

**Department of Energy Administrative  
Records Schedule 1:  
Personnel Records  
December 2023  
Revision 8**

As do all Administrative Records Schedules (ADMs), ADM-1 covers records of the Department and its contractors. The records include, employee concerns programs, labor agreements and negotiations, labor relations, academic and outreach programs, apprenticeship programs, job vacancies, unemployment compensation, recruitment and employee health. The most important types of records are the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders. Those for Federal employees are maintained according to *The Guide to Personnel Recordkeeping*, an Office of Personnel Management directive that prescribes a system of recordkeeping for Federal personnel.

Master files created in central data processing facilities that replace records described under item 21, 22 and 25f are not authorized for disposal by this schedule. Records authorized for disposal in this schedule are also authorized for such disposal in both hard copy and electronic formats. Retirement of non-current records to inactive storage is authorized. (N1-434-98-4, entire introduction)

1. **Official Personnel Folders of Federal Employees.** (GRS 1, item 1) Records filed on the right side of the Official Personnel Folder (OPF). (See item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention. See item 1.1 for contractor personnel records.
  - a. Transferred employees.  
See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.  
**Rescinded by GRS Transmittal 28**
  - b. Separated employees.  
Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.  
**Superseded by DOE 2.2, Item 015 (DAA-GRS-2017-0007-0004)**

## 1.1 Official Personnel Files of Contractor Employees. (N1-434-89-1(1))

EPI

Records consist of employment histories and jobs held by the employee from initial date of employment to date of separation. Includes, among other things, copy of all personnel and pay actions, life and health insurance coverage, résumés, proof of residence, copy of background investigation (not the Personal Security Questionnaire or Standard Form 86, which is filed in the security office), military service documents; and training records of more than 40 hours and any and all training records (certificates of completion) on health and safety, radiation, hazardous duty and other courses when the employer's contract includes safety and health clauses (DEAR Subparts 970.52, 970.5204-2, 952.223, 952-223-71, 952-223-72, 952.223-74, and 952.223-75), unless separate training records are kept in the training activity. Drug testing records may be part of these files or may be maintained elsewhere provided they are adequately safeguarded.

Cut off the file at the time of separation. Transfer folders to the **local** Federal records center. Destroy 75 years after cutoff.

**Superseded by DOE 2.2, item 030 (DAA-0434-2020-0010-0003)**

## 2. Service Record Cards for Federal Employees. (N1-434-98-4(2b))

EPI

Service Record Card (Standard Form (SF) 7 or equivalent) for employees separated or transferred on or after January 1, 1948.

Destroy 75 years after separation or transfer of employee.

**Superseded by DOE 2.2, item 010 (DAA-0434-2020-0010-0001)**

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. The disposition applies to the information regardless of form.]

## 3. Federal Personnel Correspondence Files. (GRS 1, item 3)

Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old.

**Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)**

## 3.1 Contractor Personnel Office Records. (N1-434-89-1(2))

Administrative and correspondence type files relating to general administration and operation of personnel functions and such other records not maintained in individual personnel files or described elsewhere in this schedule.

Make disposition in accordance with the terms of the contract. Do not transfer to a Federal records center.

**Superseded by DOE 2.2, item 010 (DAA-0434-2020-0010-0002)**

#### 4. **Offers of Employment Files.** (GRS 1, item 4)

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when appointment is effective.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

b. Declined offers for Federal employment:

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application.

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

(2) Temporary or excepted appointment.

File with application (items 33k, 33l, 33m, or 33n, as appropriate).

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

(3) All others.

Destroy immediately.

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

#### 5. **Certificate of Eligibles Files – Federal Employment.** (GRS 1, item 5)

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

#### 6. **Employee Record Cards.** (N1-434-98-4(6))

**EPI**

Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).

Destroy 75 years after separation or transfer of employee.

**Superseded by DOE 2.2, item 010 (DAA-0434-2020-0010-0001)**

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. The disposition applies to the information regardless of form.]

#### 7. **Position Classification Files – Federal Employees.**

a. Position Classification Standards Files.

- (1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

Cut off when superseded or determined obsolete. Destroy 75 years after cutoff. (N1-434-98-4(7a(1)))

**Rescind - Transmittal 04 - October 2021**

- (2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.

- (a) Case file.

Cut off when position is abolished or description is superseded. Destroy 75 years after cut off. (N1-434-98-4(7a(2)(a)))

**Superseded by GRS 2.1, item 010 (DAA-GRS-2014-0002-0001)**

- (b) Review File.

Destroy when 2 years old. [GRS 1, item 7.a2(b)]

**Rescinded per GRS Transmittal 28**

b. Position Descriptions. (N1-434-98-4(7b))

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Destroy 75 years after position is abolished or description is superseded.

**Superseded by DOE 2.1, item 020 (DAA-GRS-2014-0002-0002)**

c. Survey Files. (GRS 1, item 7c)

- (1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

**Rescinded per GRS Transmittal 28**

- (2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded

**Rescinded per GRS Transmittal 28**

d. Appeals Files. (GRS 1, item 7d)

- (1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

**Superseded by GRS 2.1, Item 030 (DAA-GRS-2014-0002-0004)**

- (2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

**Superseded by GRS 2.1, Item 040 (DAA-GRS-2014-0002-0005)**

## 7.1 Contractor Job Classification Manuals.

Records describing tasks associated with jobs and reflect the procedures and training required to accomplish them.

- a. For jobs relating to the handling of hazardous, toxic, or radioactive materials; radiation safety or critically safety; or any job where chronic exposure may have had an impact.

Dispose in accordance with item 1.1 of this schedule. (N1-434-89-1(3a))

**Superseded by DOE 2.1, Item 010 (DAA-0434-2020-0009-0001)**

- EPI** b. For all other jobs.

Destroy 2 years after position is abolished. (N1-434-89-1(3b))

**Superseded by DOE 2.1, Item 010 (DAA-0434-2020-0009-0001)**

## 8. Interview Records. (GRS 1, item 8)

Correspondence, reports, and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

**Superseded by GRS 2.1, Item 090 (DAA-GRS-2014-0002-0008)**

## 9. Performance Rating Board Case Files. (GRS 1, item 9)

Copies of case files forwarded to OPM relating to performance rating board reviews.

Destroy 1 year after case is closed.

**Superseded by GRS 2.2, Item 072 (DAA-GRS-2017-0007-0010)**

## 10. Temporary Individual Employee Records. (GRS 1, item 10)

- a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for the disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records.  
**Superseded by GRS 2.2, Item 041 (DAA-GRS-2017-0007-0005)**

- b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency.  
**Superseded by GRS 2.2, Item 060 (DAA-GRS-2017-0007-0007)**

## 11. Position Identification Strips - Federal. (GRS 1, item 11)

Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete.  
**Rescinded per GRS Transmittal 28**

[NOTE: Effective December 31, 1994, the SF 7D became obsolete.]

## 12. Employee Awards Files. (GRS 1, item 12) [See Note after item 12.d]

- a. General awards records, EXCLUDING those relating to departmental and corporate level awards.

- (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Destroy 2 years after approval or disapproval.  
**Superseded by GRS 2.2, Item 030, (DAA-GRS-2017-0007-0003)**

- (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy when 2 years old.  
**Superseded by GRS 2.2, Item 030, (DAA-GRS-2017-0007-0003)**

- b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Destroy when 1 year old.  
**Superseded by GRS 2.2, Item 030, (DAA-GRS-2017-0007-0003)**

- c. Letters of commendation and appreciation.

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the employee's formal personnel file.

Destroy when 2 years old.

**Superseded by GRS 2.2, Item 030, (DAA-GRS-2017-0007-0003)**

- d. Lists or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations.

Destroy when superseded or obsolete.

**Superseded by GRS 2.2, Item 030, (DAA-GRS-2017-0007-0003)**

[NOTE: Records relating to Department level (example: Fermi, Lawrence and Nobel nominees) and corporate level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

**13. Incentive Awards Program Reports.** (GRS 1, item 13)

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old.

**Rescinded per GRS Transmittal 28**

**14. Notifications of Personnel Actions.** (GRS 1, item 14)

Federal (Standard Form 50) and corporate notification of all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the formal personnel file.

- a. Chronological file copies, including fact sheets, maintained in personnel offices.

Destroy when 2 years old.

**Superseded by GRS 2.2, Item 050 (DAA-GRS-2017-0007-0006)**

- b. All other copies maintained in personnel offices.

Destroy when 1 year old.

**Superseded by GRS 2.2, Item 050 (DAA-GRS-2017-0007-0006)**

**15. RESERVED.** (GRS 1, item 15)

**16. Personnel Operations Statistical Reports.** (GRS 1, item 16)

Statistical reports in the operating personnel office and subordinate units relating to personnel.

Destroy when 2 years old.

**Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)**

**17. Correspondence and Forms Files.** (GRS 1, item 17)

Operating personnel office records relating to individual employees not maintained in formal personnel file and not provided for elsewhere in this schedule.

- a. Correspondence and forms relating to pending personnel actions.

Destroy when action is completed.

**Superseded by GRS 2.2, Item 050 (DAA-GRS-2017-0007-0006)**

- b. Retention registers and related records.

- (1) Registers and related records used to effect reduction-in-force actions.

Destroy when 2 years old.

**Superseded by GRS 2.5, Item 011 (DAA-GRS-2014-0004-0002)**

- (2) Registers from which no reduction-in-force actions have been taken and related records.

Destroy when superseded or obsolete.

**Superseded by GRS 2.5, Item 010 (DAA-GRS-2014-0004-0001)**

- c. All other correspondence and forms.

Destroy when 6 months old.

**Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)**

**18. Supervisors' Personnel Files and Duplicates of Formal Personnel Files Documentation.** (GRS 1, item 18)

- a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the formal personnel file.

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

**Superseded by GRS 2.2, Item 080 (DAA-GRS-2017-0007-0012)**

- b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old.

**Superseded by GRS 2.2, Item 080 (DAA-GRS-2017-0007-0012)**



**19. Individual Non-Occupational Health Record Files. (N1-434-98-4(19))**

**EPI**

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 75 years after date of last entry.

**Superseded by DOE 2.7, item 020 (DAA-0434-2020-0015-0001)**

**20. Health Unit Control Files.**

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. If information is summarized on statistical report.

Destroy 3 months after last entry. (GRS 1, item 20a)

**Superseded by DOE 2.7, item 010 (DAA-GRS-2017-0010-0001)**

b. If information is not summarized.

Destroy 75 years after last entry. (N1-434-98-4(20b))

**Superseded by DOE 2.7, item 010 (DAA-GRS-2017-0010-0001)**

**20.1 Contractor Health Unit Control Files.**

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.

**EPI**

a. If information is summarized on statistical report.

Destroy 3 months after last entry. (N1-434-89-1(4c(1)))

**Superseded by DOE 2.7, item 010 (DAA-GRS-2017-0010-0001)**

b. If information is not summarized

Destroy 75 years after last entry. (N1-434-98-4(20.1(b)))

**Superseded by DOE 2.7, item 010 (DAA-GRS-2017-0010-0001)**

**21. Federal Employee Medical Folder (EMF). (See Note after item 21c)**

a. Long-term medical records as defined in 5 CFR Part 293, Subpart E. (GRS 1, item 21a)

(1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

**Rescinded per GRS Transmittal 29**

(2) Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. (N1-GRS-86-4 item 21a2)

**EPI** - Superseded by GRS 2.7, item 060 (DAA-GRS-2017-0010-0009)

- EPI** b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM).

Cut off and place in inactive file after separation or transfer of employee. Destroy 75 years after cutoff. (N1-434-98-4(21.b))

Superseded by DOE 2.7, item 020 (DAA-0434-2020-0015-0001)

- EPI** c. Individual employee Health Case Files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

Destroy 60 years after retirement to FRC. (GRS 1(21c))

Superseded by GRS 2.7, item 062 (DAA-GRS-2017-0010-0011)

[NOTE: Electronic master files and data bases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

- d. Unidentified and Deteriorated Medical X-rays.

Unidentified X-ray films and those in advanced stages of decomposition that can neither be interpreted nor copied and may be hazardous to human health.

Destroy immediately. (N1-434-01-1(1))

Superseded by DOE 2.7, item 030 (DAA-0434-2020-0015-0002)

## 21.1 Contractor Employee Medical Folder (EMF)

- EPI** a. Individual Health Case Files. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit, including records of exposure to noise, toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program. Also includes pre-placement physical examinations and disability retirement and fitness for duty examinations.

Dispose of in accordance with item 1.1 of this schedule. (N1-434-89-1(4a))  
**Superseded by DOE 2.7, item 020 (DAA-0434-2020-0015-0001)**

- EPI** b. Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis, and treatment.

Destroy 75 years after date of last entry. (N1-434-98-4(21.1b))  
**Superseded by DOE 2.7, item 020 (DAA-0434-2020-0015-0001)**

## 21.2 Records Concerning Personnel Exposure to Hazardous Concentrations of Toxic Chemicals and Other Materials.

Records (including correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files.

- a. Standards, operating guides and procedures, including revisions and background records that establish or relate to establishing operating practices.

Permanent. Cut off at the close of the fiscal year. Transfer to NARA 25 years after cutoff. (NC1-430-76-9(5a))

- EPI** b. Operating plans for specific jobs within the scope of the above established operating practices.

Destroy when purpose is served or when 1 year old, whichever is earlier. (NC1-430-76-9(5b))

- EPI** c. Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. These records should be filed in the Health Hazard case file (item 21.4 below), whenever possible.

Cut off at the close of the fiscal year in which the employee left employment. Destroy 75 years after cutoff. (NC1-430-76-9(5c))

**Superseded by DOE 2.7, item 130 (DAA-0434-2020-0015-0006) and item 140 (DAA-0434-2020-0015-0007)**

- d. Industrial hygiene logsheets recording surveys for industrial hazards other than radiation and contamination.

- (1) Surveys indicating no industrial hazard.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff. (NC1-430-76-9(5d(1)))

- (2) Surveys indicating a potential industrial hazard.

Cut off when the facility is dismantled. Destroy 75 years after cutoff. (N1-434-98-4(21.2d(2)))

### 21.3 Radiation Contamination Control Program Records.

This series includes correspondence concerning or documenting accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation contamination control program; excludes individual employee files.

- a. Personnel exposure dose record concerning or documenting radiation exposure dose to the individual due to alpha, beta, gamma and neutron radiation as determined by personnel radiation monitors or by estimates based on radiation dose instruments.

- (1) Results of equipment calibration establishing the authenticity of the above dose results.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff. (NC1-430-76-9(4a(1)))

- (2) Automatic data processing system programs, codes, instruction tapes and discs if used for retrieval of item (a) above.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff. (NC1-430-76-9(4a(2)))

EPI

- (3) Worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, automatic data processing system input records, other information used in interim calculations or to verify that recorded data is correct (such as checksheets), film badges and statistical summaries duplicating the above exposure data.

Destroy when the exposure record has been verified and approved, or after 1 year, whichever is earlier.

(NC1-430-76-9(4a(3)))

**Superseded by DOE 2.7, item 140 (DAA-0434-2020-0015-0007)**

- b. Technical standards, operating guides, laboratory, operating and radiation contamination control procedures describing the technical and administrative basis for the radiation contamination protection program.

- (1) Historical file or standards, guides and procedures, including revisions and background records defining philosophy in development, methods of evaluation and mode and scope of radiation contamination protection efforts.

Permanent. Cut off the file at the close of the fiscal year.  
Transfer to NARA in five year blocks 25 years after cutoff.  
(NC1-430-76-9(4c(1)))

EPI

- (2) Detail plans for specific jobs performed within the scope of the above procedures and similar records relating to routine daily operations.

Destroy when purpose has been served or after 1 year,  
whichever is earlier. (NC1-430-76-9(4c(2)))

EPI

- c. Logbooks (chronological history) which provide a concise summary of shift and daily activities, including unusual incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings and similar items.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff.  
(NC1-430-76-9(4d))

- d. Routine radiation and contamination surveys and air sample logs, including resulting laboratory analyses and equipment calibration, indicating no unusual health or safety problems.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff.  
(NC1-430-76-9(4e))

- e. Recorder chart records of radiation and contamination detected by air activity monitors (gaseous and particulate) ionization chambers.

- (1) Records directly relating to the workplace.  
Cut off at the close of the fiscal year. Destroy 75 after cutoff.  
(N1-434-98-4(21.3e(1)))

EPI

- (2) Other records.

Destroy when purpose has been served or when 3 months old,  
whichever is earlier. (NC1-430-76-9(4f))

- f. Reports and engineering studies of unusual radiation or contamination problems.  
Cut off at the close of the fiscal year. Destroy 100 years after cutoff.  
(NC1-430-76-9(4g))
- g. Radiation detection instrument calibration.
  - (1) Records relating to the calibration and inspection of instruments used in the detection and recording of radiation against sources of known radioactive emission or dose rate.
    - (a) History of procedures indicting criteria for selection and methods used, and schedules giving frequency of calibration and maintenance of radiation detection instruments and equipment.  
Destroy when 75 years old. (NC1-430-76-9(1a))
    - (b) Report instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition, and any related data.  
Destroy when purpose is served or when 1 year old, whichever is earlier. (NC1-430-76-9(1b))
  - (2) Radiation detection charts used with alarm systems to record radiation in excess of established guides in production plant areas, provided unusual radiation data are posted to other records which are retained. (See item 21.3a of this schedule.)  
Destroy when the purpose has been served or when 75 years old. (NC1-430-76-9(7))

## 21.4 Individual Employee Health Hazard Case Files.

Individual employee radiation exposure history files (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and shall include:

- EPI** a. Records of skin and nasal contamination incidents, including decontamination details. (NC1-430-76-9(4b(1)))  
**Superseded by DOE 2.7, item 130 (DAA-0434-2020-0015-0006)**

**EPI** b. Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used. (NC1-430-76-9(4b(2)))

**Superseded by DOE 2.7, item 130 (DAA-0434-2020-0015-0006)**

**EPI** c. Results of direct measurement of radiation from the chest, specific organs, or whole body. (NC1-430-76-9(4b(3)))

**Superseded by DOE 2.7, item 130 (DAA-0434-2020-0015-0006)**

**EPI** d. Investigations of the following types: (NC1-430-76-9(4b(4)))

(1) Assimilation of radiation from the chest, specific organs, or whole body.

(2) Assimilations of radioactive materials in excess of standards and control guides.

(3) Missing or unusual data concerning exposure of personnel to radiation.

(4) Radiation exposures exceeding quarterly to yearly exposure guides and standards.

**Superseded by DOE 2.7, item 130 (DAA-0434-2020-0015-0006)**

e. Records of bioassay data.

**EPI** (1) Including positive laboratory results on bioassay samples (urine, feces, and blood) used to determine internal assimilation by an individual or a radionuclide. (NC1-430-76-9(4b(5)(a)))

**EPI** (2) Laboratory results indicating no assimilation of radioactive materials. (NC1-430-76-9(4b(5)(b))) **Authority Corrected August 2022**

Cut off at the end of the fiscal year in which the employee leaves employment. Destroy when 75 years old.

**Superseded by DOE 2.7, item 130 (DAA-0434-2020-0015-0006)**

#### **21.4.1 Bioassay schedules, worksheets, automated data system input records.**

(NC1-430-76-9(4b(5)(c)))

Until purpose is served or 1 year, whichever is earlier.

**Superseded by DOE 2.7, item 140 (DAA-0434-2020-0015-0007)**

#### **21.5 Personnel (Federal and Contractor) Radiation Exposure Dose Records (Film Badges) (N1-434-96-4(1))**

**EPI** Records document the periodic radiation doses measured on employees, visitors, guides and guests. Each employee or guest working in areas with ionizing radiation wears a film badge on the upper torso. Periodically, the film badge is read and the radiation dose is calculated and recorded. The individual then receives a new film badge for the ensuing period.

Cut off at the end of the fiscal year and transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. Destroy when 75 years old.

**Superseded by DOE 2.7, item 120 (DAA-0434-2020-0015-0005)**

**22. Statistical Summaries.** (N1-434-98-4(22))

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Cut off annually. Destroy 75 years after date of summary or report.

**Superseded by DOE 2.7, item 140 (DAA-0434-2020-0015-0007)**

**23. Employee Performance File System Records.** [See note after item 23b(4).] (GRS 1, item 23)

a. Non-SES appointees [as defined in 5 USC 4301(2)].

- (1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.

Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.

**Superseded by GRS 2.2, Item 071 (DAA-GRS-2017-0007-0009)**

- (2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

**Superseded by GRS 2.2, Item 073 (DAA-GRS-2017-0007-0011)**

- (3) Performance-related records pertaining to a former employee.

- (a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.

**Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)**

- (b) All other performance plans and ratings.

Destroy when 4 years old.

**Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)**



- (4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Destroy 4 years after date of appraisal.

**Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)**

- (5) Supporting documents.

Destroy 4 years after date of appraisal.

**Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)**

- b. SES appointees [as defined in 5 USC 3132a(2)].

- (1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

**Superseded by GRS 2.2, Item 073 (DAA-GRS-2017-0007-0011)**

- (2) Performance-related records pertaining to a former SES appointee.

- (a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

**Superseded by GRS 2.2, Item 072 (DAA-GRS-2017-0007-0010)**

- (b) All other performance ratings and plans.

Destroy when 5 years old.

**Superseded by GRS 2.2, Item 072 (DAA-GRS-2017-0007-0010)**

- (3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment.

Destroy 5 years after date of appraisal.

**Superseded by GRS 2.2, Item 072 (DAA-GRS-2017-0007-0010)**

- (4) Supporting documents.

Destroy 5 years after date of appraisal.

**Superseded by GRS 2.2, Item 072 (DAA-GRS-2017-0007-0010)**

[NOTE: Performance records pertaining to Presidential appointees are not covered by this item. Such records must be scheduled by submitting a SF 115 to NARA.]

## 24. Reasonable Accommodation Request Records. (GRS 1, item 24)

Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from under the Rehabilitation Act of 1973, Executive Order 13164, and the Americans with Disabilities Act of 1990. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

- Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;
- Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and
- Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

### a. General Files

Procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying interested parties of the reasonable accommodation request and processing procedures as well as modifications to established procedures.

Destroy three years after supersession or when no longer needed for reference whichever is later.

**Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)**

b. Employee Case Files

Individual employee files that are created, received, and maintained by reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, assistive technologies administrator, or human resources specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes.

Destroy three years after employee leaves employment or all appeals are concluded whichever is later.

**Superseded by GRS 2.3, Item 020 (DAA-GRS-2018-0002-0002)**

[**Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]

c. Supplemental Files

Records created, received, and maintained by reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve human resources matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, notes.

Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later.

[**Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]

**Superseded by GRS 2.3, Item 020 (DAA-GRS-2018-0002-0002)**

d. Tracking System

Records and data created, received, and maintained for purposes of tracking compliance.

Delete/destroy three years after compliance report is filed or when no longer needed for reference.

**Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)**

25. **Equal Employment Opportunity (EEO) Records.** (GRS 1, item 25)

- a. Official Discrimination Complaint Case Files.  
  
Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.  
  
Destroy 4 years after resolution of case.  
**Superseded by GRS 2.3, Items 110 or 111 (DAA-GRS-2018-0002-0012 and 0013)**
- b. Copies of Complaint Case Files.  
  
Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.  
  
Destroy 1 year after resolution of case.  
**Rescinded per GRS Transmittal 28**
- c. Preliminary and Background Files.
  - (1) Background records not filed in the Official Discrimination Complaint Case Files.  
  
Destroy 2 years after final resolution of case.  
**Superseded by GRS 2.3, Item 110 (DAA-GRS-2018-0002-0012)**
  - (2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.  
  
Destroy when 2 years old.  
**Superseded by GRS 2.3, Item 110 (DAA-GRS-2018-0002-0012)**
- d. Compliance Records.
  - (1) Compliance Review Files.  
  
Reviews, background documents, and correspondence relating to contractor employment practices.  
  
Destroy when 7 years old.  
**Superseded by GRS 2.3, Item 120 (DAA-GRS-2018-0002-0014)**
  - (2) EEO Compliance Reports.  
  
Destroy when 3 years old.  
**Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)**
- e. Employee Housing Requests.  
  
Forms requesting agency assistance in housing matters, such as rental or purchase.

Destroy when 1 year old.

**Rescinded per GRS Transmittal 28**

- f. Employment Statistics Files. [See note after this item.]

Employment statistics relating to race and sex.

Destroy when 5 years old.

**Superseded by GRS 5.7, Item 050 (DAA-2017-0008-0005)**

[NOTE: Electronic master files and databases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

- g. EEO General Files.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

**Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)**

- h. EEO Affirmative Action Plans (AAP).

- (1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan.

**Superseded by GRS 5.7, Item 050 (DAA-2017-0008-0005)**

- (2) Agency feeder plan to consolidated AAP(s).

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

**Superseded by GRS 5.7, Item 050 (DAA-2017-0008-0005)**

- (3) Report of on-site reviews of Affirmative Action Programs.

Destroy 5 years from date of report.

**Superseded by GRS 5.7, Item 050 (DAA-2017-0008-0005)**

- (4) Agency copy of annual report of Affirmative Action accomplishments.

Destroy 5 years from date of report.

**Superseded by GRS 5.7, Item 050 (DAA-2017-0008-0005)**

**26. Personnel Counseling Records. (GRS 1, item 26)**

EPI

- a. Counseling Files.  
  
Reports of interviews, analyses, and related records.  
  
Destroy 3 years after termination of counseling.  
**Superseded by GRS 2.7, Item 091 (DAA-GRS-2017-0010-0015)**
  - b. Alcohol and Drug Abuse Program.  
  
Records created in planning, coordinating, and directing an alcohol and drug abuse program.  
  
Destroy when 3 years old.  
**Superseded by GRS 2.7, Item 080 (DAA-GRS-2017-0010-0013)**
- 27. Alternative Dispute Resolution (ADR) Files.** (GRS 1, item 27)  
Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an ADR program in resolving disputes with or between its own employees.  
[NOTE: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in ADM 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]
- a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the overall ADR program.  
Destroy when 3 years old. Longer retention is authorized if records are needed for agency business.  
**Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)**
  - b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence. Destroy 3 years after settlement is implemented or case is discontinued. **Superseded by GRS 2.3, Item 070 (DAA-GRS-2018-0002-0007) OR Superseded by GRS 2.3, Item 071 (DAA-GRS-2018-0002-0008)**
- 28. Labor Management Relations Records.** (GRS 1, item 28)

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Destroy 5 years after expiration of agreement.

