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

- b. Routine correspondence and memoranda.

Destroy when 2 years old.

Superseded by GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

3. Forms Files. (GRS 16, item 3)

- a. One record copy of each form created by a Department or contractor with related instructions and documentation showing inception, scope, and purpose of the form.

Destroy 5 years after related form is discontinued, superseded, or canceled.

Superseded by GRS 4.1, Item 040 (DAA-GRS-2013-0002-0009)

- b. Background materials, requisitions, specifications, processing data, and control records.

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Destroy when related form is discontinued, superseded, or canceled.
Superseded by GRS 4.1, Item 040 (DAA-GRS-2013-0002-0009)

4. **Records Holdings Files.** (GRS 16, item 4)

Statistical reports of Department holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

- a. Records held by offices that prepare reports on Department-wide records holdings.

Destroy when 3 years old.
Rescinded per GRS Transmittal 28

- b. Records held by other offices.

Destroy when 1 year old.
Rescinded per GRS Transmittal 28

5. **Project Control Files.** (GRS 16, item 5)

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed.
Rescinded per GRS Transmittal 29. New DOE Schedule to replace - See DOE 1.3, Item 040 (DAA-434-2020-0008-0004)

6. **Reports Control Files.** (GRS 16, item 6)

Case files maintained for each Department report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued.
Superseded by GRS 5.7, Item 040 (DAA-GRS-2017-0008-0004)

7. **Records Management Files.** (GRS 16, item 7)

Correspondence, reports, authorizations, and other records that relate to the management of Department records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, automated information systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Destroy when 6 years old. **Superseded by GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007) OR Superseded by GRS 4.1, Item 030 (DAA-GRS-2013-0002-0008)**

8. **Committee and Conference Files.**

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- a. Records relating to establishment, organization, membership, and policy of internal committees.

Destroy 2 years after termination of the committee.
(N1-434-98-19(8a))

- b. Records created by committees.

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- (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat.

Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (N1-434-98-19(8b(1)))

- (1.1) Advisory Committee Records.

Advisory committee records maintained by the committee sponsor for two types of committees: Presidential and those having a national interest, e.g., national security (Advisory committee means a committee subject to the Federal Advisory committee Act. See definitions in 41 Code of Federal Regulations, Section 102-3.25).

Permanent. Transfer to the National Archives 10 years after termination of the committee or, in the case of standing committees, cut off annually and transfer 10 years after cutoff. (N1-434-98-19(8b(1.1)))

- (1.2) Closed Advisory Committee Meeting Records.

Closed advisory committee meeting records (meetings closed in whole or in part). Included are records prepared to comply with the provisions of the Government in the Sunshine Act or to comply with the provisions of other law authorizing closed meetings. Also included are records that authorize, justify, or report on closed meetings. Additional records included consist of transcriptions, minutes of, and electronic recordings for which verbatim transcripts do not exist.

Permanent. Transfer to the National Archives 10 years after termination or, in the case of standing committees, cut off annually and transfer 10 years after cutoff. (N1-434-98-19(8b(1.2)))

- (2) All other committee records.

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Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (N1-434-98-19(8b(2)))

- c. Records maintained by Department Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.

Destroy 5 years after termination of the committee.
(N1-434-98-19(8c))

- d. Records of national and international conferences and conventions.

- (1) Conferences/conventions sponsored by the Department and/or its contractor(s) and which meet one or more of the following criteria: (i) were the subject of Congressional or White House interest, (ii) came under intensive public scrutiny, or (iii) resulted in significant changes to Departmental programs or national energy policies.

- (a) Sponsor's files including, but not limited to, plan, announcements, invitations, agenda, paper presented, summaries, evaluations, and related reports maintained by the Office, Division, Field site or contractor responsible for coordinating the conference/convention.

Permanent. Cutoff files after conference. Transfer to NARA 20 years after cutoff. (N1-434-01-8(8d (1)(a)))

- (b) Records held by other offices.

Destroy when 3 years old or when no longer needed.
(N1-434-01-8(8d (1)(b)))

- (2) All other conferences/conventions sponsored by DOE and/or its contractor(s).

- (a) Sponsor's files including, but not limited to, plans, announcements, invitations, agenda, papers presented, summaries, evaluations, and related reports maintained by the Office, Division, Field sites, or contractor responsible for coordinating the conference/convention.

Cutoff files after conference. Destroy when 10 years old.
(N1-434-01-8(8d (2)(a)))

- (b) Records held by other offices.

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Destroy when 3 years old or when no longer needed.
(N1-434-01-8(8d (2)(b)))

- (3) Conferences, conventions and seminars not sponsored by DOE and/or its contractor(s).
 - (a) Reports containing summaries of views presented, actions taken by the assembly, and of DOE or Laboratory participation.

Cut off file after conference. Destroy when 10 years old.
(N1-434-01-8(8d (3)(a)))]

- (b) All other records.

Destroy when 3 years old or when no longer needed.
(N1-434-01-8(8d (3)(b)))

9. Feasibility Studies. (GRS 16, item 9)

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

Destroy 5 years after completion or cancellation of study.
Superseded by GRS 3.1, Item 011 (DAA-GRS-2013-0005-0007)

10. Microform Inspection Records. (GRS 16, item 10)

- a. Department copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1238.22.

Destroy 1 year after the records are transferred to the legal custody of the National Archives.

[NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or attached to the SF 258 when records are transferred to the National Archives. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]

Superseded by GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

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- b. Departmental copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1238.24.

Destroy when 2 years old or when superseded, whichever is later.

Superseded by GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

11. IRM Triennial Review Files. (GRS 16, item 11)

Reports required by the General Service Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old.

Rescinded by NARA Transmittal 29

12. Information Collection Budget Files. (GRS 16, item 12)

Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling Departmental reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old.

Superseded by GRS 5.7, Item 050 (DAA-GRS-2019-0003-0001)

13. Documents Published in the Federal Register. (GRS 16, item 13) [See note after 13b.]

- a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old.

Superseded by GRS 5.7, item 070 (DAA-GRS-2017-0012-0004)

- b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old.

[NOTE: Departmental files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by this schedule. These records may be, but are not necessarily, permanent. They must be individually scheduled so that

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NARA can conduct an analysis and appraise the records to determine their appropriate disposition.]

Superseded by GRS 5.7, item 080 (DAA-GRS-2017-0012-0005)

14. Management Control Records. (GRS 16, item 14)

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the Department's internal control staff (but not those copies maintained in the Department's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded.

Superseded by GRS 5.7, Item 010 (DAA-GRS-2017-0008-0001)

b. Management control plans.

Comprehensive plans documenting the Department's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded.

Superseded by GRS 5.7, Item 010 (DAA-GRS-2017-0008-0001)

c. Risk analyses.

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.

Cut off closed files annually. Destroy after next review cycle.

Superseded by GRS 5.7, Item 010 (DAA-GRS-2017-0008-0001)

d. Annual reports and assurance statements created by organizational components below the Departmental level and compiled by the Department into a single unified report for direct submission to the President and Congress. [See note after item 14d.]

Cut off closed files annually. Destroy after next reporting cycle.

[NOTE: The consolidated final reports submitted directly to the President and Congress must be scheduled by submitting an SF 115 to the National Archives.]

Superseded by GRS 5.7, Item 010 (DAA-GRS-2017-0008-0001)

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e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed.

Superseded by GRS 5.7, Item 010 (DAA-GRS-2017-0008-0001)

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

Superseded by GRS 5.7, Item 020 (DAA-GRS-2017-0008-0002)

(2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]

Rescinded by NARA Transmittal 29