**Superseded by GRS 2.3, Item 130 (DAA-GRS-2018-0002-0015)**

(2) Other offices.

Destroy when superseded or obsolete.

**Superseded by GRS 2.3, Item 130 (DAA-GRS-2018-0002-0015)**

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case.

**Superseded by GRS 2.3, Item 090 (DAA-GRS-2018-0002-0010)**

**28.1 Contractor Labor Management Relations Records.**

(N1-434-98-4(28.1))

Correspondence, meeting minutes, reports, background papers and other such records relating to contractor labor management negotiations and labor agreements.

Maintain in accordance with the contract or destroy 10 years after the termination of the contract with the Department of Energy, whichever is sooner.

**Superseded by DOE 2.3, Item 020 (DAA-0434-2020-0012-0002)**

**29. Federal Employee Training Records.**

EXCLUDING records of formally established schools that train agency employees in specialized program areas, such as law enforcement and national defense. (See note after item 29.b and item 29.2 below.)

a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency. (GRS 1, item 29)

**EPI**

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Destroy when 5 years old or 5 years after completion of a specific training program.

**Superseded by GRS 2.6 Item 010 (DAA-GRS-2016-0014-0001)**

- (2) Background and working files.

Destroy when 3 years old.

**Superseded by GRS 2.6 Item 010 (DAA-GRS-2016-0014-0001)**

- EPI** b. Employee training. (N1-434-98-4(29b))

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Destroy 75 years after superseded or obsolete.

**Superseded by DOE 2.6, item 015 (in part) (DAA-GRS-2016-0014-0002 and DAA-GRS-2016-00014-0003)**

**Superseded by DOE 2.6, item 016 (in part) (DAA-GRS-2016-0014-0002 and DAA-GRS-2016-00014-0003)**

[NOTE: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

## 29.1 Contractor Employee Individual Training Folders.

- EPI** a. Contractor employee individual folders that contain ONLY the following documents:

- (1) On-the-job training checklist completed during qualification, including the results of final written examination used for qualification or certification; records of oral examinations given for qualifications or certification; simulator/operational evaluation records; new employee indoctrination/orientation checklists; and reports of exemptions to these documents; (N1-434-88-1(1a))  
**see below**
- (2) Checklists completed for recertification, including the results of written examinations given for recertification; and records or oral examinations given for recertification; (N1-434-88-1(1b))  
**see below**
- (3) Documentation of qualification for on-time-only special tests and operations; and (N1-434-88-1(1c))  
**see below**
- (4) Results of medical examinations (only pass/fail and restrictions); balance of results are to be retained in the medical file. (N1-434-88-1(1d))  
**see below**

Cut off at the time of separation or transfer of the employee. Screen out and destroy all item 29.1a(4) records. Transfer folders with remaining

**Items a(1)-(4) - Superseded by DOE 2.6, item 016 (in part) (DAA-GRS-2016-0014-0002 and DAA-GRS-2016-00014-0003) - Administrative Training Only**

**Continue to utilize items a(1)-(4) for Mission Related Training until superseded by new DOE schedule**

**NOTE: If Individual Training records (Administrative and Mission) are maintained together, you must utilize the longest retention, which is the mission schedule.**



documents to the local Federal Records Center. Destroy 4 years after cutoff.

**EPI**

- b. Contractor employee individual folders that contain item 29.1a records

AND also contain: attendance/completion records of training courses or sessions that include subjects dealing with hazardous materials directly applicable to the employee's job or position.

Cut off at the time of separation or transfer of the employee. Screen out and destroy all item 29.1a(4) records. Transfer folders with remaining documents to the local Federal records center. Destroy 75 years after cutoff. (N1-434-88-1(2))

**Superseded by DOE 2.6, item 016 (in part) (DAA-GRS-2016-0014-0002 and DAA-GRS-2016-00014-0003) - Administrative Training Only. Continue to utilize item 29b for Mission Related Training until superseded by new DOE schedule.**

**NOTE: If Individual Training records (Administrative and Mission) are maintained together, you must utilize the longest retention, which is the mission schedule.**

## 29.2 Administrative Training Records.

- a. Administrative training records such as description of course content, examination banks, examination cover sheets, content, attendance rosters, documentation of required performance items and course lesson plans.

- (1) For courses relating to the handling of hazardous, toxic or radioactive materials, radiation safety or criticality safety, or any training where chronic exposure may have an impact.

Transfer to a Federal records center after last session. Destroy 75 years after last session. (N1-434-88-1(3a))

- (2) For courses relating to environmental safety and health topics. Transfer to a Federal records center after last session. Destroy 75 years after transfer. (No SF115 found)

- (3) For all other courses.

Transfer to a Federal records center after last session. Destroy 2 years after last session. (N1-434-88-1(3b))

**Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

- b. Drill guides/scenarios.

Destroy when superseded or obsolete. Do not transfer to a Federal records center. (N1-434-88-1(4))

**EPI**

**Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

- c. Correspondence on the establishment, administration, and availability of a course.

Destroy 2 years after last session. Do not transfer to a Federal records center. (N1-434-88-1(5))

**Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

**EPI** d. Course training aids.

Destroy when superseded or obsolete. Do not transfer to a Federal records center. (NI-434-88-1(6))

**Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**

**30. Administrative Grievance, Disciplinary, and Adverse Action Files.** (GRS 1, item 30)

a. Administrative Grievance Files.

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Cut off at the close of the case. Destroy 4 years after cutoff.

**Superseded by GRS 2.3, Item 060 (DAA-GRS-2018-0002-0006)**

b. Adverse Action Files and Performance-Based Actions.

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Cut off at the close of the case. Destroy 4 years after cutoff.

**Superseded by GRS 2.3, Item 060 (DAA-GRS-2018-0002-0006)**

**31. Personal Injury Files.** (NI-434-98-4(31))

**EPI** Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 75 years after cutoff.

**Superseded by DOE 2.4, item 100 (DAA-0434-2020-0013-0002) and DOE 2.7, item 110 (DAA-0434-2020-0015-0004)**

**32. Merit Promotion Case Files.** (GRS 1, item 32)

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0002)**

**33. Examining and Certification Records.** (GRS 1, item 33)

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

**EPI**

a. Delegated agreements.

Destroy 3 years after termination of agreement.

**Superseded by GRS 2.1, Item 150 (DAA-GRS-2014-0002-0021)**

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence includes, but is not limited to, correspondence from Congress, the White House, and the general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

c. Correspondence or notices received from eligibles indicating a change in name, address or availability.

Destroy 90 days after updating the appropriate record in the registry or inventory.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

d. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock.

Destroy when test is superseded or obsolete.

**Rescinded per GRS Transmittal 28**

e. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cutoff.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

**EPI**

f. Examination Announcement Case Documentation Files. Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating

procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

- g. Register or inventory of eligibles (OPM Form 5001-C or equivalent) documenting eligibility of an individual for Federal jobs.

Destroy 2 years after the date on which the register of inventory is

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

- h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cutoff.

**Rescinded per GRS Transmittal 28**

- i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old.

**Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) or Superseded by GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**

- j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cutoff.

**Superseded by GRS 2.1, Item 070 (DAA-GRS-2014-0002-0012)**

- k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 1 year after cutoff.

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

- l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory.

Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

(2) On inactive register or inventory.

Cut off annually. Destroy 1 year after cut off.

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Cut off annually. Destroy 2 years after cutoff.

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 2 years after cutoff.

**Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)**

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cutoff.

**Superseded by GRS 2.1, Item 080 (DAA-GRS-2014-0002-0013)**

p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Cut off annually. Destroy 2 years after cutoff.

**Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0001) OR Superseded by GRS 2.1, Item 051 (DAA-GRS-2017-0011-0002)**

- r. Interagency Placement Program (IPP) application and registration sheet.  
  
Destroy upon expiration of employee's DEP eligibility. **Superseded by GRS 2.3, Item 030 (DAA-GRS-2018-0002-0003)**
  - s. DEP control cards, if maintained.  
  
Cut off annually. Destroy 2 years after cut off.  
**Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)**
  - t. Reports of audits of delegated examining operations.  
  
Destroy 3 years after date of the report.  
**Superseded by GRS 2.1, Item 160 (DAA-GRS-2014-0002-0022)**
  - 34. **Occupational Injury and Illness Files.** (N1-434-98-4(34))  
Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.  
  
Destroy when 75 years old.  
**Superseded by DOE 2.7, item 100 (DAA-GRS-2017-0010-0002)**
  - 35. **Denied Health Benefits Requests Under Spouse Equity.** [See note after item 35.b(2)]  
  
Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.
    - a. Health benefits denied, not appealed.  
  
Destroy 75 years after denial. (N1-434-98-4((35a))  
**Superseded by GRS 2.4, item 111 (DAA-GRS-2016-0015-0014)**
    - b. Health benefits denied, appealed to OPM for reconsideration.
      - (1) Appeal successful - benefits granted.  
  
Create enrollment file in accordance with Subchapter S17 of the **FEHB Handbook**. [GRS 1, item 35b(1)]  
**Rescinded per GRS Transmittal 28**
      - (2) Appeal unsuccessful - benefits denied.  
  
Destroy 75 years after denial. (N1-434-98-4(35b(2)))  
**Superseded by GRS 2.4, item 111 (DAA-GRS-2016-0015-0014)**
- [NOTE: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels

the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

**36. Federal Workplace Drug Testing Program Files.** [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f). (GRS 1, item 36)

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).] (GRS 1, item 36a)

**Superseded by GRS 2.7, Item 100 (DAA-GRS-2017-0010-0016)**

- b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).] (GRS 1, item 36b)

**Superseded by GRS 2.7, Item 110 (DAA-GRS-2017-0010-0017)**

- c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2) after item 36e(2).] (GRS 1, item 36c)

**Superseded by GRS 2.7, Item 100 (DAA-GRS-2017-0010-0016)**

- d. Records relating to the collection and handling of specimens.

(1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2) after item 36e(2).] [GRS 1, item 36d(1)]

**Superseded by GRS 2.7, Item 120 (DAA-GRS-2017-0010-0018)**

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2) after item 36e(2).] [GRS 1, item 36d(2)]

**Superseded by GRS 2.7, Item 120 (DAA-GRS-2017-0010-0018)**

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

Cut off when the individual leaves employment. Destroy 5 years after cutoff. (N1-434-98-4(36e(1)))

**Superseded by GRS 2.7, item 130 (DAA-GRS-2017-0010-0019)**

(2) Negative results.

Destroy when 3 years old. [GRS 1 item 36e(2)]

**Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001); GRS 2.1, item 051 (DAA-GRS-2017-0011-0002 and GRS 2.7, item 131 (DAA-GRS-2017-001-0020)**

[NOTE: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by ADM 1, item 30b, which authorizes destruction of records 4 after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]

**37. Donated Leave Program Case Files.** (GRS 1, item 37)

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.



- Destroy 1 year after the end of the year in which the file is closed.  
**Superseded by GRS 2.4, Item 071 (DAA-GRS-2016-0015-0009)**
- 38. Wage Survey Files.** (GRS 1, item 38)
- Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).
- Destroy after completion of second succeeding wage survey.  
**Superseded by GRS 2.4, Item 080 (DAA-GRS-2016-0015-0010)**
- 39. Retirement Assistance Files.** (GRS 1, item 39)
- Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.
- Destroy when 1 year old.  
**Superseded by GRS 2.5, Item 020 (DAA-GRS-2014-0004-0003)**
- 40. Handicapped Individuals Appointment Case Files.** (GRS 1, item 40)
- Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.
- Destroy 5 years following the date of approval or disapproval of each case.  
**Superseded by GRS 2.1, Item 110 (DAA-GRS-2014-0002-0018)**
- 41. Federal Pay Comparability Records.** (GRS 1, item 41)
- Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.
- Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.  
**Superseded by GRS 2.4, Item 090 (DAA-GRS-2016-0015-0011)**
- 42. Alternate Worksite Records.** (GRS 1, item 42)

- a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

Destroy 1 year after end of employee's participation in the program.  
**Superseded by GRS 2.3, Item 040 (DAA-GRS-2018-0002-0004)**

- b. Unapproved requests.

Destroy 1 year after request is rejected  
**Superseded by GRS 2.3, Item 040 (DAA-GRS-2018-0002-0004)**

- c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

Destroy when 1 year old, or when no longer needed, whichever is later.  
**Superseded by GRS 2.3, Items 010 and 040 (DAA-GRS-2018-0002-0001 and 0004)**

## 42.1 Withdrawn

## 43. Employee Concerns Program.

Employee concerns Program Case Files that serve to document employee allegations of impropriety or inadequacy of DOE and/or contractor managed activities. Subjects include, but are not strictly limited to; environmental, safety, and health related issues, fraud, waste and abuse; personnel and management matters; quality, securing conditions, or incidents of retaliation, etc. Supporting documentation includes employee statements or declarations, witness testimonials, investigation reports, and corrective actions to mitigate potential risks to the public, the environment, or employees of the Department of energy, or relevant contractor entities.

- a. Official Employee Concerns Program Files.

- (1) Concerns relating to security, environmental, safety, and health-related issues.

Cut off at the close of the fiscal year in which the case was closed.  
Destroy 75 years after cutoff. (N1-434-98-4(43a(1)))

- (2) All other concerns.

Cut off at the close of the fiscal year in which the case was closed.  
Destroy 4 years after cutoff. (N1-434-98-4(43a(2)))

- b. Records documenting concerns that do not develop into official cases.

(1) Security-related concerns. (N1-434-98-4(43b(1)))

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

(2) All other concerns. (N1-434-98-4(43b(2)))

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

#### 44. Academic/Outreach Programs. **UPDATED AUTHORITIES November 2022**

Records created to document educational outreach program transactions between the Department and its contractors and schools, colleges/universities, community groups, and various State and Federal agencies for the purpose of generating and tracking interest in careers with the DOE and its contractors.

a. Records kept for tracking the impact of these educational programs on the people involved and for measuring the success rate of each program.

Cut off at the end of the fiscal year. Destroy 25 years after cutoff.

(N1-434-98-4(44a)) **Superseded by DOE 2.1, Item 050 (DAA-0434-2020-0009-0004)**

b. Contract or funding information based on the following: Memoranda of Understanding with schools/colleges, grants, scholarships and budget information.

Cut off at the end of the fiscal year. Destroy 6 years after cutoff or project completion. (N1-434-98-4(44b))

**Superseded by DOE 2.1, Item 055 (DAA-0434-2020-0009-0005)**

c. Records containing contact information with schools and community groups regarding internship programs, tutoring programs, talent searches, scholastic tournaments, Young Entrepreneurs Conference, Junior Engineering Technical System (JETS), Gore Initiative Students Around the World, teacher development, computer loan/buyout programs and other educational programs. (N1-434-98-4(44c))

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

**Superseded by DOE 2.1, Item 055 (DAA-0434-2020-0009-0005)**

d. General administrative records that document teacher/student development, progress reports, and correspondence between DOE/contractor and outside academic organizations.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is earlier. (N1-434-98-4(44d))

**Superseded by DOE 2.1, Item 055 (DAA-0434-2020-0009-0005)**

#### 45. Apprenticeship Program Files.

Apprenticeship program files consist of external training classroom and practical instruction records and reports of progress such as correspondence, testing and evaluations and other pertinent information developed during the apprenticeship term.

- a. Files of employees who successfully complete all aspects of apprenticeship program. ((N1-434-98-4(45a))

Cut off at separation or transfer of employee. Destroy 4 years after cutoff.  
**Superseded by DOE 2.3, Item 010 (DAA-0434-2020-0012-0001)**

- b. Files of employees who terminate or are terminated from the program prior to completion. (N1-434-98-4(45b))

Cut off at termination. Destroy 10 years after cutoff.  
**Superseded by DOE 2.3, Item 010 (DAA-0434-2020-0012-0001)**

**46. Tuition Reimbursement Records.** (N1-434-98-4(46))

Records relating to tuition reimbursements for employees taking part in a tuition assistance program offered by the employers. The tuition reimbursement is provided for work related undergraduate, certificate, and graduate level courses taken at an accredited college, university or vocational school. The records consist of original, signed tuition request forms, notification of grades, proofs of payments, and related correspondence.

Cut off at the end of the fiscal year. Destroy 6 years and 3 months after cutoff.  
**Superseded by DOE 2.4, item 120 (DAA-0434-2020-0013-0004)**

**47. Vacancy Announcements (as created and maintained in personnel offices).** (N1-434-98-4(47))

Information used to notify employee population of the availability of a particular job opening. Postings contain general description of duties, requirements, salary range, and cutoff date for accepting employment applications.

Cut off at the end of the fiscal year. Destroy 1 year after cutoff.  
**Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001 and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**

**48. Recruitment Packages.** (N1-434-98-4(48))

Packet containing original promotional material, blank forms giving investigative authorization, and general philosophy, benefits, and other incentives.

Cut off at the end of the fiscal year. Destroy when 3 years old or when superseded or canceled, whichever is earlier.

**Superseded by GRS 2.1, item 180 (DAA-GRS-2018-0008-0003)**

**49. Prehire Test Files.**

Prehire test files consist of, but are not limited to, written and practical job-skill/proficiency pass/fail tests administered by labor management personnel to measure suitability for hire. Includes pre-placement physical examinations.

- a. Successful prehire applicant test files where an offer of employment was made.

Destroy 2 years after date of test. (N1-434-98-4(49a))

**Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001 and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002))**

- b. Successful prehire applicant test files where no employment offer was made.

Destroy 2 years after date of test. (N1-434-98-4(49b))

**Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001 and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002))**

- c. Unsuccessful prehire applicant test.

Destroy 1 year after date of test. (N1-434-98-4(49c))

**Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001 and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002))**

## **50. Individual Development Plans.** (N1-434-98-4(50))

Documentation of individuals' goals, objectives, and strategy for enhancing skills. Plans are updated annually.

Cut off at the end of the fiscal year. Destroy when superseded or when an employee departs.

**Superseded by DOE 2.6, item 015 (DAA-GRS-2016-0014-0002 and DAA-GRS-2016-0014-0003) (in part) and DOE 2.6, item 016 (DAA-GRS-2016-0014-0002 and DAA-GRS-2016-0014-0003)**

## **51. Classification Appraisals (Pay).** (N1-434-98-4(51))

Files which document the comparison of salaries paid locally and nationally to established salary percentage increase, comparative grade studies, guidelines, and justification base for employee performance assessments.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff or when superseded or obsolete.

**Rescinded - Transmittal 04 - October 2021**

## **52. Seniority Rosters.**

Seniority rosters which document and establish effective service dates for union employees, and are used to determine seniority for the annual job bidding process.

- a. Labor Relations Office file. (N1-434-98-4(52a))

Destroy 10 years after expiration of related labor agreement.

**Superseded by DOE 2.3, item 020 (DAA-0434-2020-0012-0002)**

- b. Other Offices (N1-434-98-4(52b))

**Rescinded - Transmittal 05 - August 2022**

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is earlier.

**Rescinded - Transmittal 04 - October 2021**

**53. Certification/Decertification.** (N1-434-98-4(53))

These files document meeting minutes, correspondence, and other records documenting contractors' actions relating to the response to union membership organizing drives.

Destroy 10 years after expiration of related labor agreement.

**Superseded by DOE 2.3, Item 040 (DAA-0434-2020-0012-0004)**

**54. Unemployment Compensation Records.** (N1-434-98-4(54))

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

Cut off upon termination of employment. Destroy 3 years after cut off.

**Superseded by DOE 2.4, Item 010 (DAA-0434-0013-0003)**

**55. Directories/Phone Listing.**

Record set of personnel listing identifying location, organization, phone number, assigned employee number, mail stop, or other information used for communication purposes.

a. When issued as a published document.

Destroy hardcopy when 75 years old. (N1-434-98-4(55a))

**Superseded by DOE 5.5, Item 010 (DAA-GRS-2016-0002)**

b. When issued electronically, prior to updating, reduce to hardcopy. Destroy

hardcopy when 75 years old. (N1-434-98-4(55b))

**Superseded by DOE 5.5, Item 010 (DAA-GRS-2016-0002)**

c. All others.

Destroy when superseded. (N1-434-98-4(55c))

**Rescinded. Non-records.**

56. **FMLA Employee Case File**

Includes records pertaining agency approvals and monitoring associated with individual employee requests covered under the FMLA provisions, such as but not limited to the employee applications, medical documentation, copies of leave applications and personnel actions, and similar records containing employee identifying data (e.g. payroll, notices, benefits and disputes) necessary to complete and process FMLA actions.

Cut when case is closed. Destroy 3 years after cutoff. (DAA-0434-2014-0002-0001) **Superseded by GRS 2.4, item 140 (DAA-GRS-2016-0015-0019)**

57. **FMLA Program Files**

Includes but not limited to agency communications, statistics, reports, memoranda, and copies of related policy and guidance, as well as similar records created or collected in support of program management.

Cut off annually. Destroy 3 years after cutoff or when superseded, as appropriate. (DAA-0434-2014-0002-0002)

**Superseded by GRS 2.4, item 141 (DAA-GRS-2016-0015-0020)**

58. **Electronic Mail and Word Processing System Copies (N1-434-98-4, items 56a and 56b)**

**Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001) and GRS 5.2 item 020 (DAA-GRS-2017-0003-0002)**

**Department of Energy  
Administrative Records Schedule 2:  
Payroll and Pay Administration Records  
August 2022  
Revision 5**

Payroll and pay administration records pertain to the disbursements employees receive in return for their personal services. This schedule covers commonly used pay records.

Title 6, "Pay, Leave, and Allowances" in the GAO Policy and Procedures Manual provides guidance for preparing and maintaining Departmental pay accounts.

Payroll systems use a leave record for submitting data to the payroll system. Information is posted to this leave record from the detailed records kept by the time and attendance clerks. Depending on the type of system, the leave record may be a hard copy input form or alternatively, input to the system may be by electronic means.

Records incidental to the payroll process include tax withholding, savings plan deduction requests, and savings bond records; and payroll office administration records.

**Payroll**

**1. Individual Employee Pay Record.**

- EPI** a. Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.

Update elements and/or entire record as required. (GRS 2, item 1a)

**Rescinded per GRS Transmittal 28 - Legacy records superseded by DOE 2.4, item 010 (DAA-0434-2020-0013-0001)**

- EPI** b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form. Transfer to National Personnel Records Center. Destroy when 56 years old. (GRS 2, item 1b)

**Superseded by DOE 2.4, item 010 (DAA-0434-2020-0013-0001)**

- EPI** c. Contractor employee pay record, containing pay data on each employee. This record may be either in paper or microform but not in machine readable form.

Upon separation of employee, transfer with employee's Official Personnel Records. Destroy when 56 years old. (N1-434-98-5(1c))

**Superseded by DOE 2.4, item 010 (DAA-0434-2020-0013-0001)**



**2. Noncurrent Payroll Files.** (GRS 2, item 2)

Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine-readable form.

Destroy 15 years after close of pay year in which generated.

**Rescinded per GRS Transmittal 28**

**Items 3 through 5. Reserved.**

**Time and Attendance**

**6. Leave Application Files.** (GRS 2, item 6)

SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

- a. If employee initials time card or equivalent.

Destroy at end of following pay period.

**EPI Superseded by DOE 2.4, items 020, 025 or 030 (DAA-GRS-2019-0004-0002)**

- b. If employee has not initialed time card or equivalent.

Destroy after GAO audit or when 3 years old, whichever is sooner.

**EPI Superseded by DOE 2.4, items 020, 025 or 030 (DAA-GRS-2019-0004-0002)**

**7. Time and Attendance Source Records.** (GRS 2, item 7)

**EPI** All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine readable or paper form.

Destroy after GAO audit or when 6 years old, whichever is sooner.

**Superseded by DOE 2.4, items 020, 025 or 030 (DAA-GRS-2019-0004-0002)**

**8. Time and Attendance Input Records.** (GRS 2, item 8)

**EPI** Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by the agency or payroll processor.

Destroy after GAO audit or when 6 years old, whichever is sooner.

**Superseded by DOE 2.4, items 020, 025 or 030 (DAA-GRS-2019-0004-0002)**

**9. Leave Record.** (GRS 2, item 9)

- a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.

File on right side of the Official Personnel Folder (OPF).

See ADM 1, item 1.

**Superseded by GRS 2.5, Item 040 (filing instructions)**

- b. Creating agency copy, when maintained.

Destroy when 3 years old.

**Superseded by GRS 2.5, Item 020 (DAA-GRS-2014-0004-0003)**

**Items 10 through 12. Reserved.****Deductions, Allotments, and Electronic Funds Transfers****13. Tax Files.** (GRS 2, item 13)

- a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

Destroy 4 years after superseded or obsolete or upon separation of employee.

**Superseded by GRS 2.4, Item 020 (DAA-GRS-2016-0015-0002)**

- b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old.

**Superseded by GRS 2.4, Item 050 (DAA-GRS-2016-0015-0005)**

- c. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, if maintained.

Destroy when 4 years old.

**Superseded by GRS 2.4, Item 050 (DAA-GRS-2016-0015-0005)**

**14. Savings Bond Purchase Files.** (GRS 2, item 14)

- a. Authorization for Purchase and Request for Change – U.S. Savings Bonds, SB 2152, or equivalent.

Destroy when superseded or after separation of employee.

**Rescinded per GRS Transmittal 28**

- b. Bond registration files: issuing agent's copies of bond registration stubs.

Destroy 4 months after date of issuance of bond.

**Rescinded per GRS Transmittal 28**

## **ALL ITEMS HAVE BEEN SUPSERSEDED**

- c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.
- Destroy 4 months after date of issuance of bond.  
**Rescinded per GRS Transmittal 28**
- 15. Combined Federal Campaign and Other Allotment Authorizations.** (GRS 2, item 15)
- a. Authorization for individual allotment to the Combined Federal Campaign.
- Destroy after GAO audit or when 3 years old, whichever is sooner.  
**Superseded by GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)**
- b. Other authorizations, such as union dues and savings.
- Destroy after GAO audit or when 3 years old, whichever is sooner.  
**Superseded by GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)**
- 16. Thrift Savings Plan Election Form.** (GRS 2, item 16)
- Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.
- Destroy when superseded or after separation of employee.  
**Superseded by GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)**
- 17. Direct Deposit Sign-up Form (SF 1199A).** (GRS 2, item 17)
- Destroy when superseded or after separation.  
**Superseded by GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)**
- 18. Levy and Garnishment Files.** (N1-434-98-5(18))
- Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other employee debts.
- Destroy 7 years after garnishment is terminated.  
**Superseded by GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)**
- Items 19 through 21. Reserved.**

### **Payroll Administration**

- 22. Payroll System Reports.** (GRS 2, item 22)
- a. Error reports, ticklers, system operation reports.

**ALL ITEMS HAVE BEEN SUPSERSEDED**

Destroy when related actions are completed or when no longer needed, not to exceed 2 years.

**Superseded by GRS 2.4, Item 060 (DAA-GRS-2016-0015-0006)**

- b. Reports and data used for Department workload and or personnel management purpose.

Destroy when 2 years old.

**Superseded by GRS 2.4, Item 060 (DAA-GRS-2016-0015-0006)**

- c. Reports providing fiscal information on Department payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner.

**Superseded by GRS 2.4, Item 061 (DAA-GRS-2016-0015-0007)**

**23. Payroll Change Files.** (GRS 2, item 23)

Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

- a. Copies subject to GAO audit.

Destroy after GAO audit or when 3 years old, whichever is sooner.

**Superseded by GRS 2.4, Item 010 (DAA-GRS-2019-0004-0001)**

- b. All other copies.

Destroy 1 month after end of related pay period.

**Rescinded per GRS Transmittal 28**

**24. Payroll Correspondence.** (GRS 2, item 24)

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old.

**Superseded by GRS 2.4, Item 060 (DAA-GRS-2016-0015-0006)**

**Items 25 through 27. Reserved.**

**Retirement**

**28. Retirement Files.** (N1-434-98-5(28))

Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

For Civil Service Retirement System/Federal Employees Retirement System related records, cut off upon receipt of official Office of Personnel Management acceptance of annual summary.

# **ALL ITEMS HAVE BEEN SUPERSEDED**

Destroy 75 years after cutoff. Retirement of non-current records to inactive storage is authorized.

**Superseded by GRS 2.5, item 010 (in part) (DAA-GRS-2014-0004-0001) OR GRS 2.5, item 011 (in part) (DAA-GRS-2014-0004-0002)**

**INACTIVE**

**Department of Energy  
Administrative Records Schedule 3:  
Procurement, Supply and Grant Records  
November 2022  
Revision 7**

Procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of other files, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires the Department to maintain a separate file of contracts for site audit. The contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Department, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the Department has received written approval from the GAO [44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)]. A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of procurement organizations.

Other files related to the procurement and supply function include reports used for supply management purposes. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Department as long as the property remains in DOE's hands or if it has been sold or released -- conditionally or with recapture clauses. (The actual owner of the property is the Federal government. For the sake of simplicity, the Department is substituted for the Federal government.) When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Department to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold. In many instances, lands acquired are disposed of in different size parcels, and if the Department retains the title to any portion the title evidence should be retained.

This schedule also includes records relating to grant programs. Grant programs may involve projects that are contracted for between the Department and an outside party.

All records described in this schedule are authorized for disposal in both hard copy and electronic formats. Retirement of non-current records to inactive storage is authorized.

## 1. Real Property Files.

Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).

- a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

Destroy 75 years after unconditional sale or release by the Government of the property, i.e, free of all conditions, restrictions, mortgages or other liens. (N1-434-98-6, item 1)

- b. Abstract or certificate of title.

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. (GRS 3, item 1b)

**Superseded by GRS 5.4, Item 020 (DAA-GRS-2016-0011-0002)**

## 2. General Correspondence Files. (GRS 3, item 2)

Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.

Destroy when 2 years old.

**Superseded by GRS 1.1, Item 001 (DAA-GRS-2016-0013-0001)**

### 3. Routine Procurement Files. (GRS 3, item 3)

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12).

a. Procurement or purchase organization copy, and related papers.

(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining simplified acquisition threshold”).

(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.

Destroy 3 years after final payment.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

(2) Transactions dated earlier than July 3, 1995.

(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.

Destroy 3 years after final payment.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

[NOTE: Given the complexities of the rules on procurement, procurement officials should be involved when deciding which of the sub items to apply to a particular series of records.]

b. Obligation copy.

Destroy when funds are obligated.

**Rescinded per GRS Transmittal 28**

c. Other copies of records described above used by component elements of a procurement office for administrative purposes.



Destroy upon termination or completion.

**Superseded by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)**

- d. Data Submitted to the Federal Procurement Data System (FPDS).  
Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.

Destroy or delete when 5 years old.

**GRS 1.1, Item 013 rescinded (Transmittal 30)**

[NOTE: Unique procurement files are not covered by this schedule. With the standardization of the Government-wide procurement process under the FAR, such files are unlikely to exist. However, if you believe that a procurement file has long-term research value, you should contact the Departmental Records Officer.]

### 3.1 Pension Case Files.

Pension plan case files consisting of cost-type contractor pension plans, modifications, and amendments; correspondence, reports, studies, and analyses; negotiations; DOE requirements for acceptance and modification; funding and cost data; industry pension plan comparability studies.

- a. Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.

Cut off annually. Destroy 80 years after contract completion or termination. (N1-434-98-6(3.1a))

**Superseded by DOE 1.1, Item 010 (DAA-0434-2020-0006-0001)**

- EPI** b. Cases for which DOE has no obligations for liability after contract completion or termination.

Cut off annually. Destroy 6 years and 3 months after contract completion or termination. (N1-434-98-6(3.1b))

**Superseded by DOE 1.1, Item 020 (DAA-0434-2020-0006-0002)**

### 3.2 Casualty Insurance Case Files. (N1-434-98-6(3.2))

Casualty insurance (including workman's compensation) plan case files that consist of casualty insurance coverage plans for DOE cost-type contractors, including policies, endorsements, reports, correspondence, studies, analyses, actuarial data, and computations. Included is information showing premium adjustments, coverage, funding, billing, and losses incurred.

- a. Cases assigned to or administered by DOE upon contract completion or termination.

Cut off annually. Destroy 80 years after contract completion or termination. N1-434-98-6(3.2a))

**Superseded by DOE 1.1, Item 030 (DAA-0434-2020-0006-0003)**

- EPI** b. Cases for which DOE has no obligation or liability after contract completion or termination.

Cut off annually. Destroy 6 years and 3 months after contract completion or termination. N1-434-98-6(3.2b))

**Superseded by DOE 1.1, Item 030 (DAA-0434-2020-0006-0003) - EPI**

#### **4. Supply Management Files.** (GRS 3, item 4)

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

- a. Copies received from other units for internal purposes or for transmission to staff agencies. (GRS 3, item 4a)  
Destroy when 2 years old.  
**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**
- b. Copies in other reporting units and related working documents. Destroy when 1 year old. (GRS 3, item 4b)  
**UPDATED Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

#### **5. Solicited and Unsolicited Bids and Proposals Files.** (GRS 3, item 5)

- a. Successful bids and proposals.  
Destroy with related contract case files (see item 3 of this schedule).  
**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**
- b. Solicited and unsolicited unsuccessful bids and proposals.
- (1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.  
Destroy 1 year after date of award or final payment, whichever is later.  
**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**
- (2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.
- (a) When filed separately from contract case files.  
Destroy when related contract is completed.  
**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- (b) When filed with contract case files.

Destroy with related contract case file (see item 3 of this schedule).

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- c. Canceled solicitations files.

- (1) Formal solicitations of offers to provide products or services (e.g., invitations for Bid Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.

Destroy 5 years after date of cancellation.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- (2) Unopened bids

Return to bidder

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete.

**Superseded by GRS 1.1, Items 070 and 071 (DAA-GRS-2016-0001-0004 and 0005)**

## 6. Public Printer Files. (GRS 3, item 6)

Records relating to requisitions on the Printer, and all supporting papers.

- a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.

Destroy 3 years after completion or cancellation of requisition.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- b. Accounting copy of requisition.

Destroy 3 years after period covered by related account.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

## 7. Nonpersonal Requisition File. (GRS 3, item 7)

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts, ADM Schedule 6).

Destroy when 1 year old.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

## 8. Inventory Requisition File. (GRS 3,item 8)

Requisitions for supplies and equipment for current inventory.

- a. Stockroom copy.

Destroy 2 years after completion or cancellation of requisition.  
(GRS 3, item 8a)  
**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

- b. All other copies.

Destroy when 6 months old. (GRS 3, item 8b)  
**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

## 9. Inventory Files.

- a. Inventory lists.

Destroy 2 years from date of list. (GRS 3, Item 9a)  
**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

- b. Inventory cards.

Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification. or 2 years after equipment is removed from agency control. (GRS 3, item 9b)  
**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

- c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS. Includes documentation indicating inventory discrepancies.

Destroy 10 years after date of survey action or date of posting medium.  
(N1-434-98-6(9c))  
**Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

## 10. Telephone Records. (GRS 3,item 10)

Telephone statements and toll slips.

Destroy 3 years after period covered by related account. (GRS 3, item 10)  
**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

## 11. Contractors' Payroll Files. (GRS 3, item 11)

Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, antikickback affidavits, and other related papers.

Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.  
**Superseded by GRS 1.1, Item 050 (DAA-GRS-2013-0003-0003)**

## 12. Tax Exemption Files. (GRS 3, item 12)

Tax exemption certificates and related papers.

Destroy 3 years after period covered by related account.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

## 13. Unsuccessful Grant Application Files. (GRS 3, item 13)

Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

Destroy 3 years after rejection or withdrawal.

**Superseded by GRS 1.2, Item 021 (DAA-GRS-2013-0008-0006)**

## 14. Grant Administrative Files (GRS 3, item 14)

Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Destroy when 2 years old.

**Superseded by GRS 1.2, Item 010 (DAA-GRS-2013-0008-0007)**

## 14.1 Grant Files. (N1-434-95-1(1)) **CORRECTED SUPERSEDED ITEMS**

Records relating to Federal Financial Assistance awarded to grantees for Institutional Conservation Program, Weatherization Assistance Program, State Energy Conservation Program, Energy Extension Service, and Misc. Discretionary Programs. Files include Notification of Financial Assistance Awards, Financial Status Reports, Request for Reimbursements, Project Status Reports and other Government agency reports, as well as general correspondence and other communication pertinent to the grant.

Transfer to Federal Records Center at least one (1) year from date of final closeout of grant. Destroy records six (6) years, three (3) months after final closeout of grant.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001) (in part)**

**Superseded by GRS 1.2, item 020 (DAA-GRS-2013-0008-0007) (in part)**

## 14.2 Debarment Case Files

Consists of documents relating to investigations of Contractors or Grant recipients resulting in the debarment or suspension from contracting with or receiving assistance from the DOE. The Case Files include copies of Inspector General reports, attorney recommendations for action, suspension notifications, hearing transcripts, briefs and motions, final determinations and settlement agreements for debarment and for suspension cases and other related documents. These records may be paper or word processing files or a combination of both. These case files are media neutral. Reference 48 CFR 9.4, 10 CFR 606, FAR Subpart 9.4 and DEAR 909.403

- a. Case Files – Cutoff file when the case is closed, the debarment period or voluntary exclusion period is completed, whichever is later. Maintain inactive files in the office for 3 months after the cutoff. Destroy 6 years 3 months after cutoff. (N1-434-05-01(a))
- b. Other related records – Destroy when no longer needed for reference or other business purpose. (N1-434-05-01(b))  
**Rescinded per GRS Transmittal 28**

## **15. Contract Appeals Case Files.** (GRS 3, item 15)

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

- a. Records created prior to October 1, 1979.  
Destroy 6 years, 3 months after final action on decision. **Rescinded per GRS Transmittal 28**
- b. Records created after September 30, 1979.  
Destroy 1 year after final action on decision.  
**Superseded by GRS 1.1, Item 060 (DAA-GRS-2016-0001-0003)**

## **16. Contractor's Statement of Contingent or Other Fees.** (GRS 3, item 16)

Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.

Destroy when superseded or obsolete.  
**Rescinded per GRS Transmittal 23**

## **17. Small and Disadvantaged Business Utilization Files.** (GRS 3, item 17)

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub. Law. 95-507.

Destroy when 3 years old.  
**Rescinded per GRS Transmittal 29**

## **18. Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)** (GRS 3, item 18)

Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews,

consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures.

[NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under ADM 3, Item 3a, Routine Procurement Files.]

- a. Circular No. A-76 case files/studies maintained by office having primary responsibility.

Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 years after cut off.

**Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)**

- b. Circular No. A-76 records maintained by other offices, including information copies and background material.

Cut off upon completion of study. Destroy 2 years after cut off.

**Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)**

**Department of Energy  
Administrative Records Schedule 4:  
Property Disposal Records  
October 2021  
Revision 4**

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

- a. Standard Form 114 (SF-114), Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.
- b. Standard Form 120 (SF-120), Report of Excess Personal Property, and Standard Form 121 (SF-121), Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF-120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

**1. Property Disposal Correspondence Files.** (GRS 4, item 1)

Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.

Destroy when 2 years old.

**Superseded by GRS 5.4, Item 040 (DAA-GRS-2016-0011-0004)**

**2. Excess Personal Property Reports.** (GRS 4, item 2)



Destroy when 3 years old.

**Superseded by GRS 5.4, Item 040 (DAA-GRS-2016-0011-0004)**

### 3. Surplus Property Case Files.

Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.

- a. Transactions of more than \$25,000.

Destroy 6 years after final payment. (GRS 4, item 3a)

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- b. Transactions of \$25,000 or less.

Destroy 3 years after final payment. (GRS 4, item 3b)

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- c. Surplus Property Precedential Case Files.

Case files on sales of surplus personal property (as described elsewhere herein) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.

Permanent. Transfer to the National Archives within 25 years of case closure. (NC-430-76-5(1))

- d. Property Disposal Case Files.

Case files on disposal of surplus real and related personal property.

Destroy 10 years after unconditional sale or release by the government of conditions, restrictions, mortgages, or other liens. (NCI-430-77-8(2b))

### 4. Real Property Files. [See note after this item.] (GRS 4, item 4)

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided:

- (a) that the records can be segregated without harm to other documents of enduring value,

(b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and

(c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

**Superseded by GRS 5.4, Item 020 or 051 (DAA-GRS-2016-0011-0002) OR GRS 5.4 item 051 (DAA-GRS-2016-0011-0006)**

[NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF-115 to NARA.]

**5. Reserved.**

**6. Nuclear Materials-Related, Revenue -Producing Contracts. (NC-326-75-1(1))**

Revenue-producing contracts with foreign and domestic customers, including documentation of the negotiations, administration, payment, and delivery for goods and services for (1) the sale of nuclear products, including source, by-product, special nuclear materials, and heavy water; (2) toll enrichment services; and (3) chemical processing of irradiated fuel.

Destroy 6 years after receipt of final payment.

**EPI 7. Records of the Transfer of Nuclear Materials for Research. (NC-326-75-1(2))**

“Transfer of Material” records documenting the “without charge” transfer of nuclear material in quantities suitable for research purposes only.

Destroy 6 years after transfer is completed.

**8. Nuclear Materials Leasing Records. (NC-326-75-1(3))**

Lease agreements documenting the leasing of nuclear materials and heavy water to foreign and domestic customers.

Destroy 6 years after termination of the lease.

# ALL ITEMS HAVE BEEN SUPERSEDED

**Department of Energy**  
**Administrative Records Schedule 5:**  
**Budget Preparation, Presentation, and Apportionment Records**  
**August 2022**  
**Revision 5**

Budget and apportionment records include the various files accumulated in the course of formulating the budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. OMB makes the funds available. The Department indicates and justifies regularly with OMB the proposed rate of expenditure. After the funds have been made available, the controls over the funds are in expenditure accounting records (ADM 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (ADM 6).

Budget records are normally created at all organizational levels. They include proposals from operating levels as well as the Department-wide coordinating work done by budget offices. The records consist of detailed work papers and budgetary statements developed by operating units, the more significant budget statements and related papers representing consolidated submissions prepared to forward to the budget officers, and the records at the highest level pertaining to the budget submission for the Department.

Although OMB prescribes format and procedures for all Federal agencies, there are various internal reports and papers that support the budget and are used in its preparation. The budget submission, a record copy of which is usually designated by the Department, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the Departmental request and the immediately related supporting documents. The narrative presents the policies and the programs of the Department that the budget request is to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the Department operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular Departmental programs, and figures based on the cost of various types of service operations, such as personnel and payroll activities.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

**1. Budget Correspondence Files.**

# ALL ITEMS HAVE BEEN SUPERSEDED

## a. Budget Policy Files

Correspondence or subject files in formally organized budget office documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

Permanent. Offer to National Archives when 25 years old. (NC1-430-76-8(1a(1)))  
**Superseded by DOE 1.3, Item 010 (DAA-434-2020-0008-0001)**

## b. Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

Destroy when 2 years old. (GRS 5, item 1)  
**Superseded by GRS 1.3, Item 050 (DAA-GRS-2015-0006-0007)**

## 2. Budget Background Records. (GRS 5, item 2)

Cost statements, rough data 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; and originating offices copies of reports submitted to budget offices.

Destroy 1 year after the close of the fiscal year covered by the budget.  
**Superseded by GRS 1.3, Item 010 (DAA-GRS-2015-0006-0001) or GRS 1.3, Item 040 (DAA-GRS-2015-0006-0005) OR GRS 1.3, Item 041 (DAA-GRS-2015-0006-0006)**

## 3. Budget Reports File. (GRS 5, item 3)

Periodic reports on the status of appropriation accounts and apportionment

### a. Annual report (end of fiscal year).

Destroy when 5 years old.  
**Superseded by GRS 1.3, Item 030 (DAA-GRS-2015-0006-0003)**

### b. All other reports.

Destroy 3 years after the end of the fiscal year.  
**Superseded by GRS 1.3, Item 031 (DAA-GRS-2015-0006-0004)**

## 4. Budget Apportionment Files. (GRS 5, Item 4)

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Destroy 2 years after the close of the fiscal year.  
**Superseded by GRS 1.3, Item 020 (DAA-GRS-2015-0006-0002)**

# ALL ITEMS HAVE BEEN SUPERSEDED

## 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files).

Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

- a. Records documenting substantive programs.

Permanent. Cut off at end of fiscal year. Transfer to NARA 10 years after cutoff. (N1-434-98-8(4.1a))

**Superseded by DOE 1.3, Item 010 (DAA-434-2020-0008-0001)**

- b. Records that document non-substantive programs.

Destroy when 6 years old. Cut off at end of fiscal year. (N1-434-98-8(4.1b))

**Superseded by DOE 1.3, Item 020 (DAA-434-2020-0008-0002)**

## 5. Reserved.

## 6. Priorities and Allocation Records.

- a. Records on the use of DO, DX, and Authorized Controlled Material (ACM) rating authority, exclusive of correspondence on planning, policy, procedures, and authorizations.

Destroy when 3 years old. (II-NNA-340(1))

**Rescinded - Transmittal 03**

- b. Requirements studies in connection with mobilization planning and the Controlled Materials Plan, exclusive of correspondence on planning, policy, procedures authorizations which are to be retained.

Headquarters offices destroy when 5 years old. DOE Field offices and M&O contractors, destroy when 2 years old. (II-NNA-340(2))

**Rescinded - Transmittal 03**

## 7. Unique Procurement Files. (NCI-430-77-8(1))

Procurement files documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs.

Permanent. Offer to the National Archives after 25 years.

**Superseded by DOE 1.1, Item 040 (DAA-0434-2020-0006-0004)**

**Department of Energy**  
**Administrative Records Schedule 6:**  
**Accountable Officer's Accounts Records**  
**August 2022**  
**Revision 5**

This schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accountability Office (GAO).

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Treasury Department. Disbursements are made on the basis of certified schedules, with the detailed vouchers held in Departmental space for site audit. This procedure was extended and confirmed by GAO General Regulations No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form 1166 and 1167) for use by the Department.

On-site audit by GAO covers vouchers, contracts, schedules, statements of transactions and accountability and other related supporting documents. If the records are no longer required for administrative purposes, all audited and any unaudited records more than one full fiscal year old may be transferred to Federal records centers. The transfer of unaudited accountable officers' accounts less than one year old requires obtaining permission from the Director, Records Management, GAO. The creation of memorandum copies as described in item 1b of this schedule is unnecessary because the records are retained for site audit in the Department.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents which deposit funds into the Treasury, and (3) documents which provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Departmental copies of these deposit and status documents are related to the accounts of these officers and are included in this schedule. All records described in this schedule are authorized for disposal in both hard copy and electronic formats. Retirement of noncurrent records to inactive storage is authorized.

**1. Accountable Officers' Files.** [See note after item 1b.] (GRS 6, item 1)

- a. Original or ribbon copy of accountable officers' accounts maintained in the Department for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. Under the Department's integrated accounting system certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the Department. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.

Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.

SF 215 Deposit Ticket  
SF 224 Statement of Transactions  
SF 1012 Travel Voucher  
SF 1034 Public Voucher for Purchases and Services Other Than Personal  
SF 1036 Statement of Certificate and Award  
SF 1038 Advance of Funds Application and Account  
SF 1047 Public Voucher for Refunds  
SF 1069 Voucher for Allowance at Foreign Posts of Duty  
SF 1080 Voucher for Transfer Between Appropriations and/or Funds  
SF 1081 Voucher and Schedule of Withdrawals and Credits  
SF 1096 Schedule of Voucher Deductions  
SF 1097 Voucher and Schedule to Effect Correction of Errors  
SF 1098 Schedule of Canceled Checks  
SF 1113 Public Voucher for Transportation Charges  
SF 1129 Reimbursement Voucher  
SF 1143 Advertising Order  
SF 1145 Voucher for Payment Under Federal Tort Claims Act  
SF 1154 Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee  
SF 1156 Public Voucher for Fees and Mileage  
SF 1164 Claim for Reimbursement for Expenditures on Official Business  
SF 1166 Voucher and Schedule of Payments

SF 1185 Schedule of Undeliverable Checks for Credit to  
Government Agencies  
SF 1218 Statement of Accountability (Foreign Service Account)  
SF 1219 Statement of Accountability  
SF 1220 Statement of Transactions According to Appropriation,  
Funds, and Receipt Accounts  
SF 1221 Statement of Transactions According to Appropriation,  
Funds, and Receipt Accounts (Foreign Service Account)  
OF 1114 Bill of Collection  
OF 1114A Official Receipt  
OF 1114B Collection Voucher

Destroy 6 years and 3 months after period covered by account.  
**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- b. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by ADM 9 and payroll records covered by ADM 2.

Destroy when 1 year old.  
**Superseded by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)**

[NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.]

## 2. GAO Exceptions Files. (GRS 6, item 2)

General Accounting Office (GAO) notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.

Destroy 1 year after exception has been reported as cleared by GAO.

**Rescinded per GRS Transmittal 28**

### 2.1 Audit files. **AUTHORITIES CORRECTED - AUGUST 2022**

- a. Audit files generated in the performance of DOE and cost type contractor operations, including pertinent reports and revisions thereof, concurrences, comments, reports relative to action on recommendations, pertinent correspondence, and related work papers. Excludes investigations records, covered by ADM Schedule 22.

- (1) Files relating to DOE-wide audits conducted by DOE Headquarters audit staff and the General Accounting Office.



Destroy when 10 years old. (N1-434-98-9, item 1)

- (2) Files relating to audits of individual DOE organizations and contractors, conducted by DOE field organizations or the headquarters audit staff.

(a)

Report files and related correspondence.

Destroy when 10 years old. (N1-434-98-9, item 2)

(b) Work papers.

Destroy when 5 years old. (N1-434-98-9, item 3)

- (3) Audit files generated by M&O, M&I, and similar contractor audit staffs performing internal audits, including pertinent reports and revisions thereof, concurrences, comments, reports relative to action taken on recommendations, pertinent correspondence, and related work papers.

Destroy when 10 years old (N1-434-98-9, item 4)

- b. Monthly memorandum reports summarizing activities between GAO and DOE pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records by GAO and compliance by DOE.

Destroy when 3 years old. (N1-434-98-9(5))

### 3. **Certificates Settlement Files.** (GRS 6, item 3)

Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.

- a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Destroy 2 years after date of settlement.

**Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

- b. Certificates covering period settlements.

Destroy when subsequent certificate of settlement is received.

**Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

### 4. **General Fund Files.** (GRS 6, item 4)

Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.

Destroy when 3 years old.

**Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

**5. Accounting Administrative Files.**(GRS 6, Item 5)

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

- a. Files used for workload and personnel management purposes.

Destroy when 2 years old.

**Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

- b. All other files.

Destroy when 3 years old.

**Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

**6. Federal Personnel Surety Bond Files.**(GRS 6, Item 6)

- a. Official copies of bond and attached powers of attorney.

- (1) Bonds purchased before January 1, 1956.

Destroy 15 years after bond becomes inactive

**Rescinded per GRS Transmittal 28**

- (2) Bonds purchased after December 31, 1955.

Destroy 15 years after end of bond premium period.

**Rescinded per GRS Transmittal 28**

- b. Other bond files including other copies of bonds and related documents.

Destroy when bond becomes inactive or after the end of the bond premium period. **Rescinded per GRS Transmittal 28**

**7. Gasoline Sales Tickets.** (GRS 6, item 7)

Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.

Destroy after GAO audit or when 3 years old, whichever is sooner.

**Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

**8. Telephone Toll Tickets.** (GRS 6, item 8)

Originals and copies of toll tickets filed in support of telephone toll call payments.

Destroy after GAO audit or when 3 years old, whichever is sooner.

**Superseded by GRS 1.1, item 001 (DAA-GRS-2016-0013-0001)**

**9. Telegrams.** (GRS 6, item 9)

Originals and copies of telegrams filed in support of telegraph bills.

Destroy after GAO audit or when 3 years old, whichever is sooner.

**Rescinded per GRS Transmittal 28**

**10. Administrative Claims Files.** (GRS 6, Item 10)

a. Claims against the United States.

Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

Destroy when 6 years, 3 months old.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).

Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

(1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

Destroy when 6 years, 3 months old.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

(2) Claims for which collection action has been terminated under 4 CFR Part 104.

(a) Claims for which the Government's right to collect was not extended.

Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

Destroy 3 months after the end of the extended period.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

- (3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated.

Destroy when 6 years, 3 months old.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

- c. Claims files that are affected by a court order or that are subject to litigation proceedings.

Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

## 11. Waiver of Claims Files. (GRS 6, item 11)

Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to a Department employee including bills of collection, requests for waiver of claim, investigative reports, decisions by Department and/or GAO approving or denying the waiver, and related records.

- a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount).

Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

- b. Denied waivers.

Destroy with related claims files in accordance with items 10b and 10c of this schedule.

**Superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001)**

## GENERAL RECORDS SCHEDULE 7

### Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they, in turn, summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Department of Treasury, and overall reports of agency fiscal condition which may be required by the General Accounting Office (GAO) (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by GAO auditors to be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Department of Treasury and the OMB, or to those formerly maintained by the GAO. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

1. Expenditure Accounting General Correspondence and Subject Files.

Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

Destroy when 2 years old. (GRS 7, 1952, item 1)

2. ~~General Accounting Ledgers.~~

~~General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

3. ~~Appropriation Allotment Files.~~

~~Allotment records showing status of obligations and allotments under each authorized appropriation. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

4. ~~Expenditure Accounting Posting and Control Files.~~

~~Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.~~

a. ~~Original records. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

b. ~~Copies. Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)~~

## GENERAL RECORDS SCHEDULE 8

### Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. Plant Accounting. These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. Cost Accounting. These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

1. Plant, Cost, and Stores General Correspondence Files.

Correspondence files of units responsible for plant, cost, and stores accounting operations.

Destroy when 2 years old. (GRS 8, 1952, item 1)

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2. ~~Stores Invoice Files.~~

~~Invoices or equivalent papers used for stores accounting purposes. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

3. ~~Stores Accounting Files.~~

~~Stores accounting returns and reports. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

4. ~~Stores Accounting Background Files.~~

~~Working files used in accumulating stores accounting data. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

5. ~~Plant Accounting Files. [See note after this item.]~~

~~Plant account cards and ledgers, other than those pertaining to structures. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

6. ~~Cost Accounting Reports.~~

a. ~~Copies in units receiving reports. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

b. ~~Copies in reporting units and related work papers. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

7. ~~Cost Report Data Files.~~

~~Ledgers, forms, and electronic records used to accumulate data for use in cost reports.~~

a. ~~Ledgers and forms. Superseded by GRS 1.1, item 040 (DAA-GRS-2013-0003-0012)~~

b. ~~Automated records.~~

~~(1) Detail cards. Rescinded per GRS Transmittal 23~~

~~(2) Summary cards. Rescinded per GRS Transmittal 23~~

~~(3) Tabulations. Rescinded per GRS Transmittal 23~~



**Department of Energy**  
**Administrative Records Schedule 9:**  
**Travel and Transportation Records**  
**October 2021**  
**Revision 4**

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by DOE Administrative Records Schedule (ADM) 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

- a. **Movement of Goods.** The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for civilian employees of the Government. If shipping certain valuables covered by the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.
- b. **Movement of persons.** The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by DOE ADM 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by DOE ADM Records Schedule 6, item 10.

All records described in this schedule are authorized for disposal in both hard copy and electronic format. Retirement of non-current records to inactive storage is authorized.

**1. Commercial Freight and Passenger Transportation Files. (GRS 9, item 1)**

- a. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule.

Destroy 6 years after the period of the account.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- b. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period, as such as detection of overcharge.

Destroy when 10 years old.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. See also 1.1, below.

Destroy 6 years after the period of the account.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- d. Obligation copy of commercial passenger transportation vouchers.

Destroy when funds are obligated.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

- e. Unused ticket redemption forms, such as SF 1170.

Destroy 3 years after the year in which transaction is completed.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

## **1.1 Foreign Travel Authorizations.**

Forms, reports, briefing statements, correspondence, and other records created for travel to foreign countries for programmatic, national security, or personal reasons.

- a. Records related to travel to foreign countries for programmatic reasons.

Cut off at end of fiscal year. Destroy 7 years after cutoff. (N1-434-98-12(1.1a))

- b. Records related to travel to foreign countries for personal reasons.

Cut off at end of fiscal year. Destroy 7 years after cutoff. (N1-434-98-12(1.1b))

**2. Lost or Damaged Shipments Files.** (GRS 9, item 2)

Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.

Destroy when 6 years old.

**Superseded by GRS 5.5, Item 040 (DAA-GRS-2016-0012-0004)**

**3. Noncommercial, Reimbursable Travel Files.** (GRS 9, item 3)

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

a. Travel administrative office files.

Destroy when 6 years old.

**Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)**

b. Obligation copies.

Destroy when funds are obligated.

**Superseded by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)**

**4. General Travel and Transportation Files.** (GRS 9, item 4)

a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.

Destroy when 2 years old.

**Superseded by GRS 1.1, Item 001 (DAA-GRS-2016-0013-0001)**

b. Accountability records documenting the issue or receipt of accountable documents.

Destroy 1 year after all entries are cleared.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

**5. Records Relating to Official Passports.** (GRS 9, item 5)

a. Application files.

Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

# UPDATED AUTHORITIES

Destroy when 3 years old or upon separation of the bearer, whichever is sooner.

**Superseded by GRS 2.2, Item 090 (DAA-GRS-2017-0007-0013)**

- b. Annual reports concerning official passports.

Reports to the Department of State concerning the number of official passports issued and related matters.

Destroy when 1 year old.

**Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)**

- c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when superseded or obsolete.

[NOTE: Official passports should be returned to the Department of State upon expiration or upon the separation of the employee.]

**Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001) OR**

**Superseded by GRS 2.2, Item 091 (DAA-GRS-2017-0007-0014)**

6. **RESERVED.** (GRS 9, item 6)

7. **Federal Employee Transportation Subsidy Records.** (GRS 9, item 7)

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded application, certification logs, vouchers, spreadsheets, and other forms used to document disbursements of subsidies.

Destroy when 3 years old.

**Superseded by GRS 2.4, Item 130 (DAA-GRS-2016-0015-0017) OR**

**Superseded by GRS 2.4, Item 131 (DAA-GRS-2016-0015-0018)**

## GENERAL RECORDS SCHEDULE 10

### Motor Vehicle and Aircraft Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles and aircraft used by agencies.

Motor vehicles. Items 1 through 7 pertain to motor vehicles used by agencies. 41 CFR 101-34 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Acquisition Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This portion of the schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Acquisition Service (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

Aircraft. Items 9 through 13 pertain to the management, maintenance, and operation of aircraft used by Federal agencies. 41 CFR 102-33 prescribes policies and procedures. These items include Federal records accumulated in connection with the use of leased aircraft as well as records provided by contractors for government agencies. Specifically excluded from this schedule are previously approved records series from the Federal Aviation Administration, Department of the Air Force, Department of the Navy, and the Department of the Army.

[**Note:** Some of these records may be necessary for the investigation and preparation of accident/incident reports. Agencies conducting their own internal accident/incident investigation congruent with those conducted by the Federal Aviation Administration and the National Transportation Safety Board must maintain those records in accordance with item 13 of this schedule. The records of the Federal Aviation Administration and the National Transportation Safety Board are excluded from item 13 of this schedule.]

1. Motor Vehicle Correspondence Files.

Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

Destroy when 2 years old. (GRS 10, 1952, item 1)

2. Motor Vehicle Operating and Maintenance Files.

- a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

Destroy when 3 months old. (GRS 10, 1952, item 2a)

b. Maintenance records, including those relating to service and repair.

Destroy when 1 year old. (GRS 10, 1952, item 2b)

3. Motor Vehicle Cost Files.

Motor vehicle ledger and worksheets providing cost and expense data.

Destroy 3 years after discontinuance of ledger or date of worksheet. (GRS 10, 1952, item 3)

4. Motor Vehicle Report Files.

Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data.

Destroy 3 years after date of report. (GRS 10, 1952, item 4)

5. Motor Vehicle Accident Files.

Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness.

Destroy 6 years after case is closed. (GRS 10, 1952, item 5)

6. Motor Vehicle Release Files.

Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle.

Destroy 4 years after vehicle leaves agency custody. (NARA memo 10/20/1955)

7. Motor Vehicle Operator Files.

Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.

Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

8. Reserved.

9. Routine Aircraft Operations.

Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records.

Destroy when 2 years old. (N1-GRS-04-6, item 1)

10. Logistical Support for Flight Operations.

Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters.

Destroy when 6 years old or when superseded, whichever is later. (N1-GRS-04-6, item 2)

11. General Aircraft Maintenance and Modifications Records.

Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see item 12 for records relating to maintenance activities involving specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of materiel, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.

a. Recordkeeping copies of maintenance manuals for unique or customized aircraft

Permanent. Transfer to the National Archives in 5-year blocks after they become superseded or obsolete. (N1-GRS-04-6, item 3a)

b. All other records

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-04-6, item 3b)

12. Individual Aircraft Maintenance and Airframe Modifications Records.

Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also

included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.

Destroy 6 years after aircraft disposal or clearance of related equipment from the program. (N1-GRS-04-6, item 4)

13. Records Required for Accident/Incident Reports.

Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies.

Keep for the duration of investigation and then destroy 1 year after completion of investigation and preparation of required reports. (N1-GRS-04-6, item 5)



**Department of Energy  
Administrative Records Schedule 11:  
Space and Maintenance Records  
September 2023  
Revision 6**

This schedule provides for the disposal of all copies, wherever located in the Department, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts covered by Administrative Records Schedule (ADM) 6; and (b) records of procurement and supply (ADM 3).

All records described in this schedule are authorized for disposal in both hard copy and electronic formats.

**1. Space and Maintenance General Correspondence Files.** (GRS 11, item 1)

Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.

Destroy when 2 years old.

**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

**2. Departmental Space Files.**

Records relating to the allocation, utilization, and release of space under Departmental control, and related reports to the General Services Administration

- a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

Place in inactive file upon termination of assignment, cancellation of lease, or when plans are superseded or obsolete. Cut off inactive file annually. Destroy 75 years after cutoff. Retirement of non-current records to inactive storage is authorized. (N1-434-98-14(2a))

- b. Correspondence with and reports to staff agencies (agency having Government-wide functional responsibilities) relating to Departmental space holdings and requirements.

# UPDATED AUTHORITIES

- (1) Departmental reports to the General Services Administration, including SF 81, Request Space, and related documents.

Destroy when 2 years old.

**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

- (2) Copies in subordinate reporting units and related work papers.

Destroy when 1 year old.

**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

### 3. **Directory Service Files.** (GRS 11, item 3)

Correspondence, forms, and other records relating to the compilation of directory service listings.

Destroy 2 months after issuance of listing.

**Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)**

### 4. **Credentials Files.** (GRS 11, item 4) **CORRECTED SUPERSEDED CITATIONS**

Identification, credentials, and related papers.

- a. Identification credentials including cards, badges, parking permits, photographs, Department permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Destroy credentials 3 months after return to issuing office.

**Superseded by GRS 5.6, Item 120 (DAA-GRS-2017-0006-0016) or GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)**

- b. Receipts, indexes, listings, and accountable records.

Destroy after all listed credentials are accounted for.

**Superseded by GRS 5.6, Item 120 (DAA-GRS-2017-0006-0016) or GRS 5.6, item 130 (DAA-GRS-2017-0006-0018)**

### 5. **Building and Equipment Service Files.** (GRS 11, item 5)

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work is performed or requisition is canceled.

**Superseded by GRS 5.2, Item 010 (DAA-GRS-2022-0009-0001)**

**Department of Energy  
Administrative Records Schedule 12:  
Communications Records  
August 2023  
Revision 6**

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in the Department.

Other than those covered by item 3, all records described in this schedule are authorized for disposal in both hard copy and electronic formats.

See ADM 18, item 42.1 for Communications Security (COMSEC) records retention requirements. Retirement of non-current records to inactive storage is authorized.

**1. Messenger Service Files.** (GRS 12, item 1)

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

Destroy when 2 months old.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

**2. Communication General Files.** (GRS 12, item 2).

- a. Correspondence and related records pertaining to internal administration and operation.

Destroy when 2 years old.

**Superseded by GRS 5.5, Item 010 (DAA-GRS-2016-0012-0001)**

- b. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

Destroy when 3 years old.

**Superseded by GRS 5.5, Item 010 (DAA-GRS-2016-0012-0001)**

- c. Telecommunications statistical reports including cost and volume data. [See also Administrative Schedule 3, item 10]

Destroy when 1 year old.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

- d. Telecommunications voucher files. [See also Administrative Schedule 3, item 10]

- (1) Reference copies of vouchers, bills, invoices, and related records.

Destroy when 1 fiscal year old.

**Superseded by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)**

- (2) Records relating to installation, change, removal, and servicing of equipment.

Destroy 1 year after audit or when 3 years old, whichever is sooner.

**Superseded by GRS 5.5, Item 010 (DAA-GRS-2016-0012-0001)**

- e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Destroy 2 years after expiration or cancellation of agreement.

**Superseded by GRS 5.5, Item 010 (DAA-GRS-2016-0012-0001)**

### **3. Telecommunications Operational Files.** [See note after item 3b.] (GRS 12, item 3)

- a. Message registers, logs, performance reports, daily load reports, and related and similar records.

Destroy when 6 months old.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

- b. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office.

Destroy when 2 years old.

**Rescinded per GRS Transmittal 28**

[NOTE: Master files and data bases created to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

### **3.1 Telecommunications Master Files and Data Bases.** (N1-434-98-15(3.1))

Master files and data bases created in central processing facilities to supplement or replace the records covered by telecommunications operational files.

Destroy/delete when 3 years old.

### **4. Telephone Use Records.** (GRS 12, item 4)

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a

telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records.

Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.

**Superseded by GRS 5.5, Item 010 (DAA-GRS-2016-0012-0001)**

## 5. **Post Office and Private Mail Company Records.** (GRS 12, item 5)

Post Office and private mail company forms and supporting papers.

- a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.

Destroy when 1 year old.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

- b. Application for registration and certification of declared value mail.

Destroy when 1 year old.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

- c. Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail.

Destroy when 1 year old.

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

## 6. **Mail and Delivery Service Control Files.**

- a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files.

Destroy when 1 year old. (GRS 12, item 6a)

**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

- b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).

Destroy when 6 months old. (GRS 12, item 6b)  
**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**

- c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).  
Destroy when 6 months old. (GRS 12, item 6c)  
**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**
  - d. Statistical reports and data relating to handling of mail and volume of work performed.  
Destroy when 1 year old. (GRS 12, item 6d)  
**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**
  - e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.  
Destroy when 1 year old. (GRS 12, item 6e)  
**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**
  - f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.  
Destroy when 6 months old. (GRS 12, item 6f)  
**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**
  - g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.  
Destroy when 1 year old or when superseded or obsolete, whichever is applicable. (GRS 12, item 6g)  
**Superseded by GRS 5.5, Item 020 (DAA-GRS-2016-0012-0002)**
  - h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.  
Place record in inactive file upon separation or transfer of individual or when obsolete. Cut off inactive file annually. Destroy 75 years after cutoff. (N1-434-98-15(2))  
**Superseded by DOE 5.5, item 010 (DAA-GRS-2016-0012-0002)**
7. **Metered Mail Files.** (GRS 12, item 7)  
  
Official penalty mail reports and all related papers.  
  
Destroy when 6 years old.  
**Superseded by GRS 5.5, Item 030 (DAA-GRS-2016-0012-0003)**
8. **Postal Irregularities File.** (GRS 12, item 8)  
  
Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

# UPDATED AUTHORITIES

Destroy 3 years after completion of investigation.

**Superseded by GRS 5.6, Items 050 (DAA-GRS-2017-0006-0006)**

## GENERAL RECORDS SCHEDULE 13

### Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

1. Administrative Correspondence Files.

Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.

Destroy when 2 years old. (GRS 13, 1952, item 2)

2. Project Files. [See note after item 2b.]

Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.

- a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.

Destroy 1 year after completion of job. (GRS 13, 1952, item 3a)

- b. Files pertaining to planning and other technical matters.

Destroy when 3 years old. (GRS 13, 1952, item 3b)

[NOTE: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each



series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed. (NC1-GRS-81-5, items 1a and 1b)]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable. (GRS 13, 1952, item 4)

4. Mailing Lists.

- a. Correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. (GRS 13, 1952, item 5a)

- b. Card lists.

Destroy individual cards when canceled or revised. (GRS 13, 1952, item 5b)

5. Joint Committee on Printing (JCP) Reports Files.

Reports to Congress and related records.

- a. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old. (GRS 13, 1952, item 6a)

- b. Copies in subordinate reporting units and related work papers.

Destroy 1 year after date of report. (GRS 13, 1952, item 6b)

6. Internal Management Files.

Records relating to internal management and operation of the unit.

Destroy when 2 years old. (GRS 13, 1952, item 7)

**Department of Energy  
Administrative Records Schedule 14:  
Information Services Records  
September 2023  
Revision 6**

This schedule covers certain records pertaining to informational services performed by the Department in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act (FOIA) and Privacy Act ) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located. Item 4 applies only to files maintained in office responsible for the operation of the information activities. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of information protected by the Privacy Act. Other records closely related to the records covered by this schedule include those relating to budget presentations, and printing, duplicating, and distribution are covered in those schedules.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them.

All records described in this schedule are authorized for disposal in both hard copy and electronic formats. Retirement of non-current records to inactive storage is authorized. (N1-434-98-17, entire introduction)

**1. Information Requests Files.** (GRS 14, item 1)

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

Destroy when 3 months old.

**Superseded by GRS 5.2, item 010 (DAA-GRS-2022-0009-0001)**

**2. Acknowledgment Files.** (GRS 14, item 2)

Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

- Destroy 3 months after acknowledgment and referral.  
**Superseded by GRS 5.2, item 010 (DAA-GRS-2022-0009-0001)**
- 3. Press Service Files.** (GRS 14, item 3)
- Press service teletype news and similar materials.
- Destroy when 3 months old.  
**Rescinded per GRS Transmittal 28**
- 4. Information Project Files.** (GRS 14, item 4)
- Information service project case files maintained in formally designated information offices.
- Destroy 1 year after close of file or 1 year after completion of project.  
**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**
- 5. Commendation/Complaint Correspondence Files.** (GRS 14, item 5)
- Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.
- Destroy when 3 months old.  
**Superseded by GRS 6.4, Item 020 (DAA-GRS-2016-0005-0002) OR  
Superseded by GRS 6.5, Item 010 (DAA-GRS-0017-0002-0001)**
- 6. Indexes and Check Lists.** (GRS 14, item 6)
- Bibliographies, checklists, and indexes of Department publications and releases, EXCLUDING those relating to record sets scheduled as permanent.
- Destroy when superseded or obsolete.  
**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**
- Items 7 through 10. Reserved.**
- 11. Freedom of Information Act (FOIA) Requests Files.** (GRS 14, item 11)
- Files created in response to requests for information under FOIA consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested record or copy thereof.
- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).
- (1) Granting access to all the requested records.
- Destroy 2 years after date of reply.  
**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(2) Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay Department reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(b) Request appealed.

Destroy as authorized under item 12.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(b) Request appealed.

Destroy as authorized under item 12.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

b. Official file copy of requested records.

Dispose of in accordance with approved Department disposition instructions for the related records or with the related FOIA request, whichever is later.

**Rescinded per GRS Transmittal 28**

## **12. FOIA Appeals Files.** (GRS 14, item 12)

Files created in responding to administrative appeals under the FOIA for release of information denied by the Department, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

Destroy 6 years after final determination by Department or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

b. Official file copy of records under appeal.

**Rescinded per GRS Transmittal 28**

# UPDATED AUTHORITIES

Dispose of in accordance with approved Department disposition instructions for the related record or with the related FOIA request, whichever is later.

**13. FOIA Control Files.** (GRS 14, item 13)

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing.

Destroy 6 years after date of last entry.

**Superseded by GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)**

b. Other files.

Destroy 6 years after final action by the Department or after final adjudication by courts, whichever is later.

**Superseded by GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)**

**14. FOIA Reports Files.** (GRS 14, item 14)

Recurring reports and one-time information requirements relating to the Department implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental level.

Destroy when 2 years old.

[NOTE: This schedule does not cover Department level annual reports to the Congress. These reports should be scheduled for transfer to the National Archives by submitting a SF 115 to NARA.]

**Superseded by GRS 4.2, Item 070 (DAA-GRS-2013-0007-0006)**

**15. FOIA Administrative Files.** (GRS 14, item 15)

Records relating to the general Department implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

**Superseded by GRS 4.2, Item 001 (DAA-GRS-2019-0001-0001)**

**16 through 20. Reserved.**

**21. Privacy Act Requests Files.** (GRS 14, item 21)

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copies of reply thereto,

and all related supporting documents, which may include the official file copies of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay Department reproduction fees.

(a) Requests not appealed.

Destroy 2 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(b) Requests appealed.

Destroy as authorized under item 22.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(b) Requests appealed.

Destroy as authorized under item 22.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

b. Official file copy of requested records.

Dispose of in accordance with approved Department disposition instructions for the related records or with the related Privacy Act request, whichever is later.

**Rescinded per GRS Transmittal 28**

## 22. Privacy Act Amendment Case Files. (GRS 14, item 22)

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an Department's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing Department as provided under 5 U.S.C. 552a(g).

- a. Requests to amend agreed to by Department.  
  
Includes individual's requests to amend and/or review, refusal to amend, copies of Department's replies thereto, and related materials.  
  
Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after Department's agreement to amend, whichever is later.  
**Superseded by GRS 4.2, Item 090 (DAA-GRS-2013-0007-0007)**
- b. Requests to amend refused by Department.  
  
Includes individual's requests to amend and to review, refusal to amend, copies of Department's replies thereto, statement of disagreement, Department justification for refusal to amend a record, and related materials.  
  
Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by Department, or 3 years after final adjudication by courts, whichever is later.  
**Superseded by GRS 4.2, Item 090 (DAA-GRS-2013-0007-0007)**
- c. Appealed requests to amend.  
  
Includes all files created in responding to appeals under the Privacy Act for refusal by any Department to amend a record.  
  
Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.  
**Superseded by GRS 4.2, Item 090 (DAA-GRS-2013-0007-0007)**
- 23. Privacy Act Accounting of Disclosure Files. (GRS 14, item 23)**  
  
Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another Department, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.  
  
Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.  
**Superseded by GRS 4.2, Item 050 (NC1-64-77-1, Item 27)**
- 24. Privacy Act Control Files. (GRS 14, item 24)**

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

- a. Registers or listings.

Destroy 5 years after date of last entry.

**Superseded by GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)**

- b. Other files.

Destroy 5 years after final action by the Department or final adjudication by courts, whichever is later.

**Superseded by GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)**

**25. Privacy Act Reports Files.** (GRS 14, item 25)

Recurring reports and one-time information requirement relating to Department implementation, including biennial reports to the Office of Management and Budget, and the Report on New Systems at all levels.

Destroy when 2 years old.

**Superseded by GRS 4.2, Item 070 (DAA-GRS-2013-0007-0006)**

**26. Privacy Act General Administrative Files.** (GRS 14, item 26)

Records relating to the general Department implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

**Superseded by GRS 4.2, Item 001 (DAA-GRS-2019-0001-0001)**

**27 through 30. Reserved.**

**31. Mandatory Review For Declassification Requests Files.** (GRS 14, item 31)

Files created in response to requests for information under the mandatory review provisions of Executive Order (E.O.) 12958 or predecessor E.O.s; consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

- (1) Granting access to all the requested records.

Destroy 2 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**



(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay Department reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(b) Request appealed.

Destroy as authorized under item 32.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 5 years after date of reply.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

(b) Request appealed.

Destroy as authorized under item 32.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

b. Official file copy of requested records.

Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.

**Rescinded per GRS Transmittal 28**

c. Sanitizing instructions.

Destroy when superseded or when requested documents are declassified or destroyed.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

## **32. Mandatory Review for Declassification Appeals Files.** (GRS 14, item 32)

Files created in responding to administrative appeals under the mandatory review provisions of E.O. 12958 or predecessor E.O.s for release of information denied by the Department. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

Destroy 4 years after final determination by Department.

**Superseded by GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)**

- b. Official file copy of records under appeal.

Dispose of in accordance with approved Department disposition instructions for the related records, or with the related mandatory review request, whichever is later.

**Rescinded per GRS Transmittal 28**
- 33. Mandatory Review for Declassification Control Files.** (GRS 14, item 33)

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

  - a. Registers or listing.

Destroy 5 years after date.

**Superseded by GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)**
  - b. Other files.

Destroy 5 years after final action by the Department.

**Superseded by GRS 4.2, Item 040 (DAA-GRS-2019-0001-0003)**
- 34. Mandatory Review for Declassification Reports Files.** (GRS 14, item 34)

Reports relating to the Department's implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

Destroy when 2 years old.

**Superseded by GRS 4.2, Item 030 (DAA-GRS-2019-0001-0002)**
- 35. Mandatory Review for Declassification Administrative Files.** (GRS 14, item 35)

Records relating to the general Department implementation of the mandatory review provisions of E.O. 12958 or predecessor E.O.s; including notices, memoranda, correspondence, and related records.

Destroy when 2 years old.

**Superseded by GRS 4.2, Item 030 (DAA-GRS-2019-0001-0002)**
- 36. Erroneous Release Files.** (GRS 14, item 36)

Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

- a. Files that include the official file copy of the released records.

Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.

**Superseded by GRS 4.2, Item 060 (DAA-GRS-2015-0002-0001)**

- b. Files that do not include the official file copy of the released records.

Destroy 6 years after the erroneous release.

**Superseded by GRS 4.2, Item 061 (DAA-GRS-2015-0002-0002)**

## **37. Through 40. Reserved**

### **41. Speeches.**

- a. Speeches by the senior officials of DOE and contractor entities that affect program activities.

Permanent. Cut off at end of fiscal year. Transfer to NARA when 25 years old. (N1-434-98-17(41a))

- b. All other speeches.

Cut off at end of fiscal year. Destroy when 4 years old. (N1-434-98-17(41b))

### **42. News Media Materials.**

- a. Master media case files of formal informational releases and publications to the various media (papers, radio, TV) including copies of press releases, press conference transcripts, and scripts for presentations by senior officials of DOE and contractor entities that affect site mission or scope of work.

Permanent. Cut off at end of fiscal year. Transfer to NARA when 25 years old. (N1-434-98-17(42a))

- b. Copies of material appearing in the press concerning policies and activities of DOE and contractor entities.

Cut off at end of fiscal year. Destroy when 3 years old. (N1-434-98-17(42b))

- c. Non-mission releases.

Cut off at end of fiscal year. Destroy when 2 years old. (N1-434-98-17(42c))

### **43. Reserved.**

**44. Invention Dockets.** (NN-169-84-(1b))

Invention dockets containing copy of invention disclosure and pertinent correspondence on inactive cases, abandoned applications, and closed items.

Destroy when 30 years old.

**45. U.S. Patent Application Case Files.** (NN-169-84-(2b))

Case files containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references on issued patent domestic and foreign.

Issued patents (domestic and foreign).

Destroy when 25 years old.

**46. Patent Contracts.** (NN-169-84-(3c))

Patent contracts subcontracts, and purchase orders containing miscellaneous correspondence and related papers pertaining to negotiation of contract patent provisions, inventions or discoveries conceived under contract, reports and papers reviewed for patent clearance, and patent clearance of terminated contracts on cleared purchase orders, both prime and subcontract.

Destroy when 10 years old.

**47. Patent Licensing Records.** (NN-169-84(4))

Patent licensing records containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments.

Destroy 25 years after issuance of the patent.

**48. Employee Patent Agreement Forms.** (NN-169-84(5))

Employee patent agreement forms "Agreement Covering Discoveries, Inventions, and Improvements," (DOE FORM GC 203) signed by all employees at time of employment.

Destroy when 56 years old.

**49. Docket Files (Patents).**

Docket files containing findings, determinations, and statements of reason, decisions, backup material, and correspondence with the Patent Compensation Board, U.S. Court of Appeals and U.S. Court of Claims.

- a. Headquarters

Destroy when 25 years old. (NN-169-84(6a))

- b. Field elements.

Destroy when 10 years old. (NN-169-84(6b))

**50. Patent Infringement Files. (NN-169-84(7))**

Patent infringement files containing copies of patents which have been or possible might be infringed; pertinent correspondence regarding use of patents process, device, or material; copies of purchase orders and other backup material; Court of Claims petitions and actions.

- a. DOE Headquarters.

Destroy when 30 years old.

- b. Field elements and contractors.

Destroy 5 years after final action.

**51. Reports or Patents Applications Disclosing Nuclear Inventions/Discoveries.**

Reports or patent applications disclosing inventions/discoveries useful in the production or use of special nuclear material or atomic energy, and/or related correspondence referred for review under Section 151 and 152 of the Atomic Energy Act of 1954, as amended.

- a. Section 151(c) Reports—Complete descriptions of inventions or discoveries useful in the production or use of special nuclear material or atomic energy. Required to be filed with DOE by the inventors/discoverers within 180 days of invention/ discovery, unless otherwise described in applications for patent filed with the Commissioner of Patents within the required time (refer to item 8b below).

Destroy 25 years after date of last action. (NC1-434-83-3(1a))

- b. Section 151(d) Patent Applications. Applications referred to DOE from the Commissioner, U.S. Patent Trademark Office disclosing

inventions/discoveries required to be reported to DOE under section 151(c).

Destroy 25 years after date of last action. (NCI-434-83-3(1b))

- c. Section 152 Patent Applications (Correspondence Only. Applications in condition for allowance which disclose inventions/discoveries to DOE from the Commissioner, U.S. Patent and Trademark Office, to determine if the inventions/ discoveries were made or conceived under the contract, subcontract, or arrangement with DOE.

Destroy 25 years after Section 152 statutory period expires. (NCI-434-83-3(1c))

## 52. **Litigation Files.**

Litigation files reflecting all aspects of DOE or contractor litigation proceedings and documenting the General Counsel actions taken in protecting the interest of DOE and the Federal Government. Records consist of general reports, investigation reports, analyses, recommendations, and copies of contractual records.

- a. Significant case files determined by DOE to have had a significant effect on a statute regulation, or rule. (NCI-430-78-1a))

Permanent. Transfer to National Archives 25 years after close of case.

- b. Intense public interest cases determined by DOE to have attracted the interest of a Congressional Committee, the Executive Office of the President, or national media. (NCI-430-78-1b))

Permanent. Transfer to National Archives 25 years after close of case.

- c. Cases reviewed by the Supreme Court. (NCI-430-78-1c))

Permanent. Transfer to National Archives 25 years after close of case.

- d. Cases involving personal injuries alleged to have been caused by radiation. (NCI-430-78-1d))

Destroy 75 years after close of case.

**EPI**

- e. Other cases. (NCI-430-78-1e))

Destroy 10 years after close of case.

**53. Invention Disclosure Logs and Ledgers.** (NN-169-84(10))

Invention disclosure logs and ledgers showing invention disclosures reported, date, disposition, and U.S. Patent Office action.

Destroy 10 years after close of case.

**54. True Copy Certifications.** (NN-162-85(1))

Certifying or evidencing true copy nature of material submitted for publication in the Federal Register or elsewhere, including copy of material to be published, evidence of certification of true copy, letter of transmittal, and related correspondence and documents.

Destroy when 1 year old.

**55. Congressional Hearing Coordination Case Files.** (NCI-434-83-2(1))

Congressional hearing coordination case files containing correspondence and other documentation including approvals that reflect Departmental coordination of congressional hearings at which Departmental witnesses testified. Records document coordination activities and response actions such as advance approval of testimony of the Office of Management and Budget and DOE's office of General Counsel, changes in planned testimony, approval of final edited hearing transcript, selection of witnesses to respond to the subject matter of the incoming request letter from the congressional committee, approval of date for testimony, provision of written answers to questions asked of the Department to furnish either supplementary testimony or a direct response, and transmittals of written answers to the committees.

Destroy 5 years after close of calendar year in which testimony was given.

## GENERAL RECORDS SCHEDULE 15

### Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

1. Housing General Correspondence Files.

Correspondence files pertaining to the maintenance and management of housing projects.

Destroy when 2 years old. (GRS 15, 1953, item 1)

2. Housing Maintenance and Repair Files.

Maintenance and repair records for individual units.

a. Summary card or ledger record.

Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control. (GRS 15, 1953, item 2a)

b. Work orders, requisitions, and related papers involved in repair and maintenance work.

Destroy 3 fiscal years following close of fiscal year in which work is done. (GRS 15, 1953, item 2b)

3. Housing Management Files.



Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.

Destroy when 2 years old. (GRS 15, 1953, item 3)

4. Housing Lease Files.

Copies of leases, renewals, termination notices, and related documents.

Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs or (b) litigation is concluded, whichever is later. (GRS 15, 1953, item 4)

5. Housing Assignment and Vacancy Card Files.

a. Individual tenant cards.

Destroy when tenant vacates unit. (GRS 15, 1953, item 5a)

b. Individual housing unit cards.

Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control. (GRS 15, 1953, item 5b)

6. Housing Inventory Files.

Furnishing inventory files, pertaining to items included in furnished units.

Destroy 3 fiscal years after close of fiscal year in which inventory is superseded. (GRS 15, 1953, item 6)

7. Housing Application Files (other than copies in lease files).

a. Rejected application files.

Destroy 1 year from date of rejection. (GRS 15, 1953, item 7a)

b. All others.

Destroy when 2 years old. (GRS 15, 1953, item 7b)

# UPDATED AUTHORITIES

**Department of Energy  
Administrative Records Schedule 16:  
Administrative Management  
August 2022  
Revision 5**

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.

# UPDATED AUTHORITIES

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.

# UPDATED AUTHORITIES

## 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 compiled; 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))

# UPDATED AUTHORITIES

- 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.

# UPDATED AUTHORITIES

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-0434-2020-0008-0004)**

**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.**

# UPDATED AUTHORITIES

- 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))

**Superseded by GRS 6.2, item 060 (DAA-GRS-2015-0001-0006) EPI**

- b. Records created by committees.

**EPI**

- (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)))

**Superseded by GRS 6.2, item 060 (DAA-GRS-2015-0001-0006) EPI**

- (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)))

**Superseded by GRS 6.2, item 010 (DAA-GRS-2015-0001-0001)**

- (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)))

**Superseded by GRS 6.2, item 010 (DAA-GRS-2015-0001-0001)**

- (2) All other committee records.

# UPDATED AUTHORITIES

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

**Superseded by GRS 6.2, item 060 (DAA-GRS-2015-0001-0006) EPI**

- 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))

**Superseded by GRS 6.2, item 060 (DAA-GRS-2015-0001-0006) EPI**

- 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)))

**Rescinded - DOE Transmittal 05**

- (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.



# UPDATED AUTHORITIES

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

**Rescinded - DOE Transmittal 05**

- (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)))

**Rescinded - DOE Transmittal 05**

## 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)**

# UPDATED AUTHORITIES

- 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

# UPDATED AUTHORITIES

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)**

# UPDATED AUTHORITIES

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**

# UPDATED AUTHORITIES

**Department of Energy  
Administrative Records Schedule 17 Cartographic,  
Aerial, Photographic, Architectural, Engineering,  
and Facility Management Records  
November 2023  
Revision 8**

DOE creates and receives cartographic, aerial photographic, architectural, and engineering design records in connection with official activities. Many of these records have continuing historical value after they are no longer of use to the Department. This records schedule covers only disposable records. Guidelines for identifying and scheduling the records of continuing value are provided in “Managing Cartographic and Architectural Records: An Instructional Guide.” This Guide must be used in conjunction with this schedule to ensure proper disposition of all Departmental cartographic, aerial photographic, architectural, and engineering design records.

This schedule covers cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering records. Cartographic and aerial photographic records created before January 1, 1950, must be brought to the attention of the National Archives before applying the disposition instructions in this schedule.

This schedule also covers records pertaining to the management and operation of DOE industrial facilities. Such facilities include, but are not restricted to, Naval, test, and production reactors; production facilities; laboratories; and separation plants. The records consist of a wide variety of facility management records such as progress, production, and status reports; quality control data files; equipment history and control records; special material accountability files; and product output summaries. Records accumulated in the operation of the facility would include such documents as logbooks; instrument monitoring charts; industrial X-rays and radiographs; equipment inspection and servicing records; work permits; and many other documents that are generated in the operation, monitoring, production, and maintenance of the plant and its equipment.

These records are accumulated by contractor offices in the management, maintenance, and general upkeep of facilities, such as buildings, structures, plants, laboratories, utilities, and houses. This schedule includes records documenting maintenance and repair of fixture-type equipment such as boilers, heating and ventilating systems, and equipment requiring the use of design and construction drawings to make repairs.

Records include those generally maintained by property and plant management personnel fulfilling their responsibility for the management, control, accountability, maintenance, and operation of mobile or stationary equipment and personal property. This schedule covers personal property, equipment, machinery, machine tools, vehicles, office equipment, accessory and auxiliary items, and spare parts, exclusive of motor vehicles (GRS 10). Equipment records may complement or supplement procurement and supply records and accounting records.

Equipment records may be segregated into groups by equipment kind, type, purpose, use, location, valuation, or other assigned category, e.g., plant, office, supplier-owned, personal-use, tool receipts, loaned property borrowed property, and controller-use equipment. Records may be either as brief or

as detailed as is required to efficiently manage equipment consistent with its value, usage, or servicing requirements. In some instance, copies of a primary control record are used for additional secondary record or indexing purposes, e.g., a duplicate equipment inventory card is filed by name of accountable employee.

Guidelines are provided for the disposition of design and construction drawings and related records that have been created or received by DOE or DOE management and operating contractors in connection with official activities. Drawings refer to the graphic or engineering records that depict conceptual as well as precise measured information essential for the planning, design, and construction of facilities such as building, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes and finding aids, specifications, and three dimensional models. Most design and construction records lose their usefulness after specific periods of time. Generally, drawings pertaining to the conceptual or preliminary design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used and finalized during the construction process have a continuing value during the life of the facility especially for repair and maintenance needs. The finalized (“as-built”) construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is used, maintained, or owned by the Federal government.

After the design and construction files are no longer useful to DOE or contractors, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings and related records for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. The selection of individual buildings or project should be made by personnel with appropriate historical training subject to the approval of the National Archives and Records Administration (NARA). This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects. Those record which are developed during the design process generally consist of:

**Initial Design Planning Records** . Drawing and sketches that are conceptual in nature, and architectural renderings, that show the basic design features of the project, including building perspective, elevations, floor plans, and other general features; order-of-magnitude cost estimates and performance schedules; and may include three-dimensional models prepared for illustration or presentation purposes.

**Advanced Planning Records** . These cover the pre-Title I design activity documentation, including construction project data sheets of other types of project proposals, conceptual design studies and reports, conceptual safety and environmental impact analyses, cost estimates, performance schedules, methods of project performance, and the design criteria for the project; and development of the project management plan.

**Preliminary (Title I) Design Records** . Title I design studies and reports summarizing the design results (including more refined definition of project requirements, cost estimates, performance schedules, method of project performance, safety and environmental impact analyses) and preparation of preliminary drawings and construction specifications.

**Final (Title II) Design Records** . Title II (final working) drawings, final construction specifications, performance schedules, methods of project performance, final safety and environmental impact analyses (reports); and final project management plan for construction.

**Other Engineering and Design Records.** Engineering studies and reports, design calculations, analyses, and other engineering data and information developed during project planning and design which document engineering and design decisions.

**Other Documents and Information.** Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion.

**Final Working Drawings.** (Developed during Title II Design) Architectural and engineering drawings which consist of the master tracings which are acceptable reproducibles. These drawings provide information about various aspects of the construction of the building or facility including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, heating, ventilating, and air-conditioning details, as well as site and landscaping plans. These are important records because they provide not only detailed instructions for the erection of the building, but also present a comprehensive and detailed picture of its design. Those records which pertain to or are developed during the construction process usually consist of:

**Final Construction Specifications.** (Developed during Title II Design.) Detailed requirements for the project which identify materials and workmanship requirements, and explain the materials and equipment items depicted on the related working drawings.

**Project Management Plans for Construction.** (Developed during project planning and design.) Details of the project work breakdown structure; authorities and responsibilities of participants; performance diagram; and technical, cost, and schedule control systems for the project.

**“As Built” Drawings.** Annotated copies of final working drawings or additional drawings which show changes in the construction from the original design.

**Shop Drawings.** Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops. These drawings which include plans for architectural features and interior design such as tile and marble work, special cabinet work, elevators, or heating, ventilating, and air-conditioning systems, not only provide instructions for assembling the products on the job site, but may also be necessary of future operation and maintenance.

**Repair and Alteration Drawings.** Original drawings which depict repairs and alterations to the building as it was originally constructed.

**Standard Drawings.** Final drawings for standard details and other documents created in their preparation.

**Reports and Other Documentation.** Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process.

**Other Documentation and Information.** Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion (such as interim process reports and other interim project activity information).

Criteria for the selection of architecturally, historically, and technologically significant files:

## **Architectural Significance.**

- a. Original Design. Primary consideration should be given to those buildings and facilities which are essentially original in design. Although it may incorporate standard features, a uniquely designed building or facility is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.
- b. Standard or Repetitive Design. If building or facilities use a standard or repetitive design, it is not necessary to permanently retain a file for each building. However, a file should be retained for the building or facility most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.
- c. Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.
- d. Innovations. Buildings or facilities which include architectural or engineering innovations.

## **Historical Significance.**

- a. Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies.
- b. Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings or facilities.
- c. Controversial. Buildings or facilities which were involved in controversy in regard to their design, construction, or utilization. Projects terminated because of cost overruns, safety hazards, and environmental hazards are included.

## **Technological Significance.**

This category includes files for such projects as first-of-a-kind energy research, development,



or demonstration projects of other unique building or facility projects. Since this is a broad category which covers many different types of technical facilities, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variation. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard. (N1-434-98-20, NCI-434-78-2)

**1. Cartographic Records Prepared During Intermediate Stages of Publication.** (GRS 17, item 1)

Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reduction, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.

Destroy when no longer needed for revision.

**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**

**2. Withdrawn.**

**3. Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Departmental Mission.** (N1-434-98-20, item 3)

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

Destroy when 75 years old.

**4. Drawings of Electrical, Plumbing, Heating or Air Conditioning Systems.**

(GRS 17, item 4)

Destroy when superseded or after structure or object has been retired from service.

**Superseded by GRS 5.4, Item 051 (DAA-GRS-2016-0011-0006)**

**5. Contract Negotiation Drawings.** (N1-434-98-20, item 5)

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as-built drawings.

- a. Drawings from nuclear facilities or facilities that produced or stored hazardous materials.

Cut off when no longer needed for administrative purposes. Destroy when 75 years old.

- b. All other facilities.

Destroy when superseded by as-built drawings.

## 6. **Space Assignment Plans.**

Outlined floor plans indicating occupancy of a building.

- a. Plans from nuclear facilities or facilities that produced or stored hazardous materials.

Cut off when no longer needed for administrative purposes. Destroy when 75 years old.(N1-434-98-20, item 6a)

- b. All other facilities.

Destroy when superseded or after the structure or object has been retired from service.  
(GRS 17, item 6b)

**Superseded by GRS 5.4, Item 051 (DAA-GRS-2016-0011-0006)**

## 7. **Reserved.**

## 8. **Engineering Drawings of Routine Minor Parts.** (GRS 17, item 8)

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or they can be segregated from a larger file.

Destroy when superseded or after structure of object has been retired from service.

**Superseded by GRS 5.4, Item 051 (DAA-GRS-2016-0011-0006)**

## 9. **Drawings Reflecting Minor Modifications.** (GRS 17, item 9)

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or they are readily segregated from a larger file.

Destroy when superseded or after structure or object has been retired from service. **Superseded by GRS 5.4, Item 051 (DAA-GRS-2016-0011-0006)**

## 10. **Paint Plans and Samples.** (GRS 17, item 10)

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance, and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after structure or object has been retired from service.

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for  
**Superseded by GRS 5.4, Item 051 (DAA-GRS-2016-0011-0006)**

historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting an SF 115 to NARA.]

## 11. Reserved

### INDUSTRIAL FACILITY RECORDS

## 12. Biological Laboratory Records. **Corrected Authorities - August 2022**

Biological laboratory records documenting programs under which data concerning the effect of radiation on animal and aquatic life are accumulated, evaluated, and reported.

- a. Researcher's biology notebooks containing all notes pertinent to laboratory experiments, including observations and calculations, and all other data pertinent to the experiment, including discussions by the researcher and conclusions.
  - (1) Research notebooks deemed by the DOE, contractor, and the National Archives to have exceptional value because of the highly significant nature of the research involved or uniqueness of the research.  
Permanent. Offer to NARA within 25 years. (NC-430-76-4, item 1a(1))
  - (2) All other notebooks.  
Destroy when 15 years old. (NC-430-76-4, item 1b(2))
- b. Periodic reports relating to activity and progress prepared weekly, monthly, and annually from data recorded in biology notebooks described in item a, above. Destroy when 6 years old. (NC-430-76-4, item 1b)
- c. Machine-readable data taken from worksheets (see item n, below) pertaining to radiological analysis or beta analysis of animal or aquatic life, used for organization of data for entry in biology notebooks.  
Retain until entered in biology notebook. (NC-430-76-4, item 1c)
- d. Necropsy protocols recording data collected during autopsies performed on animals, including pathologic diagnosis of various organs and glands. Provides source data for animal case histories (see item 12e below) and is pertinent to the evaluation of experimental results.  
Destroy when 15 years old. (NC-430-76-4, item 1d)
- e. Animal cast histories recording such facts as: data from lambing records, treatment records, genealogical records, gestation periods, lambing dates, numbers, sex, and

weight, etc., important in the evaluation of experimental results and as a source of entries to biology notebooks.

Destroy when 20 years old. (NC-430-76-4, item 1e)

- f. Thyroid count records consisting of tabulating cards listing data taken from animal thyroid count worksheets (see item n, below). Records provide source of data entered in biology notebooks.

Destroy when 15 years old. (NC-430-76-4, item 1f)

- g. Radio analysis sample data describing collected samples, counted samples, and listing the beta count, decay factor, analysis factor, and remarks. This record is useful to accumulate data for transferring to keypunch cards, and is useful during retention period for checking errors on such cards (related to item e, above).

Destroy when 2 years old. (NCI-430-76-4, item 1g)

- h. Aquatic biology data analysis showing type of sample, location or source, counting information, laboratory correction factors, and related data.

Destroy when 2 years old. (II-NNA-1595, item 1h)

- i. Decay curve data sheets used to identify and verify characteristics of radioactive samples tested under laboratory conditions.

Destroy when 2 years old. (II-NNA-1595, item 1i)

- j. Absorption curve data sheets listing sample number, sample designation, data sampled and related facts, observed laboratory reactions, and corrected entries.

Destroy when 2 years old. (II-NNA-1595, item 1j)

- k. Daily counter background reports listing counting instruments and summarizing all the background data recorded on a daily basis. Reports are transcribed to results of all requested for analysis, such as items g and h, above.

Destroy when 2 years old. (II-NNA-1595, item 1k)

- l. Analytical requests describing samples for which laboratory analysis is desired, including results of the analysis and related facts pertinent to special or to alpha-beta-tritium counting requests. Information from this record is abstracted to biology notebooks (item a, above) for correlation and evaluation.

Destroy when 2 years old. (II-NNA-1595, item 1l)

- m. Photomicrographic requests and requests for related photographic work, including instruction and justification.  
Destroy when 2 years old. (II-NNA-1595, item 1m)
- n. Laboratory worksheets recording data pertaining to animal birth records, animal weight, animal treatment, habit patterns, thyroid counts, and related data compiled in animal case histories and useful in evaluating of experimental results.  
Destroy when 5 years old. (NC-430-76-4, item 1n)
- o. Animal tissue preparation request listing tissues to be prepared, fix to be used in laboratory, thickness of section, stain to be used, special instructions, and schedule of completion.  
Destroy when 2 years old. (II-NNA-1595, item 1o)
- p. Radiation counter control data used to maintain correct operating conditions for radiation detection instruments.  
Destroy when 1 year old. (II-NNA-1595, item 1p)
- q. Radiation counter plateaus listing equipment number, tube number, date, time, mica window thickness, voltage, lights and total counts; used to determine and list the operating condition of radiation counters.  
Destroy when 1 year old. (II-NNA-1595, item 1q)
- r. Source data card files used to check accuracy of radiation counters against the known calibration standards published by the National Institute of Standards and Technology .  
Destroy when 1 year old. (II-NNA-1595, item 1r)
- s. Particle accelerator experiment records resulting from experiments conducted with particle accelerators (spark chamber, bubble chamber, etc.). Final reports reflecting the results of experiments conducted with particle accelerators.  
Permanent. Offer to the National Archives within 25 years. (NC-430-76-4, item 2d)

### 13. **Synoptic Meteorology Records.** (II-NNA-2144)

Synoptic meteorology records accumulated to evaluate, interpret, and determine meteorological and climatological conditions bearing on engineering and contamination problems.

- EPI** a. Wind Logs recording wind speed and direction at hourly intervals and at various levels.  
Destroy when 10 years old.
- EPI** b. Summary sheets recording actual and average wind speeds and direction.  
Destroy when 10 years old.

- EPI** c. Reports of Synoptic Wind Observations listing wind velocities and direction at every half hour intervals in each project area.

Destroy when 10 years old.
- EPI** d. Soil and Air Temperature Logs, recording temperatures at every half hour intervals at various levels below and above surface.

Destroy when 10 years old.
- EPI** e. Solar Radiation Logs recording hourly averages and daily totals of solar radiation, direct and indirect, received on a horizontal surface.

Destroy when 10 years old.
- EPI** f. Psychometric Computations figured from wet and dry bulb readings, dew point, relative humidity, and adjustment figures taken and other records.

Destroy when 10 years old.
- EPI** g. Pressure Logs listing hourly barograph readings and corrections, station pressures, and temperatures.

Destroy when 10 years old.
- EPI** h. Surface Weather Observation Data listing sky and ceiling; visibility; sea level pressure, temperature; dew point; direction, speed, and character of winds, and total sky cover.

Destroy when 10 years old.
- EPI** i. Summary records concerning pressure, sky cover, humidity, frost, fog, and miscellaneous weather phenomena, including data and readings on frontal passage and chinook inversions.

Destroy when 10 years old.
- EPI** j. Precipitation Measurements and summaries, listing water in rain gauge, snow sleet or ice on the ground, water equivalent, and unmelted amounts, together with observer's remarks.

Destroy when 10 years old.
- EPI** k. Meteorological Recorder Charts recording velocity and direction, temperature, solar radiation, thermograph and hydrograph readings, and atmospheric pressure over 24-

hour periods.

Destroy when 5 years old.

- EPI** l. Pilot Balloon ascension reports, indicating elevation of balloon at minute intervals, azimuth, distance, speed, temperature, and observer's remarks.

Destroy when 2 years old.

- EPI** m. Weather Maps and Charts on which are plotted weather information received by teletype, including pseudoadiabatic charts, U.S.W.B. plotting charts and upper air charts.

Destroy when 2 years old.

- EPI** n. Background Recording Charts and monitor logs measuring miscellaneous background readings of air contamination.

Destroy when 1 year old.

#### **14. Management of Production Records. (II-NNA-1837)**

- EPI** Production control files developed in coordinating work programs in the production of components and equipment, consisting of minutes of meetings of production personnel to work out production schedules and to adjust any difficulties arising in the production program.

Destroy 2 years after completion of individual production program.

#### **15. Work Permit (Work Orders) Records.**

- a. Log sheets pertaining to special work permits in operating activities, together with work order reason sheets.

Destroy when 1 year old. (II-NNA-2257(19))

- b. Work permits authorizing electrical work in processing plants, including related switching instructions.

Destroy 1 year after completion of work. (II-NNA-1598(4))

- c. Photographer's work permits, reflecting data regarding instruction in safety rules, use of safety equipment and protective clothing, and accompaniment in hazardous areas.

Destroy when 1 year old. (II-NNA-2984(5))

#### **16. Progress Reports.**

- a. Progress reports of production departments and product testing laboratories. (II-NNA-1941(1))

EPI

- (1) Weekly reports covering progress in substantive work program.

Destroy when 5 years old. (II-NNA-1941(1A))

EPI

- (2) Weekly reports covering administrative housekeeping matters.

Destroy when 2 years old. (II-NNA-1941(1B))

EPI

- (3) Daily output reports.

Destroy when 1 year old. (II-NNA-1941(1C))

EPI

- b. Administrative, progress, production, and quality control reports and records, providing detail and summary data pertaining to production and quality of products such as cost; recovery; alloy variables; quantity of items produced, inspected, accepted, or rejected; and related information, exclusive of management production reports and monthly quality control progress reports.

Destroy when 1 year old. (II-NNA-2838(1))

## 17. Product Management Records.

EPI

- a. Project History Files consisting of records accumulated during the course of specific production projects, such as laboratory sample reports, film slides, graphs, drawings, and related papers and correspondence.

Destroy when 5 years old. (II-NNA-1941(2))

EPI

- b. Run Books providing process history of product through series of fabrication phases.

Retain until finished product is transferred to DOE. (II-NNA-2536(2))

- c. Deviation Files consisting of records approving and accepting or rejecting products which deviate from drawings, or specifications, together with revised drawings or specifications, serving as basis for inspection, reacceptance, and reconversion of material.

Destroy 10 years after date of issue. (II-NNA-2064)

- d. Quality Control Records.

- (1) Technical data files consisting of reports records documenting the quality



characteristics of each product produced, and providing detailed information pertaining to composition, casting extrusion, machining, canning, testing, and inspections.

Destroy when 5 years old. (II-NNA-2838(3))

- (2) Data reflecting impurities of product metal rolled at specified temperatures.

Destroy when 2 years. (II-NNA-1527(2))

- (3) Lot fabrication and inspection records developed in quality control activities at material processing plants, of reference value only during short life of metal slug product.

Destroy when 1 year old. (II-NNA-2536(1))

- e. X-ray Film. Industrial inspection X-ray files, consisting of X-ray film made to determine physical status of products utilized in operating plants. **UPDATED NOVEMBER 2022 TO MATCH SF115**

Destroy when 1 year old. (II-NNA-675(4))

- f. Seal Files. Seal status report files consisting of daily and weekly summaries showing numbers of seals built each day; type of seal; and number transferred, issued, or used in processing operation.

Destroy when 1 year old. (II-NNA-1554(5))

## 18. Industrial Methods Records.

EPI

- a. Procedures of operating activities covering phases of operation and consisting of calibration books and makeup sheets.

Destroy when superseded. (II-NNA-2257(13))

- b. Process Work Reports pertaining to improvements in handling, operating, processing, and material quality.

Destroy when 3 years old. (II-NNA-2260(2A))

- c. Work Simplification Records consisting of case files containing detailed descriptions of plans for simplification of work or improvement in nonprocess operation.

Destroy when 2 years old. (II-NNA-2252(1))

- d. Industrial Engineering Reports pertaining to potential cost reductions or improvements to potential cost reductions or improvements in nonprocess work or separation operations.

Destroy 1 year after proposal is adopted or rejected. (II-NNA-2252(2))

- e. Sampling Checklists made out by supervisors observing sampling techniques of operators taking process samples, to determine compliance with established procedures.

Destroy when 1 year old. (II-NNA-962(4))

**19. Production Equipment Inventory Control Records. (II-NNA-310(7))**

Production Equipment Inventory Listings.

Destroy when 2 years old.

**20. Equipment Maintenance Records.**

- a. Life of the Equipment Records. Service life of the equipment history and radiograph records.

- (1) Seal history sheets and related logbooks reflecting work performed on specific seals from time of installation until seal is no longer used, together with test sheet data reflecting facts concerning tests made on individual seals.

Destroy 1 year after seal is removed from service. (II-NNA-1554(2 and 4))

- (2) Pump history files consisting of maintenance records, including descriptions of repair work performed and material used from installation of pump until its removal from service.

Destroy 1 year after pump is removed from service. (II-NNA-1554(3))

- (3) Radiographs of reactor system welds, including coolant systems, and reactor vessels.

Destroy when equipment is removed from service. (NN-170-57(1))

- b. Monitored Equipment Records. Inspection, service, maintenance, and repair records reflecting unresolved monitored problems.

Reserved

- c. Equipment Records. Inspection, service, maintenance, and repair records reflecting

performance.

- (1) Pressure vessel inspection reports reflecting data concerning periodic hydrostatic tests of pressure vessels, and serving as checklists to assure compliance with specified test intervals.

Destroy after subsequent test of vessel concerned. (II-NNA-2808(2))

- (2) Gamma distribution files consisting of recorded calculations of expected gamma ray activity in reactor shields, based upon measurement data taken experimentally.

Destroy when 3 years old. (II-NNA-1527(3))

- (3) Reports of preliminary tests of equipment systems in production plants indicating readiness for operations.

Destroy 3 years after action. (II-NNA-2143)

- (4) Routine monitoring records of inspection, maintenance, or repair which reflect satisfactory performance.

- (a) Logs or supporting records recording equipment test results for:

1. Converter status (daily reports); (II-NNA-1554(10))
2. Cylinder pipe leaks; (II-NNA-1554(9))
3. Individual tube (gamma tests); (II-NNA-1554(11))
4. Valves; (II-NNA-1554(8))
5. Valve equipment; and (II-NNA-1554(8))
6. Industrial Inspection X-ray files consisting of X-ray film, to determine status of equipment used in operating plants. (See radiographs of reactor system welds in item 20.a (3), above.) (II-NNA-675 (4)) **NOTE: Duplicate of ADM 17.17e**

Destroy when 1 year old.

- (b) Operators' reports of equipment failure, reflecting equipment data, failure characteristics, and circumstances leading up to interruption of operations.

Destroy when 1 year old. (II-NNA-1601(5))

## 21. Reactor Operations Records.

Reactor operating records reflecting equipment-operations data. (See operators' reports of equipment failure, item 20c(4)(b) above.)

- EPI** a. Control room logs recording operating conditions and procedures on each shift.  
Destroy when 6 years old. (II-NNA-3002(1))
- EPI** b. Shift supervisors' logbooks recording significant incidents and actions taken.  
Destroy when 6 years old. (II-NNA-3002(2))
- EPI** c. Daily operations summary reports.  
Destroy when 6 years old. (II-NNA-3002(3))
- EPI** d. Reactor Temperature Control Records.

  - (1) Graphite data sheets listing graphite temperature inside reactors.  
Destroy when 5 years old. (II-NNA-2088(2A))
  - (2) Temperature and flow maps reflecting reactor power levels and providing outlet water temperatures and flow data of reactor tubes.  
  
Destroy when 3 years old or until expended core examinations have been completed and final inspection reports issued, whichever is later.  
(NN-170-57(3))
  - (3) Temperature cards and tapes recording at set levels the temperature readings of individual tubes in reactors.  
  
Destroy when 3 years old. (II-NNA-1527(1))
- EPI** e. Source records used to accumulate information summarized in items a through d, above, including checklists and logs reflecting source data recorded in connection with the operation of various reactor and associated equipment. (NN-170-57(5))

  - (1) Production reactors.  
  
Destroy 1 year after FY involved.
  - (2) All other reactors.  
  
Destroy when 3 years old.
- f. Generator sheet files recording operating characteristics of fluorine or other generators, reflecting such data as voltages, temperatures, pressures, and weights.

Destroy when 2 years old. (II-NNA-1521(5))

- g. Reserved
- h. Recorder charts which record temperature, pressure, flow, power fluctuation, and other data in connection with testing and control operations, exclusive of radiation detection charts; provided pertinent data is transcribed to logbooks, reports, or other records.

Destroy when 1 month old. (NN-163-145)

## 22. Materials Processing Records.

- a. Control records pertaining to work performed in analytical laboratories. (II-NNA-2256)

EPI

- (1) Laboratory manuals, standards, and procedures

Destroy when superseded.

EPI

- (2) Laboratory logbooks describing analyses of daily activities of the laboratory. Destroy when 5 years old.

- (3) Sample receiving logs.

Destroy when 2 years old.

- (4) Special nuclear material accountability logs, provided official accountability record is retained.

Destroy when 2 years old.

- (5) Spectrograph film logs supporting analysis work.

Destroy when 2 years old.

- (6) Spectral slides used in spectrographic analysis of samples. (II-NNA-1941, item 3)

Destroy when 1 year old.

- (7) Analysis requests.

Destroy when 1 year old.

- (8) Analytical assay records listing results of analysis, provided pertinent data are retained in other records.

Destroy when 1 year old.

- (9) Quality control monthly reports.

Destroy when 1 year old.

- (10) Supervisor's shift logbooks.

Destroy when 1 year old.

- (11) Essential materials analysis reports.

Destroy when 1 year old.

- (12) Investigations of high hand scores, provided significant data pertaining to individuals are retained in other records.

Destroy when 1 year old.

- (13) Comparative analysis logs pertaining to samples analyzed by two different methods for the same test.

Destroy when 1 year old.

- (14) Daily sample report.

Destroy when 1 year old.

- b. Analytical logbooks recording analyses of samples in separation operations activities for quality control purposes.

Destroy when 3 years old. (II-NNA-2258(1))

- c. Sample Analysis Data accumulated by work laboratories in production materials for quality or other control purposes.

Destroy when 2 years old. (II-NNA-2063)

- d. Batch Information consisting of technical, analytical, or statistical data pertinent to chemical makeup or process batches, provided information pertinent to product history is transcribed to records which are retained.

Destroy when 1 year old. (II-NNA-1521(2))

- e. Sample Reports on chemical solutions, used for control of process variables.

Destroy when 1 year old. (II-NNA-2258(10))

- EPI** f. Process transfer records of metals, solids, or solutions used for operational control purposes.

Destroy when 1 year old. (II-NNA-2258 (11))

- g. Slug Storage Records. Slug storage basin records listing quantities and types of slugs awaiting processing.

Destroy when 1 year old. (II-NN-2258(9))

- h. Sample History Sheets recording history of uranium sample.

Destroy when 1 year old. (II-NNA-1554(12))

## 23. Barrier Records.

- a. Barrier Retubing Inventories consisting of reports compiled daily showing amount of barrier material received and transferred, usage made, amount on hand, and scrap inventory of broken or rejected tubes.

Destroy when 2 years old. (II-NNA-1554(6))

- b. Inventory and Transfer Files serving as accountability records for barrier materials.

Destroy when 1 year old. (II-NNA-1554(13))

- c. Barrier progress and Usage Reports Files pertaining to maintenance of barrier materials in processing operations, reflecting type length, and number of barrier tubes installed; number broken and rejected; and the number of plugs in each converter.

Destroy when 1 year old. (II-NNA-1554(7))

## 24. Special Research and Reactor Materials Allocations Files.

Special research and reactor materials allocations files consisting of records concerning estimated requirements of Beryllium, Zirconium, Hafnium, Heavy Water, and Graphite.

- EPI** a. Files of offices with authority to make allocations, together with related correspondence.

Destroy when 3 years old. (II-NNA-1735(3A))

**Duplicate of ADM 18.51a (II-NNA-1735(3A)); utilize ADM 18.51a**

- EPI** b. Files of operations offices, consisting of estimates submitted by contractors projecting

special material needs over a 3 year period.

Destroy when 2 years old. (II-NNA-1735(3B))

**Duplicate of ADM 18.51b (II-NNA-1735(3B)); utilize ADM 18.51b**

- EPI** c. Files of requesting agencies, consisting of retained copies of Form AEC-272, “Special Materials Allocation request and Projected Requirement Information,” or equivalent form, together with pertinent correspondence.

Destroy when 2 years old. (II-NNA-1735(3C))

**Duplicate of ADM 18.51c (II-NNA-1735(3C)); utilize ADM 18.51c**

- EPI** d. Files of approved allocations in area offices which handle the supplying of special materials.

Destroy when 2 years old. ( II-NNA-1735(3D))

**Superseded by ADM 18.50b (NC-430-76-1, item9a)**

- EPI** e. Essential Material Reports of operating activities, showing beginning and ending inventories, receipts, disbursements, and consumption.

Destroy when 5 years old. (II-NNA-2257(9))

- EPI** f. Accountability Reports showing uranium transfer between operating activities for ready reference by supervisors. (This data is also recorded in morning reports and log books which are retained indefinitely.)

Destroy when 1 year old. (II-NNA-2257(15))

- EPI** g. Essential (non-SS) Materials Accountability. Files documenting the receipt, transfer, and shipment of essential materials (other than SF materials) and consisting of worksheets, inventories, ledgers, reports, and other source records providing detail for reconciliations and accounting audits.

Destroy when 2 years old. (II-NNA-2838(2))

- EPI** h. SS Material Accountability and Transfer Files (inter and intraplant transfers) consisting of records utilized within an SS station to account for transfers from one unit to another within plant or facility or between such plants.

Destroy when 1 year old providing Departmental audit has been completed.  
(NN-165-90)

- EPI** i. Daily Line Operations Reports. Reports or logs prepared daily primarily for line operations including operating and maintenance information, shift and status, essential material and chemical tank inventories, and technical, analytical, or statistical data pertinent to chemical or process materials or solutions.

Destroy when 1 year old. (II-NNA-962(3))



- EPI** j. Feed and Waste Reports Files consisting of records which reflect physical inventory of material on hand at beginning of each day, depleted feeds, waste withdrawals, and other processing data used in measuring daily performance and to assist in locating foreign materials.

Destroy when 5 years old. (II-NNA-1598(2))

- EPI** k. Product Withdrawal Sheets reflecting gross, tare, and net weights of product withdrawn from each cylinder in processing plants.

Destroy when 2 years old. (NN-170-21)

- l. SS Material Shipping form Files consisting of DOE/NRC Form 741 or equivalent, used in the transfer of source and special nuclear materials or other materials controlled by the SS materials accountability system.

- EPI** (1) Copies filed in DOE offices.

Destroy when 3 years old. (II-NNA-3225(1))

- EPI** (2) Copies filed in shipping and receiving contractor installations.

Destroy after audit by DOE accountability survey teams. (II-NNA-3225(2))

- m. Reports of Shipper-Receiver Measurement Differences filed in shipping and receiving installations, pertaining to transfers of SS material between installations under the same or under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences. (II-NNA-1735(7))

- EPI** (1) Copies forwarded to staff division administering SF accountability system.

Destroy when 3 years old.

- (2) Copies filed in operations offices and in shipping and receiving installations.

Destroy when 2 years old.

## **25. Facility Inventory Records . (II-NNA-2067(1))**

Files accumulated by contractors acting as agents for DOE in connection with the execution of leases for the operation of commercial or other facilities, or other uses of Government property under lease.

Destroy 6 years after close of fiscal year in which inventory is superseded.

## 26. Facility Maintenance Records .

Facility maintenance records, including inspection servicing, and repair records.

- a. Boilers, electric motors, and unfired pressure vessels.

Destroy after 5 years. (NC-430-76-2)

**Superseded by GRS 5.4, item 070 (DAA-GRS-2016-0011-0008)**

- b. Others.

Destroy 3 fiscal years after close of fiscal year in which work is done. (II-NNA-675, item 3)

**Superseded by GRS 5.4, item 070 (DAA-GRS-2016-0011-0008)**

## 27. Power and Utility Records (Updated November 2022 to match SF115)

Power and utility records accumulated in the operation and control of power, water, heating, refrigeration, air conditioning, etc.,

- a. Control and supervisory records; power consumption, survey, and summary records; related correspondence and data.

Dispose after 3 years (NN-167-124, item 1a)

- b. Operational Source Records, including checklists, logs, inspection sheets, and other forms and records used to record the procedural steps followed by the operators; and instrument recorder charts, tapes, and graphs reflecting source data recorded in connection with the operation of various power and utility equipment.

Destroy after 3 months. (NN-167-124, item 1b)

- c. Power operations reports prepared daily, and reflecting equipment load and method of connecting major pieces of electrical equipment together at power substations.

Destroy after 2 years (II-NNA-1601, item 3)

- d. Power substation daily generation reports showing amount of power produced daily by each generator and total power production.

Destroy after 1 year (II-NNA-1601, item 4)

## 28. Equipment History Files.

- a. Records which document receipt, use, and disposition of equipment items, including manufacturer's statement of origin, equipment repair estimates, repair orders and billings, inspection reports, move orders, and any other records effecting or reflecting alterations of status of equipment, including reference notes to excess or salvage records when such action is taken. (II-NNA-716(3)) **Updated Authority August 2022**  
Dispose 5 years after disposal or clearance of equipment from project.

- b. Property Transfer Files documenting accountability transfers of property and equipment. (II-NNA-845)

- (1) Copy in property accountability office

Destroy when 4 years old.

**Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)**

- (2) Copy in offices transferring property.

Destroy when 1 year old.

**Superseded by GRS 5.4, item 040 (DAA-GRS-2016-0011-0004)**

## 29. Equipment Utilization Report Files. (II-NNA-716(2))

Records accumulated in the control of issuance and use of equipment, providing basic data for projecting equipment needs on project, showing classification of equipment, scheduled and actual hours of operation, hours idle, and pertinent remarks.

Destroy when 5 years old. **Superseded by GRS 5.4, item 010 (DAA-GRS-2016-0011-0001)**

## 30. Project Planning and Design Files. (NCI-434-78-2)

### a. Initial Design Planning Records.

Until project completion (see item b., below, for exception) or upon project termination whichever is earlier.

- b. Records selected for architectural, historical, or technological significance (see criteria in the Introduction section of this schedule). Records include: (1) Project description, location, engineering/design costs and performance schedule; (2) Architectural renderings and final architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features); (3) Special engineering/design reports, studies, and data (for projects of technological or architectural significance); (4) Construction Completion Reports; and (5) Models.

Permanent. Offer to NARA when file is inactive.

- c. Other Planning and Design Records. (Advanced planning, preliminary and final design, and engineering/design studies, calculations, analyses, and other engineering/design data documenting design decisions made.)

**EPI**

- (1) Records of completed projects costing more than \$750,000, or which involve special equipment, systems, or processes.

Retain until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See item b., above, for exception.)

**EPI**

- (2) Records of completed projects costing \$750,000, or less, which do not involve special equipment, systems, or processes.

Destroy 10 years after completion of project.

- (3) Records of terminated projects (projects not authorized for design, construction, or fabrication; or terminated prior to completion of any of these activities) costing more than \$750,000, or which involve special equipment, systems, or process projects.

Destroy 10 years after project is terminated. (See item b., above for exception.)

- (4) Records of terminated projects (projects not authorized for design, construction or fabrication, or terminated prior to completion of any of these activities) costing \$750,000, or less which do not involve special equipment, systems, or process projects.

Destroy 5 years after project is terminated.

- (5) Miscellaneous planning and design records, information and correspondence, essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information).

Retain until project completion or termination, whichever is earlier.

## 31. Project Construction Files. (NCI-434-78-2)

- a. Working drawings and construction specifications, “as-built” drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warranty data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process.

EPI

- (1) For completed projects.

Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See item d., below for exceptions.)

- (2) For projects terminated prior to construction completion.

5 years after construction is terminated.

- b. Construction Completion Reports. (Documented summary of the project, from design through construction completion.)

EPI

- (1) For unique or special-interest by projects.

20 years, unless covered by exception in d., below.

EPI

- (2) For other projects.

Until dismantlement or disposal of the facility, equipment, or process; or when superseded or obsolete, whichever is earlier.

- c. Miscellaneous Construction Records. Information, correspondence, and other records

developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion.

Until project completion.

- d. Records selected for architectural, historical, or technological significance (See criteria in the Introduction section of this schedule). Records include: (1) Project description, location, construction costs and performance schedules; (2) “As-built” architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features); (3) Photographs of completed project; and (4) Construction Completion Reports.

Permanent. Offer to NARA when file is inactive.

- e. Withdrawn. (See 31.1 below.)

## **31.1 Finding Aids.** (NC1-434-78-02, item 5) **Updated Authority August 2022**

Indexes and other finding aids to design construction files.

Destroy in accordance with instructions covering the related design and construction records.

## **32. Quality Assurance Records.** **Updated Authority August 2022**

Quality Assurance records prepared, received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems. (Reference for nuclear facilities: ANSI/ASME NQA-1-1994 Edition.)

**EPI**

- a. Records which would be of significant value in demonstrating capability for safe operation; in maintaining, reworking, repairing, replacing or modifying the item; in determining the cause of an accident or malfunction of the item; and those which provide baseline data for in service inspection.

Retain until the item is removed from service. (NC1-434-82-6, item 1)

- b. Records which verify that an activity was performed in accordance with the applicable requirement but need not be retained for the life of the plant or item.

- (1) Records maintained in compliance with regulatory requirements.

Retain in accordance with current regulatory requirements or for nuclear facilities, 6 years after plant or item is put into operation. (NC1-434-78-2, item 6b(1))

- (2) Records for nuclear facilities item which are useful through first overhaul or reload.

Retain until 2 years after plant or item is put into operation or after first overhaul or reload, whichever is later. (NC1-434-78-2, item 6b(2))

- (3) Records which are needed to process and support claims made under the warranty.

Retain until 1 year after plant or item is put into operation or upon expiration of warranty, whichever is later. NC1-434-78-2, item 6b(3)

- (4) Records which have no value after plant or item is put into operation.

Retain until day after plant or item is put into operation. NC1-434-78-2, item 6b(4)

**Department of Energy  
Administrative Records Schedule 18:  
Security, Emergency Planning, and Safety Records  
November 2023  
Revision 8**

Protection program records include the various files created by the Department to control and protect safeguards and security interests (e.g., classified information, sensitive unclassified information, special nuclear materials, nuclear weapons, other Government property); to protect Departmental facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately-owned plants given security cognizance by the Department; and to determine eligibility for access authorization of individuals employed by DOE or its contractors.

Emergency planning records include correspondence, administrative and case files, and test documentation.

Safety records include those that demonstrate the capability for, and the performance of, safe operations.

Retirement of non-current records to inactive storage is authorized. (N1-434-98-21, entire introduction)

## **CLASSIFIED INFORMATION RECORDS**

Records pertaining to measures taken to protect classified information from unauthorized disclosure in accordance with Executive Order, statutory, regulatory, or DOE requirements.

### **1. Classified Documents Administrative Correspondence Files.**

Correspondence files pertaining to the administration of security classification/ declassification, control, and accounting for classified documents. Included are records that document policy, programs, and procedures for the classification/declassification program, including information recorded by personnel who are trained to identify, classify, or declassify documents for sensitive and classified information.

- a. Records which document the policy, standards and procedures for the administration of DOE's classification and declassification program. (N1-434-98-21(1a))

- (1) Program and policy guides, classification manuals, and documents used as guides in determining classification, including DOE action and information papers concerning classification policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff. (N1-434-98-21(1a(1)))

- (2) Records documenting the development of classification policy, including policy studies. (N1-434-98-21(1a(2)))

Cut off when superseded. Destroy 50 years after cutoff.

- (3) Procedures that implement DOE policy and guides (N1-434-98-21(1a(3)))

Cut off at end of the fiscal year. Destroy 10 years after cutoff.

- b. Records documenting classification and declassification review actions taken on the basis of established policy, directives, regulations and guides. (N1-434-98-21(1b))

- (1) Review actions which deviate from established policy and set a precedent for future action, reflect unusual sensitivity, are of historical interest, or are the subject of litigation.

- (a) Headquarters record set.

Permanent. Cutoff at the close of the fiscal year. Transfer to NARA 25 years after cutoff. (N1-434-98-21(1b(1)(a)))

- (b) All other offices.

Cut off after superseded or when no longer needed for reference.

Destroy 50 years after cutoff. (N1-434-98-21(1b(1)(b)))

- (2) Review actions that do not deviate from established policy or set a precedent for future action, do not reflect unusual sensitivity, are not of particular historical interest, and are not the subject of litigation. (N1-434-98-21(1b(2)))

Cut off at the end of the fiscal year. Destroy 6 years after cutoff.



- (3) Logbooks and correspondence which record notes, comments, actions taken and decisions made, or other information which documents the review process. (N1-434-98-21(1b(3)))

Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

- (4) Declassification records including change notices, review notices, correspondence, or similar documents including documents that give authority to void, cancel and remove markings from records.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.  
(N1-434-98-21(1b(4)))

- c. Correspondence files pertaining to the administration of security classification, control and accounting for classified documents, and control of sensitive documents, not covered elsewhere in this section.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

(GRS 18, item 1)

**Should be GRS18.1, which was superseded GRS 4.2, item 001 (DAA-GRS-2019-0001-0001)**

## 1.1. Information Security Oversight Office Report Files.

- a. Reports and correspondence regarding classification reviews submitted to the cognizant Program Office by Field Elements and then compiled and sent to the Information Security Oversight Office (ISOO). (N1-434-98-21(1.1a))

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

**Superseded by GRS 4.2, Item 110. (DAA-GRS-2013-0007-0011)**

- b. Reports maintained by all other offices. (N1-434-98-21(1.1b))

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

**Superseded by GRS 4.2, Item 110. (DAA-GRS-2013-0007-0011)**

## 2. Document Receipt Files. (N1-434-89-3, item 1)

Records documenting the receipt and issuance of classified documents exclusive to Top Secret material.

Destroy 3 years after the documents show on the forms are entered into the Classification Document Inventory Files.

**Superseded by GRS 4.2, item 030 (DAA-GRS-2019-0001-0002)**

## 3. Destruction Certificate Files. (N1-434-89-3, item 2)

Certificates relating to the destruction of classified documents.

Destroy 5 years after the date of destruction of the documents shown on the forms.

**Superseded by GRS 4.2, item 030 (DAA-GRS-2019-0001-0002)**

## 4. Classified Document Inventory Files. (N1-434-89-3, item 3)

# UPDATED AUTHORITIES

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

Destroy 5 years after the final disposition of documents listed in the inventory file, or when no longer needed for inventory reconciliation, whichever is greater.

**Superseded by GRS 4.2, item 030 (DAA-GRS-2019-0001-0002)**

**5. Top Secret Account and Control Files.** (GRS 18, item 5)

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

**Superseded by GRS 4.2, item 030 (DAA-GRS-2019-0001-0002)**

- b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Destroy when related document is downgraded, transferred, or destroyed.

**Superseded by GRS 4.2, item 030 (DAA-GRS-2019-0001-0002)**

[NOTE: Master files and data bases created to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on a Standard Form (SF) 115.]

**6. Access Request Files.** (GRS 18, item 6)

Requests and authorizations for individuals to have access to classified files.

Destroy 2 years after authorization expires.

**Superseded by GRS 4.2, Item 030 (DAA-GRS-2019-0001-0002)**

**7. Classified Document Container Security Files.** (GRS 18, item 7)

- a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

Destroy when superseded by a new form or list, or upon turn in of container.

**Superseded by GRS 4.2, Item 031 (DAA-GRS-2013-0007-0020)**

- b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows; and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.

Destroy 3 months following the last entry on the form (see note).

[Note: Forms involved in investigations will be retained until completion of the investigation.]

**Superseded by GRS 4.2, Item 032 (DAA-GRS-2016-0002-0003)**

## PROTECTION PROGRAM RECORDS

Records relating to measures taken for the protection of Government-owned facilities and contractor operated facilities given security cognizance from unauthorized entry, sabotage, or loss.

### 8. Protection Program Administrative Records. (GRS 18, Item 8)

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

**Superseded by GRS 5.6, Item 010 (DAA-GRS-2021-0001-0001)**

#### 8.1 Operations Security.

a. Files which document the policy, standards, and procedures for the administration of DOE's Operations Security (OPSEC) programs.

(1) Program and policy guides, OPSEC manuals, and documents used as guides in administering OPSEC programs. Includes DOE action and information papers concerning OPSEC policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff. (N1-434-98-21(8.1a(1)))

(2) Files documenting the development of OPSEC policy, includes policy studies.

Cut off when superseded. Destroy 50 years after cutoff. (N1-434-98-21(8.1a(2)))

(3) Procedures implementing DOE policy and guides.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff. (N1-434-98-21(8.1a(3)))

b. Records relative to the management and/or operation of agency and contractor OPSEC Programs including correspondence, plans, meeting minutes, audits, and other similar records.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff. (N1-434-98-21(8.1b))

## 8.2 Computer Information Protection Plan/Contingency Plan. (N1-434-98-21(8.2))

Documentation dealing with computer protection elements for a system or application that includes, but is not limited to, descriptions of hardware, software, and information protection functions, contingency and disaster recovery planning, risk assessment, certifications, and computer security questionnaires and checklists.

Destroy when superseded by new specifications, plans, or determinations, or when the system or application to which it applies is decommissioned, unless the system or application is permanent, then transfer to NARA with the system or application.

**Superseded by GRS 3.2,item 010 (DAA-GRS-2013-0006-0002)**

## 8.3 Technical Surveillance Countermeasures Files.

### a. Threat Files

Files contain reports of known or suspected technical and nontechnical security information, methodology, technologies used, suspected individual(s) or groups, reports of actions directed against U.S. Government and commercial interest and/or personnel.

Review annually. Destroy when superseded or obsolete. (N1-434-98-21(8.3a))

**Superseded by GRS 5.6, item 220 (DAA-GRS-2017-0006-0029, GRS 5.6, item 230 (DAA-GRS-2017-0006-0030) and GRS 5.6, item 240 (DAA-GRS-2017-0006-0031)**

### b. Hazard and Penetration Files

Files provide general and specific design information on known or suspected surveillance devices, electronic anomalies, methodology, and historical technical data. These files are used for technical surveillance threat reference.

Review every 2 years. Destroy when no longer needed. (N1-434-98-21(8.3b))

**Superseded by GRS 5.6, item 220 (DAA-GRS-2017-0006-0029, GRS 5.6, item 230 (DAA-GRS-2017-0006-0030) and GRS 5.6, item 240 (DAA-GRS-2017-0006-0031)**

## 8.4 Security Alarm and Access Control System Files.

### a. System Manufacturers Documentation

Files include manufacturer's operations and technical manuals for the equipment installed as part of the Security Alarm System. These records include information on individual components, for both the security alarm systems and the electronic access control systems.

Destroy when current system is upgraded or replaced. (N1-434-98-21(8.4a))

### b. Systems Operations Files

Files include on-site configuration files for systems operations. Includes information on individual components, systems operations, and how the systems are currently installed for both the security alarm systems and the electronic access control system. (N1-434-98-21(8.4b))

Destroy when current system is upgraded or replaced.

c. Open Storage Approval Records

Files contain on-site records of areas approved for the open storage of classified information. Includes information concerning the motion detection and alarm devices within specific areas.

Destroy when superseded. (N1-434-98-21(8.4c))

**Superseded by GRS 4.2,item 031 (DAA-GRS-2013-0007-0020)**

d. Activity Journals

These records include all of the user activity and alarm activity for all portions of the alarm and access control system. User activity includes operations of Day/Night mode access of alarmed rooms, and access/exit through card reader controlled doors or access points. Alarm activity includes alarm devices, line supervision, and administrative alarms as they occur. Files consist of System activity journals containing the on-site records for alarm system activity. (N1-434-98-21(8.4d))

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

e. Maintenance Records

These records contain all activity concerning preventive and corrective maintenance performed on the alarm system and the sub-components. Files consist of maintenance requests, test reports, schedules, notification letters and maintenance activity journals containing the on-site records for alarm system maintenance activity. (N1-434-98-21(8.4e))

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

**8.5. Master Safeguards and Security Agreements/Security Plans.**  
N1-434-98-21(8.5))

Records establish the baseline safeguards and security protection strategy and programs for a facility and are an agreement between the cognizant Program Office and other HQ and Field Elements as to the acceptable level of risk to a facility and any measures employed to mitigate unacceptable risk. The Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site

Security Plan also provide a historical perspective on facility operations and configuration. In addition, Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan provide short and long-term planning profiles for safeguards and security operations at a facility.

Destroy 10 years after termination of the facility as a security interest.

## 8.6 Physical Security Files.

Detailed security measures for the physical protection of nuclear material, or for the physical protection and location of equipment and facilities vital to safety. The files include physical security plans, drawings of the physical protection system, alarm system details, and safeguards procedures.

- a. Facilities subject to licensing (Nuclear Regulatory Commission or Environmental Protection Agency)
  - (1) If license is granted  
  
Retain until the termination of the license. At termination of license, apply the disposition cited in 8.6b. (N1-434-98-21(8.6a(1)))
  - (2) If license is not granted.  
  
Retain until the determination is made not to license the facility, then apply the disposition cited in 8.6.b. (N1-434-98-21(8.6a(2)))
- b. Facilities not subject to licensing.  
  
Destroy when superseded or obsolete, or 5 years after facility closes, whichever is sooner. (N1-434-98-21(8.6b))

## 8.7 Foreign Ownership, Control, or Influence (FOCI) Files.

- a. Unsuccessful bidder files containing their representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control or influence and whether it may pose an undue risk to national security that has been provided by the unsuccessful bidder or otherwise gathered.  
Cut off at the end of the fiscal year. Destroy 2 years after cutoff.  
(DAA-0434-2015-0013-0001) **Corrected Authority - August 2022**
- b. Successful bidder (contractor) files containing original and subsequent representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control or influence

and whether it may pose an undue risk to national security that has been provided by the contractor or otherwise gathered. Files relating to contract eligibility determinations when foreign ownership, control or influence issues are present. (DAA-0434-2015-0013(0002))

Cut off 5 years after determination date. Destroy 5 years after cutoff.

**8.8 Security Personnel Training Records.** (N1-434-98-21. item 8.8)

Records of Federal and contractor security personnel pertaining to firearms training, qualification, and requalification. See ADM 1, item 29, for other security personnel training records.

- a. For Federal employees.

Cut off at the end of the fiscal year. Destroy one year after termination of the individual as a member of the protective force.

- b. For contractor employees.

Cut off annually. Destroy one year after termination of the individual as a member of the protective force.

**9. Survey and Inspection Files (Government-Owned Facilities).** (N1-434-98-21, item 9)

Reports of surveys, inspections, and self-assessments of DOE-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to protect information and facilities against sabotage and unauthorized entry.

Cut off at the close of the fiscal year. Destroy 75 years after discontinuance of facility.

**10. Survey and Inspection Files (Privately-Owned Facilities).** (N1-434-98-21, item 10)

Files include survey, inspection, and self-assessment reports, facility information, and correspondence.

Place in an inactive file upon facility termination. Cut off inactive file at the end of the fiscal year. Destroy 75 years after cutoff.

**11. Investigative Files.** (GRS 18, item 11)

**EPI** Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the

original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning **occurrences of such a minor nature that they are settled locally without referral to other DOE elements**. Not included here are records related to occurrences (see item 11.1, below), misuse of Government property (see item 11.2, below), or incidents of security concern (see item 11.3, below).

Cut off at the close of the fiscal year. Destroy when 2 years old.  
**Superseded by GRS 5.6, Item 100 (DAA-GRS-2021-0001-0004)**

## 11.1 Occurrence Reporting Records.

Records relating to occurrences as defined by the Assistant Secretary for Environment, Safety and Health. (Includes other types of reporting required to be treated as equivalent to, or to use the occurrences reporting system.)

a. Report files maintained by the responsible Program Office.

(1) Records on occurrences which were of widespread public and congressional interest.

Permanent. Cut off at the end of the fiscal year in which the case was closed. Transfer to NARA 25 years after cutoff.

(NC-326-75-2(1a)(1)) **Corrected Authority- September 2023**

(2) Files on all other occurrences.

Cut off at the end of the fiscal year in which the case was closed.

Destroy 80 years after cutoff. (NC-326-75-2(1a(2)))

**Corrected Authority- September 2023**

**EPI** b. Report files maintained by all other offices.

Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff. (NC-326-75-2(1b))

**EPI** c. Correspondence files of organizational units responsible for facility safety program, consisting of reports, statistics, memoranda and correspondence relative to traffic and property damage accidents, including records and statistics relative to summaries of industrial personal injury accidents, (exclusive of cases involving personal injuries which are retained permanently).

Destroy when 10 years old. (II-NNA-1023(2)) **Corrected Authorities - August 2022**

d. Records of reports of routine safety inspections, including evidence of action taken. **Corrected missing text - August 2022**



Destroy when 1 year old. (II-NN1-310(6))

EPI

- e. Reports, statistics, and correspondence relative to traffic and property damage accidents, including records relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injury.

Destroy when 10 years old. (II-NNA-1023(3))

- f. Prescriptions for safety glasses.

Destroy when 6 months old. (II-NNA-409(25))

- g. Radioactive Waste Disposal or Unplanned Deposition Records.

- (1) Regulations governing radioactive waste shipments and burials, including DOE orders, Federal regulations and guidelines, and other pertinent standards, guides, and procedures.

Permanent. Offer to National Archives when no longer needed.  
(NC1-430-76-9(6a))  
**Superseded by N1-434-98-28, item 6a**

- (2) Records which indicate type of waste (solid, liquid, or gaseous), degree of radioactivity; and for solid waste: date of burial, volume buried, activity level, and storage location.

Permanent. Offer to National Archives when no longer needed.  
(NC1-430-76-9(6b))  
**Superseded by N1-434-98-28, item 6b**

- (3) Miscellaneous worksheets, checklists, or other data sheets from which pertinent data has been transcribed to item (2) above.

Destroy when purpose is served or when 1 year old, whichever is earlier. (NC1-430-76-9(6c))  
**Superseded by N1-434-98-28, item 6c**

- (4) Unplanned deposition records (spills or leaks) or radioactivity.

Permanent. Offer to National Archives when no longer needed.  
(NC1-430-76-9(6d))

- (5) Records of radioactive gaseous wastes discharged to atmosphere and radioactive liquid wastes discharged to surface ground or water.

Permanent. Offer to National Archives when no longer needed.  
(NC1-430-76-9(6e))

- (6) Miscellaneous waste disposal records including transfers from operating building or between tanks, boiloff rates, and intank

solidification information provided pertinent data have been transcribed to records which are retained.

Destroy when 1 year old. (NC1-430-76-9(6f))

## 11.2 Misuse of Government Property.

Records, correspondence, and related working papers which document the misuse and abuse of government property, equipment, vehicles, or systems while in the custody of government or contractor employees. Records may include infractions of Federal, State, or local laws or ordinances levied against government or contractor employees. See item 11.1 for occurrences as defined by the Assistant Secretary for Environment, Safety, and Health.

- a. Records maintained by DOE elements (N-434-98-21(11.2a))

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

- b. Records maintained by DOE Contractors. (N-434-98-21(11.2b))

Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.

## 11.3 Incident of Security Concern Inquiry/Investigation Files. (N1-434-98-21(11.3))

Records not covered elsewhere in this Schedule (e.g., in 11.1 above) that pertain to inquiries or investigations into incidents of security concern (e.g., suspected infractions and violations, loss, compromise, or unauthorized disclosure of classified information; unaccounted for classified matter), and to the corrective measures recommended and/or taken.

Cut off upon termination of inquiry or investigation and case is closed. Destroy 5 years after cutoff.

**Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027)**

## 11.4 Fire Unit Records.

- a. Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires, including source data concerning fires in which fatalities may result or when arson is suspected.

Destroy when 10 years old. (NC-430-76-2(3a))

- b. Fire extinguisher history records and fire hose records.

Destroy 1 year after removal of equipment from service.  
(II-NNA-1858(1b))

- c. Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors.  
Destroy when 1 year old. (II-NNA-2939(1))
  - d. Fire station operating logs.  
Destroy when 6 years old. (II-NNA-1858(1c))
  - e. Ambulance service reports.  
Destroy when 3 years old. (II-NNA-1858(1e))
  - f. Fire alarm system tests, radio communications reports on inside and outside fire drills, daily force reports, and building inspectors.  
Destroy when 1 year old. (II-NNA-1858(1f))
  - g. Auxiliary brigade attendance and training records.  
Destroy when 1 year old. (II-NNA-2939(2))
- 12. Property Pass Files.** (GRS 18, item 12)  
Property pass files authorizing removal of property or materials.  
Destroy 3 months after expiration or revocation.  
**Superseded by GRS 5.6, Item 040 (DAA-GRS-2017-0006-0005)**
- 13. Guard (Security Police Officer) Assignment Files.** (GRS 18, item 13)  
**Items a & b superseded by GRS 5.6, Item 010 (DAA-GRS-2021-0001-0001)**  
Files relating to guard/security police officer assignments and strength.
- a. Ledger records  
Destroy 3 years after final entry.
  - b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.  
Cut off at the end of the fiscal year. Destroy 2 years after cutoff.
- 14. Police Function Files.**  
Files relating to exercise of police functions.

# UPDATED AUTHORITIES

- a. Ledger records of cars ticketed, and outside police contacts.  
Destroy 3 years after final entry. (GRS 18, item 14a)  
**Superseded by GRS 5.6, Item 100 (DAA-GRS-2021-0001-0004)**
  - b. Ledger records of arrest.  
Destroy 7 years after final entry. (N1-434-98-21(14a)) **Exception to GRS 18.14a with longer retention**
  - c. Reports, statements of witnesses, warning notices, and other documents relating to arrest, commitments, and traffic violations.  
Cut off at the end of the fiscal year. Destroy 7 years after cutoff. (N1-434-98-21(14b)) **Exception to GRS 18.14b with longer retention**
  - d. Reports on contact of outside police with building occupants.  
Cut off at end of the fiscal year. Destroy 1 year after cutoff. (GRS 18, item 14c)**Note: this is actually GRS 18.14c based on authority Superseded by GRS 5.6, Item 100 (DAA-GRS-2021-0001-0004)**
- 15. Personal Property Accountability Files.** (GRS 18, item 15)  
**Items a and b superseded by GRS 5.6, Items 060 and 061 (DAA-GRS-2017-0006-0007 and 0008)**  
Files relating to accountability for personal property lost or stolen.
- a. Ledger files.  
Cut off at the end of the fiscal year in which the case was closed. Destroy 3 years after cutoff.
  - b. Reports, loss statements, receipts and other documents relating to lost and found articles.  
Cut off at the end of the fiscal year. Destroy when 1 year old.
- 16. Key Accountability Files.** (GRS 18, item 16)  
Files relating to accountability for keys issued.
- a. For areas under maximum security.  
Destroy 3 years after key turn-in.  
**Superseded by GRS 5.6, Item 020 (DAA-GRS-2017-0006-0002)**
  - b. For other areas.  
Destroy 6 months after turn in of key.  
**Superseded by GRS 5.6, Item 021 (DAA-GRS-2017-0006-0003)**
- 17. Visitor Control Files.** (GRS 18, item 17)

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security.

Destroy 5 years after final entry or 5 years after date of document, as appropriate.

**Superseded by GRS 5.6, Item 110 (DAA-GRS-2017-0006-0014)**

- b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

**Superseded by GRS 5.6, Item 111 (DAA-GRS-2017-0006-0015)**

## 17.1 Visitor Access Approval Files.

Correspondence and forms created to document that visitors are authorized access to classified and/or unclassified sensitive information and/or security controlled areas. Files contain data for each visit to a DOE facility, consisting of access approvals together with related correspondence.

- a. Files retained by sites (incoming visitor control) with potential for exposure to hazardous material. (N1-434-98-21(17.1a))

Cut off at the end of the fiscal year. Destroy 75 years after cutoff.

- b. Files retained by sites (incoming visitor control) without potential for exposure to hazardous material. (N1-434-98-21(17.1b))

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

**Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014 (in part) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015 (in part))**

- c. Files retained by requesting office (outgoing visitor control). (N1-434-98-21(17.1c))

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

**Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014 (in part) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015 (in part))**

- d. Duplicate copies used to notify other on-site offices of the intended visit or when essential information is transferred from DOE F 5631.20 to another record media or electronic system. (N1-434-98-21(17.1d))

Cut off at the end of the fiscal year. Destroy 1 year after cutoff.

**Rescinded - DOE Transmittal 05**

## 18. Facilities Checks Files. (GRS 18, item 18)

**Items a & b superseded by GRS 5.6, Item 090 (DAA-GRS-2021-0001-0003)**

Files relating to periodic security force facility checks.

- a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices referenced in item 24).

Destroy when 1 year old.

- b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files referenced in item 24.

Destroy when 1 month old.

## 19. Guard (Security) Service Control Files. (GRS 18, item 19)

EPI

- a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete.

**Superseded by GRS 5.6, item 090 (DAA-GRS-2021-0001-0003)**

- b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

**Superseded by GRS 5.6, item 090 (DAA-GRS-2021-0001-0003)**

- c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old.

**Superseded by GRS 5.6, item 090 (DAA-GRS-2021-0001-0003)**

- d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.

**Superseded by GRS 5.6, Item 030 (DAA-GRS-2021-0001-0002)**

## 20. Logs and Registers . (GRS 18, item 20)

Guard (Security) logs and registers not covered elsewhere in this schedule.

- a. Central security office master logs.

Destroy 2 years after final entry. **Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014 (in part) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015) (in part)**

- b. Individual security post logs of occurrences entered in master logs.

Destroy 1 year after final entry. **Superseded by GRS 5.6, item 110 (DAA-GRS-2017-0006-0014 (in part) and GRS 5.6, item 111 (DAA-GRS-2017-0006-0015) (in part)**

## PERSONNEL SECURITY RECORDS

Records accumulating from investigations of personnel conducted under statutory, Presidential, or DOE directive requirements.

### **21. Security Clearance/Access Authorization Administrative Subject files.**

Files maintained by individual security offices for purposes of managing operations of personnel security. Files include, but are not limited to, forms, lists, and correspondence documenting the type of clearance/access authorization and date it was granted and subsequent actions were taken; briefing and debriefing statements; and lists of individuals granted access authorizations by assigned numbers.

- a. Correspondence granting access authorizations not maintained in official personnel files. (N1-434-98-21(21a))

Cut off at the end of the fiscal year. Destroy 10 years after cutoff,

- b. Briefing and debriefing statements including related correspondence.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.  
(N1-434-98-21(21b))

- c. Termination statements, cards, or correspondence not maintained in official personnel file. (N1-434-98-21(21c))

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

- d. Lists identifying employee by assigned number used for indexing or reference. (N1-434-98-21(21d))

Cut off at the end of the fiscal year. Destroy when related records are destroyed or when no longer needed for reference.

- e. Reports related to personnel security issues. (N1-434-98-21(21e))

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

- f. Outgoing transfer record tracking files for personnel security files sent to other DOE facilities. (N1-434-98-21(21f))

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

## **21.1. Security Clearance/Access Authorization Administrative Subject Files Policy (N1-434-98-21, item 21.1)**

Files which document the official policy, standards, and procedures for the administration of DOE's personnel access authorization program.

- a. Program and policy guides, access authorization manuals, and documents used as guides in administering the security program. Includes Doe action and information papers concerning access authorization policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff. (N1-434-98-21(21.1a))

- b. Files documenting the development of access authorization policy, includes policy studies. (N1-434-98-21(21.1b))

Cut off when superseded. Destroy 20 years after cutoff.

- c. Procedures implementing DOE access authorization policy and guides.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff. (N1-434-98-21(21.1c))

## **21.2 Administration and Operation. (GRS 18 item 21)**

Correspondence, reports, and other records relating to administration and operation of the personnel security program, not covered elsewhere in this schedule.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

**Superseded by GRS 5.6, Item 010 (DAA-GRS-2021-0001-0001)**

## **21.3 Pre-Employment Background Investigation.**

Pre-employment background files include records of investigations for DOE and contractor employees and consultants, subcontractors, and their employees and consultants, and other others seeking employment or who otherwise require an access authorization. The files are used to determine the eligibility of granting access authorizations and may include the following letters and completed forms



for each individual being considered: drug screen consent, credit reports, authorization for release of information, request to process, negative drug screen results, letters generated from personnel security requesting information on applicants police, driving, academic, previous employment, military, and personal references, subcontractor employment application, security acknowledgment, medical records including employee assistance program, and employment eligibility verification.

For legal purposes, if an applicant is not approved for hire it is necessary to retain the pre-employment files to permit reconstruction or validation of actions taken in the event of appeal or legal action. (If applicant is hired, the pre-employment investigation file is transferred to the person's personnel security file).

- a. For those approved but not hired.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or date of background investigation. (N1-434-98-21(21.3a))

- b. For those disapproved for hire.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff or date of preemployment background investigation. (N1-434-98-21(21.3b))

## **22. Security Clearance/Access Authorization Case Records.**

Personnel security and administrative review files created under Atomic Energy Act, Executive Order, Code of Federal Regulations, and DOE directive requirements and procedures, and related indices maintained by DOE personnel security offices at DOE Headquarters and Field Elements.

- a. Personnel Security Files document the processing of individuals for DOE access authorizations (security clearances), regardless of whether access authorizations are granted. These files may include copies of the following: pre-employment investigations; requests and justifications for access authorizations, security forms, reports of background investigation(s); personnel security interview transcripts and/or summaries (including the audio cassettes), case evaluation sheets, security incident/infraction report forms; correspondence with the individuals, the individuals' employers, and other agencies; security badge information, medication evaluations, security termination statements, and other material relevant to the access authorization process. (SF-312s are related to "access" and should not be maintained in the individual's Security File.)

Cut off file upon termination of authorization processing, when access authorization is terminated, or when the contract relationship expires.

Retire inactive records 5 years after cutoff. Destroy not later than 10 years after date the individual's authorization is terminated or upon notification of death of the individual, whichever is sooner.

(DAA-0434-2015-0005-0001) **Corrected Authority - August 2022**

**Superseded by GRS 5.6, item 181 (DAA-GRS-2021-0001-0008)**

- b. Administrative Review Files document the processing of individuals under Title 10, Code of Federal Regulations, Part 710 (10 CFR 710) for denial or revocation of their access authorizations, regardless of whether final determinations are rendered. Each file may include a copy of the following: request/approval for administrative review processing, DOE Notification Letter and other correspondence to and from the individual and/or representative; correspondence to and from the DOE Hearing Officer, hearing transcript and exhibits; case consolidation memorandum; and other material relevant to the administrative review process.

Cut off file upon termination of review or when access authorization is determined. Retire inactive records 5 years after cutoff. Destroy not later than 10 years after date the final decision is made on the authorization or upon notification of death of the individual, whichever is sooner.

(DAA-0434-2015-0005-0002) **Corrected Authority - August 2022**

- c. Indices consisting of file index cards are maintained alphabetically in "active" and "inactive" files as back-up to the records maintained on the Central Personnel Clearance Index. **Corrected Authority - August 2022**

Destroy when no longer needed. (DAA-0434-2015-0005-0003)

**Note: ADM 18.22c is an exception to GRS 18.22 through NC1-434-80-3, item 23c which was superseded by N1-434-98-21, item 22c, which was superseded by N1-434-03-1, item 22c, which was then superseded by DAA-0434-2015-0005-0003**

- d. Other indices related to Personnel Security Records. (N1-434-03-1(d))  
Destroy with the related file(s) or when no longer needed.
- 23. Security Clearance/Access Authorization Status Files.** (N1-434-98-21(23))  
Lists or rosters showing the current access authorization status of individuals,  
  
Cut off and place in inactive file when superseded or obsolete. Destroy 75 years after cutoff.

**Note: N1-434-98-21, item 23 is an exception to GRS 18.23**

- 24. Security Violations Files.** (GRS 18, item 24)  
Copies of "Report of Security Incident/Infraction," or similar forms or reports that are placed in Personnel Security files are handled in accordance with item 22, above. Other documentation relating to infractions or violations is handled in accordance with items 11.1 and 11.3, above.  
**Superseded by GRS 5.6, item 200 (DAA-GRS-2017-0006-0027) - note GRS lists as GRS 18.24 a and b**

- 25. Classified Information Nondisclosure Agreements.** (GRS 18, Item 25)

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified pursuant to a Federal statute or Executive Order. These forms should be maintained separately from personnel access authorization files. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees), (or contractor's equivalent file).

- a. If maintained separately from the individual's official personnel folder (or contractor's equivalent).

Destroy when 70 years old.

**Superseded by GRS 4.2, Item 121 (DAA-GRS-2015-0002-0003)**

- b. If maintained in the individual's official personnel folder.

Apply the disposition for the official personnel folder.

**Rescinded per GRS Transmittal 28**

## EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

### **26. Emergency Planning Administrative Correspondence Files.** (GRS 18, item 26)

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old.

**Superseded by GRS 5.3, Item 010 (DAA-GRS-2106-0004-0001)**

#### **26.1 Emergency Planning Program Correspondence**

Records that document the policy, program, standards, and procedures pertaining to the administration of the emergency planning program.

- a. Program and policy guides, information papers, operational manuals, and documents used as guides for determining appropriate DOE action. Unless issued as a DOE directive, a record copy of Departmental emergency plans.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff. (N1-434-98-21(26.1a))

**Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001).**

**Note: NARA cross-walked to GRS 5.3, item 010 (temporary) as they do not believe planning records have permanent value.**

- b. Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting Department-wide results of tests conducted under emergency plans.  
  
Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff. (N1-434-98-21(26.1b))  
  
**Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001).**  
**Note: NARA cross-walked to GRS 5.3, item 010 (temporary) as they do not believe planning records have permanent value.**
  - c. Files documenting the development of policy, including policy studies.  
  
Cut off when superseded. Destroy 10 years after cutoff. (N1-434-98-21(26.1c))  
**Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**
  - d. Procedures and activities implementing DOE policy and guides.  
  
Cut off at end of the fiscal year. Destroy 6 years after cutoff. (N1-434-98-21(26.1d))  
**Superseded by GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)**
- 27. Emergency Planning Case Files.** (GRS 18, item 27)  
Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, see item 26.1a, above.  
  
Destroy 3 years after issuance of a new plan or directive.  
**Superseded by GRS 5.3, Item 010 (DAA-GRS-2016-0004-0001)**
- 28. Emergency Operations Tests Files.** (GRS 18, item 28)  
Files accumulating from tests conducted under DOE emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports, see item 26.1b, above.  
  
Destroy when 3 years old. **Corrected Authority - August 2022**  
**Superseded by GRS 5.3, Item 010 (DAA-GRS-2016-0004-0001)**
- 29. National Defense Executive Reserve (NDER) Case Files.** (GRS 18, item 29)  
Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in national security emergencies, including qualifications statements, other personnel and administrative reports, skills inventory, training data, and other records relating to administration of the NDER program.
- a. Case files on reservists.  
  
Place in inactive file upon termination. Cut off inactive file at the end of the fiscal year.

Destroy 5 years after cutoff. **Rescinded per GRS Transmittal 28**

- b. Case files on individuals whose applications are rejected or withdrawn.

Place in inactive file. Cut off inactive file at the end of the fiscal year.

Destroy 5 years after cutoff. **Rescinded per GRS Transmittal 28**

## 30. Through 34. Reserved

### SAFETY RECORDS

#### 35.1 Records that Demonstrate the Capability for Safe Operation.

Records include the activities involved in the planning, design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems, any of which are or will be engaged in, or part of, “operations.” Included are records of initial siting and geological aspects.

- EPI** a. Records of Individuals. Authorizing documents, training certificates, procedures, and other records of a similar or a related nature that demonstrate that individuals have the capability for engaging in, performing in or otherwise conducting safe operations. Operations may involve the design, construction, installation, test, handling, manufacture, use, packaging, shipping, control, operation, and disposition of items. Items may either be used, or planned for use in relation to, or with, other items. Items include machinery, equipment, structures, plants, materials, spent fuel, waste, and systems.

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission (NRC) regulations. Other sites comply with the requirements for recordkeeping in DOE Orders and DOE schedules and their items; other than this item. In the absence of these requirements, apply the following: When the employee currently or in the future will no longer perform an activity for which documentation of qualifications to perform that activity is required. This includes that documentation that the employee has successfully performed the activity if such documentation establishes the qualification to again perform the activity, or a related activity. (Note: Sites complying with NRC’s requirements; First, cite the NRC requirement and Second, cite this item as authority.)

Excluded from this disposition authority are the records required to document employees’ individual case files that reflect the performance of

all assigned tasks (hazardous and non-hazardous) for those employees who may be assigned tasks that involve hazards. (N1-434-98-21(35.1a))  
**Superseded by DOE 2.6, Item 030 (Filing Instructions)**

EPI

b. Records of “Items”. Authorizing documents, procedures, and other records that demonstrate that control systems, materials control systems, and items that will be used in operations, have the capability for safe use. Items as used here include sites, facilities, structures, plants, materials, spent fuel, waste, machinery, equipment, and systems, or discrete parts thereof.

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission regulations. Other sites comply with the requirements for recordkeeping in DOE Orders and DOE schedules and their items, other than this item. In the absence of these requirements, apply the following: Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item’s capability for safe operation. Additionally, destroy either upon an item’s permanent removal from service, or upon permanent termination of the item’s use, unless the documentation will be applicable to a replacement item. (Note: Sites complying with NRC’s requirements, First, cite the NRC requirement and Second, cite this item as authority.) (N1-434-98-21(35.1b))

## **36.1 Records that Verify the Performance of Safe Operations . (N1-434-98-21(36.1))**

Records which verify that an activity was performed in accordance with applicable requirements for safe operations, but need not be retained for the working life of the individual or for the life of the item, or discrete part thereof.

Items as used here include sites, facilities, structures, plans, materials, machinery, equipment, and systems. (Excluded are nuclear materials accountability records.)

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission regulations. Other sites comply with the requirements for recordkeeping in Doe orders and Doe schedules and their items, other than this item. In the absence of these requirements, apply the following: Cut off the records at the end of the fiscal year, and destroy them 5 years after the date of the completion of the task or the completion of the performance of the activity or the action. This includes records of an individual’s performance unless these records either reflect “qualifications” or performance where hazardous activities may be performed.

See item 35a, above. Additionally, destroy upon the item’s permanent removal

from service, or upon the permanent termination of the item's activity. (Note: Sites complying with NRC's requirements, First, cite the NRC requirement and Second, cite this item as authority.)

**37. Safe Work Permits. (N1-434-89-10(2))**

Safe work permits are used to designate the approval for employees to work on a potentially hazardous job or in a potentially hazardous area. They contain the job description, instructions to workers, the protective clothing and equipment required. They include the name of the workers, approval signatures of responsible supervision, and the date(s) the work is done.

Destroy 75 years after the date of the permit.

**38. Through 41. Reserved**

## COMMUNICATIONS SECURITY RECORDS

**42. Communications Security Records (COMSEC) Records.**

COMSEC records consisting of forms, reports, and correspondence recording or relating to the accountability, transfer, inventory, receipt, and destruction of COMSEC materials.

a. Records of Departmental COMSEC custodian

Destroy when 5 years old. (NN-167-141(1a))

b. COMSEC card files

Retain until COMSEC account is closed. (N1-434-98-21(42.1b))

c. Key card and key list usage reports.

Destroy when 1 month old, provided destruction report has been prepared and sent to DOE COMSEC custodian. (N1-434-98-21(42.1c))

**Superseded by GRS 5.6,item 021 (DAA-GRS-2017-0006-0003)**

d. Other COMSEC accounting records.

Destroy when 1 year old, provided reconciliation of COMSEC material has been completed. (NN-167-141(1b))

**43. Through 47. Reserved**

## NUCLEAR MATERIALS CONTROL, AND ACCOUNTABILITY RECORDS

The remaining items in this schedule cover special material accountability records which pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. The records covered are material transfer, reporting, inspections, requests for material, allotments, and allocations.

**48. Hazardous Material.** (NC1-430-76-7(1))

**EPI** Radioactive Material Packing and Shipping Records. Shipping packaging records including Certificates of Compliance, Safety Analysis Reports for Packaging (SARP), evaluations of SARPs, licenses, amendments to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards.

Destroy 5 years after Certificate of Compliance has terminated, unless information is received indicating that renewed use is definitely anticipated.

**49. Requests for Materials.** (II-NNA-1735(2))

**EPI** Requests for special, source, and fissionable materials: files maintained by accountability stations to authorize and control the use of these materials under the allotment system, and in accounting for transfers.

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

**50. Materials Allotment Files**

Source and Special (SS) Nuclear Materials. Records documenting requests for annual allotments and special allotments of source and special nuclear materials and actions taken by higher authority in concurring with or amending estimated requirements, and in establishing allotments.

a. Reserved.

**EPI** b. Files of operations offices pertaining to each organization requesting source and special nuclear materials; and consolidated requests for allotments, together with related correspondence.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.  
(NC-430-76-1, item 9a). **UPDATED AUTHORITY**

**51. Materials Allocation Files.**



Special research and reactor materials allocation files consisting of records concerning estimated requirements of beryllium, zirconium, hafnium, heavy water and graphite.

- EPI** a. Files of offices with authority to make allocations, together with related old correspondence.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.  
(II-NNA-1735(3a))
- EPI** b. Files of operations offices consisting of estimates submitted by contractors projecting special material needs over a 3-year period.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.  
(N1-434-98-21(51b))
- EPI** c. Files of approved allocations in area offices which handle the supplying of special materials.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.  
(N1-434-98-21(51c))

## 52. Accountability Reports.

Source and special nuclear materials balance and accountability reports files consisting of periodic reports and related documents compiled and submitted by contractors, lessees, and DOE Field Offices, and including the files of the staff division responsible for the administration of the SS Material Accountability System.

- a. Report files of the staff division administering the accountability system.

### **Corrected Authorities - August 2022**

- EPI** (1) June 30, and December 31, reports.

Destroy when 25 years old. (NN-166-78(1a (1), (1a(2) & (1a(3)))

(2) All others

Destroy when 5 years old. (NN-166-78(1a(4)))
  - b. Report files of Materials Leasing Office, including related correspondence. (NN-166-78)
- EPI** (1) June 30, and December 31, reports submitted by lessees.

Destroy when 25 years old. (NN-166-78(1b(1)))

(2) All Others

Destroy when 5 years old (NN-166-78(1b(2)))

c. Report files of Field Offices, including related correspondence. (N1-434-98-21(52c))

Destroy when 4 years old.

## 53. Reports of Apparent Losses.

Reports of apparent losses of source or nuclear material (losses as defined by DOE directives).

a. Cases which are of widespread public, governmental, or congressional interest subject to review every 10 years to verify that reports should remain in that category.

Permanent. Offer to the National Archives when 25 years old. (NC-430-76-3(5a))

EPI

b. Others, subject to review every 10 years to ascertain that report still represents an apparent loss.

Destroy when 25 years old. (NC-430-76-3(5b))

## 54. Reports of Shipper-Receiver Measurement Differences.

Reports of shipper-receiver measurement differences pertaining to transfers of SS material between installations under the same operations office and under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.

a. Copies forwarded to staff office administering the SS accountability system.

Destroy when 3 years old. (II NNA-1735(7a))

b. Copies filed in operations offices and in shipping and receiving installations.

Destroy when 2 years old. (II NNA-1735(7b))

## 55. SS Transfer Journals. (II NNA-1735(4))

- EPI** Accountability stations maintain SS transfer journals as a continuing control record of contractors' inventories, to which are posted receipts and shipments of SS materials.

Destroy 3 years after date of last entry.

**56. SS Material Transfer Files. (N1-434-98-21(56))**

- EPI** Transfer files consist of records used to account for SS material transfers from one unit to another within production plants or facilities, or between such plants (inter and intra plant transfers)

Destroy after 1 year, providing DOE audit has been completed.

**57. SS Material Shipping Form Files. (II NN-3225)**

Files consist of DOE/NRC Form 741s, or equivalent Forms, used in the transfer of source and special nuclear materials, or other material controlled by the SS materials accountability system.

- EPI** a. Copies filed in DOE offices.

Destroy when 3 years old. (II NN-3225(1a))

- EPI** b. Copies filed in shipping and receiving contractor installations.

Destroy after audit by DOE accountability survey team.  
(II NN-3225(1b))

**Department of Energy  
Administrative Records Schedule 20:  
Electronic Records  
August 2022  
Revision 5**

This schedule authorizes the disposition of specified electronic records and hard-copy or microform records and are integrally related to them. The electronic records may either be created or received. Included are records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in this schedule regardless of the type of computer used to create or store the records.

Electronic records not covered by this schedule may not be destroyed until authorization is obtained. The records covered by several items in this schedule are authorized for erasure or deletion when the record custodian determines that they are no longer needed. It is not feasible to establish a more specific retention to be appropriate in all applications. Each system owner should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old." Additional approval is not required to set retention periods for records in this schedule authorized for destruction, "when no longer needed."

Item 2a, 1a (in part), and 16 apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Item 10 and 11 should be applied to special purpose programs and documentation for disposable electronic records whatever the medium in which such documentation and programs exist. Electronic versions of records in hard copy form, authorized for disposal elsewhere in ADM schedules, may be deleted under the provisions of item 3 of this schedule. See also 36 CFR Part 1236 for NARA regulations on electronic records management.

**1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records: (GRS 20, item 1)**

- a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.

Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 3.1, Items 010, 011 & 020 (DAA-GRS-0005-0006, 0007 & 0004)**

- b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

Delete after information has been transferred to the master file and verified.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 3.2, Item 030 (DAA-GRS-2013-0006-0003)**

## 2. **Input/Source Records.** (GRS 20, item 2)

- a. Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).
  - (1) Hard documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format.

Permanent. Transfer to NARA in accordance with previously approved schedule.

**Rescinded by GRS Transmittal 23**

- (2) Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion.

Permanent. Transfer to NARA in accordance with previously approved schedule.

**Rescinded by GRS Transmittal 23**

- (3) Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations).

Apply previously approved schedule.

**Rescinded by GRS Transmittal 23**

- (4) Hard copy documents other than those covered by Items 2(a) (1) – (3).

Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or (applicable to permanent records only) 60 days after NARA has been provided the notification required by 36 CFR 1225.24(a)(1), whichever is later.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

[NOTE: The term hard copy records or non-electronic records as used in this schedule includes, in addition to traditional textual files: still picture negatives, prints, slides, and transparencies; aerial photography, maps, charts, and drawings; motion picture film and analog videotape; and analog sound recordings.]

- b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- c. Electronic records received from another agency and used as input/source records by the Department, EXCLUDING 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 Department.

Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction of, or serve as back-up to, the master file or data base, whichever is later.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- d. 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 data base.

Delete after the necessary data have been incorporated into a master file.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

**3. Electronic Records that Replace Temporary Hard Copy Records.**  
(GRS 20, item 3)

Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF

115 must be submitted to NARA. None of the authorities provided below may be applied.)

a. Scanned Images.

Delete after the expiration of the retention period authorized for the hard copy records.

**Rescinded by GRS Transmittal 23**

b. Electronic formats other than scanned images

- (1) Records covered by temporary items in the ADM schedules other than ADM 1, Item 21 (Employee Medical Folders); ADM 1, Item 22 (Employment Statistics Files); ADM 1, Item 25f (Equal Employment Opportunity Statistics Files); ADM 12, Item 3 (Telecommunications Operational Files); and ADM 18, Item 5 (Top Secret Accounting and Control Files)

OR

Records covered by temporary items in a department-specific schedule that pertain to administrative housekeeping activities.

Delete after the expiration of the retention period authorized for the hard copy records.

**Rescinded by GRS Transmittal 23**

- (2) Records covered by ADM 1, Item 21 (Employee Medical Folders); ADM 1, Item 22 (Employment Statistics Files); ADM 1, Item 25f (Equal Employment Opportunity Statistics Files); ADM 12, Item 3 (Telecommunications Operational Files); and ADM 18, Item 5 (Top Secret Accounting and Control Files).

Submit SF 115 to NARA.

**Rescinded by GRS Transmittal 23**

- (3) Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings.

Delete after the expiration of the retention period authorized for the hard copy records.

**Rescinded by GRS Transmittal 23**

- (4) Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records.

Delete after the expiration of the retention period specified in the previously approved schedule .

**Rescinded by GRS Transmittal 23**

- (5) Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4).

Submit SF 115 to NARA.

**Rescinded by GRS Transmittal 23**

[**NOTE:** (1) Items 3(b)(1) and 3(b)(3) may be applied to electronic records consisting of information drawn from multiple previously scheduled hard copy series of administrative housekeeping records. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules. (2) Disposition authorities included in Item 3 may be applied to copies of records maintained on agency web sites only in the case of administrative housekeeping records. These items may not be applied to web site copies of program records, which must be scheduled separately.]

### **3.1 Electronic Records That Replace Permanent Hard Copy Records** (GRS 20, Item 3.1)

Electronic records that replace hard copy records approved as permanent in a previously approved schedule.

Permanent. Submit notification to NARA in accordance with 36 CFR 1225.24(a)(1).

**Rescinded by GRS Transmittal 23**

[**NOTE:** (1) Electronic versions of permanent records that are retained as recordkeeping copies must meet the standards contained in NARA guidance concerning the creation, maintenance, and transfer of permanent electronic records. (2) Item 3.1 may be applied if the electronic records consist of information drawn from multiple previously scheduled permanent series. In cases where the electronic records include information drawn from both temporary and permanent hard copy series, an agency may apply Item 3.1 or submit an SF 115 that proposes disposal of the records if the agency believes the electronic records do not warrant permanent retention. (3) This item does not cover copies of permanent records maintained on agency web sites, which must be scheduled separately.]

### **4. Data Files Consisting of Summarized Information.** (GRS 20, item 4)

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under the ADM schedule item or is authorized for deletion by a disposition authorization approved after January 1, 1988, EXCLUDING data files that are created as disclosure free files to allow public access to the data which may not be destroyed without approval.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

[**NOTE:** Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]



- 5. Records Consisting of Extracted Information.** (GRS 20, time 5)  
Electronic files consisting solely of records extracted from a single master file or data base that is disposable under this schedule or approved for deletion by an approved disposition schedule, EXCLUDING extracts that are: a) produced as disclosure-free files to allow public access to the data; or b) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files, see items 6 and 7 of this schedule, respectively.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

[NOTE: (1) Records consisting of extracted information that was created from a master file or data base that is uncheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

- 6. Print File:** (GRS 20, item 6)  
Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- 7. Technical Reformat File:** (GRS 20, item 7)  
Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when the agency determines that it no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- 8. Back-ups of Files:** (GRS 20, item 8)  
Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or data base is damaged or inadvertently erased.
- a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been captured in a subsequent back-up file or when the identical records have been transferred to the National Archives and successfully copied.

**Superseded by GRS 3.2, Item 050 (DAA-GRS-2013-0006-0007)**

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent back-up file.

**Superseded by GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)**

**9. Finding Aids (or Indexes):** (GRS 20, item 9)

Electronic indexes, lists, registers, and other findings aids used only to provide access to records authorized for destruction by this schedule or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

**Superseded by GRS 4.1, Item 010 (DAA-GRS-2013-0002-0016)**

**10. Special Purpose Programs:** (GRS 20, item 10)

Application software necessary solely to use or maintain a master file or data base authorized for disposal in an ADM item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or data base or any master file or data base scheduled for transfer to the National Archives.

Delete when related master file or data base has been deleted.

**Superseded by GRS 3.1, Item 012 (DAA-GRS-2013-0005-0008)**

**10.1 Software Development:** (NI-434-98-22)

Records pertaining to the development of software, including data processing requests, project description, policy statements, project constraints and exclusions. Records may also include estimates, approval signatures, analyses, test results and verifications, code development and maintenance, systems documentation, meeting minutes, requests for modifications and related correspondence and working papers.

- a. Systems developed in support of program-related activities which maintain and reproduce record information.

Destroy after the expiration of the retention period authorized for related

**Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0001)**

disposable records (i.e., in accordance with this schedule or other DOE schedules) or when related system is removed from service. (NI-434-98-22(10.1a))

- b. All other disposable systems.

Retain until software or system is removed from service. (NI-434-98-22(10.1b))

**Superseded by GRS 3.1, item 011 (DAA-GRS-2013-0005-0001)**

**11. Documentation:** (GRS 20, item 11)

- a. Data systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base or other electronic records.

- (1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

**Superseded by GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)**

- (2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.

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

**Superseded by GRS 3.1, Item 050 (DAA-GRS-2013-0005-0002)**

- b. Copies of records relating to system security.  
Use GRS 24, item 5.

**Superseded by GRS 3.2, Item 010 (DAA-GRS-2013-0005-0001)**

**12. Downloaded and Copied Data:** (GRS 20, item 12)

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the Department, when the original data is retained.

- a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.  
**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- c. 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.

Delete from the receiving system or device when no longer needed for processing.

**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

[NOTE: See item 5 of this schedule for other extracted data.]

**13. Word processing Files:** (GRS 20, item 13)

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the word processing system when no longer needed for updating or revision.

**Superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)**

**14. Electronic Mail Records:** (GRS 20, item 14)

Senders' and recipients' version of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system.

**Superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)**

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

**15. Electronic Spreadsheets:** (GRS 20, item 15)

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

- a. When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

**Superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)**

- b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by an ADM item or an approved SF 115. If the electronic version replaces hard copy records with differing retention periods and the software does not readily permit selective deletion, delete after the longest retention period has expired.

**Superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)**

16. **Hard Copy Printouts Created to Meet Ad hoc Business Needs.**

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed.)

**Superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)**

INACTIVE

# UPDATED AUTHORITIES

**Department of Energy**  
**Administrative Records Schedule 21:**  
**Audiovisual Records**  
**August 2022**  
**Revision 5**

This schedule covers audiovisual and related records created by or for Department and those acquired in the normal course of business. For audiovisual records that are not described in this schedule, an SF 115, Request for Records Disposition Authority, must be submitted to the National Archives and Records Administration (NARA). Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by ADM 17; temporary computerized data are covered by ADM 20 and ADM 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1238.32 (b).

This schedule provides guidance for certain audiovisual records considered permanent or potentially permanent. Additional guidance in identifying, maintaining, using, and making disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" available at <http://www.archives.gov/records-mgmt/publications/managing-audiovisual-records.html>.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 109-45.1003, "Recovery of Precious Metals."

## **Requirements for Permanent Retention:**

Black and white photographs: An original negative and captioned print. If the original negative is unstable safety, acetate, nitrate, or glass, a duplicate negative is also needed.

Color photographs: Original color transparency or color negative, a captioned print, and an internal-negative if one exists.

Slide sets: Original and a reference set, and the related audio recording and script if one exists.

Other pictorial records (posters, artwork, etc.): Original and one reference print.

Departmentally-sponsored motion picture films (for distribution): Original negative or color original plus separate optical sound track, and intermediate master positive or duplicate negative plus optical sound track, and sound projection print.

Department-sponsored motion picture films (for internet use): Original negative or color original plus sound, and projection print.

Agency-acquired motion picture films: Two projection prints.

Unedited out-takes and trims (the discards of film productions): if properly arranged, labeled, and described, and depict unstaged, unrehearsed events of historical interest or historically significant phenomena: Original negative or color original and work print.

Conventional, mass-produced, or multiple-copy disc recordings: The master tape, the matrix or stamper of each sound recording, and a disc pressing of each recording.

For magnetic sound recordings usually on audio tape (reel-to-reel, cassette, or cartridge): Original tape or the earliest generation of the recording and a “dubbing” if one has been made.

## Still Photography

### 1. Routine Photographs. (GRS 21, item 1)

Photographs of routine award ceremonies, social events, and activities not related to the Mission of the Department.

Destroy when 1 year old.

**Superseded by GRS 6.4, Item 050 (DAA-GRS-2016-0005-0006)**

### 1.1 Departmental Sites and Mission Photographs.

Photographs that relate to the mission of the Department such as:

- a. Major program and laboratory activities, personnel at work, and experimental methods and results determined to be of importance due to public interest in the project, the content or results of the research, or prestige of the researcher; \*P 3/656/; : /45\*30c++
- b. Images that document construction projects of scientific, technical, or public interest; \*P 3/656/; : /45\*30d++
- c. Images that depict Department sites and their growth such as laboratories or other scientific or technical structures or facilities; \*P 3/656/; : /45\*30e++

- d. High-level, one-of-a-kind, or of significant interest meetings, ceremonies, or events;
- e. High level officials carrying out transactions of political, scientific, technical or public interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

## 1.2 Photographs That Are Unique. (N1-434-98-23\*1.2+)

Photographs that contain information that is unique in substance, arrangement, or manner of presentation, which document unusual phenomena, utilize a new technology, or represent an advance in the state of the art, and is unavailable in another form.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

## 1.3 Unidentifiable Photographs: (NI-434-90-7) **NONRECORD**

Photographs of scientific or technical activities that are of unidentifiable persons, experiments, apparatus, or activities and are deemed to be of no special historical, scientific or technical significance.

Destroy when no longer needed.

**Rescinded by DOE (non record) Note: N1-434-90-7 is an Oak Ridge SF115 that is now inactive**

## 2. Personnel Identification or Passport Photographs. (GRS 21, item 2)

Destroy when 5 years old or when superseded or obsolete, whichever is later.

**Superseded by GRS 2.2, Item 090 & 5.6, Items 120 & 130 (DAA-GRS-2017-0007-00013, 0006-0016 & 0018)**

## 3. Training (Internal Personnel and Administrative Filmstrips and Slides of Programs.

- a. Mission-related training materials. Materials that reflect the mission, and mission related functions, policies or procedures of the Department and contractors.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business. (N1-434-98-23\*3c+)

- b. Other training materials. Materials that do not reflect the mission responsibilities of the Department.



Destroy 1 year after completion of training program. (GRS 21, item 3)  
**Superseded by GRS 2.6, Item 010 (DAA-GRS-2016-0014-0001)**

## 3.1. Duplicate Audiovisual Items. NONRECORD

Duplicate audiovisual items in excess of those record elements required for preservation, duplication, and reference service by 36 CFR 1228.184.

Destroy when no longer needed.  
**Rescinded by DOE (non record)**

## 4. Reserved. (GRS 21, item 4)

**Does not exist**

### Graphic Arts

## 5. Viewgraphs. (GRS 21, item 5)

Destroy 1 year after use.

**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0006)**

## 6. Routine Artwork. (GRS 21, item 6)

Routine artwork for handbills, flyers, posters, letterhead, and other graphics.

Destroy 1 year after final publication or when no longer needed.

**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**

## 6.1 Published Posters. (N1-434-90-1\*3+)

Posters depicting DOE facilities, research projects, security awareness themes and related topics which are distributed to Departmental and contractor offices as a means of promoting DOE program concerns and policy initiatives.

Permanent. Transfer 2 copies of each poster along with information about the poster (copyright, title, artist, date and file number) to the National Archives upon publication.

## 7. Photo-mechanical Reproduction. (GRS 21, item 7)

Line and Halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.

Destroy when no longer needed for publication or reprinting.

**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**

## 8. Line Copies. (GRS 21, item 8)

Line copies of graphs and charts.

Destroy 1 year after final production or when no longer needed.

**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**

## Motion Pictures

### 9. **Films Acquired from Outside Sources.** (GRS 21, item 9)

Films acquired from outside sources for personnel and management training.

Destroy 1 year after completion of training program.

**Superseded by GRS 2.6, Item 010 (DAA-GRS-2016-0014-0001)**

#### 9.1 **Non-Mission Training Films.** (GRS 21, item 3)

Films developed or sponsored by the Department or its contractors for non-programmatic training; i.e., security or records management training.

Destroy 1 year after completion of training program.

**Superseded by GRS 2.6, Item 010 (DAA-GRS-2016-0014-0001)**

#### 9.2 **Mission Training Films.** (N1-434-98-23\*9.2+)

Films developed by the Department or its contractors for programmatic training that relates to the missions and functions of the Department.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

#### 9.3. **Entertainment Films.** **NONRECORD**

Films acquired from outside sources for personnel entertainment and recreation.

Destroy when no longer needed.

**Rescinded - Nonrecord**

#### 10. **Reserved.** (GRS 21, item 10)

**Does not exist**

#### 11. **Routine Surveillance Footage:** (GRS 21, item 11)

Destroy when 6 months old.

**Superseded by GRS 5.6, Item 090 (DAA-GRS-2017-0006-0012)**

#### 12. **Routine Scientific, Medical, or Engineering Footage.** (GRS 21, item 12)

Destroy when 2 years old.

**Rescinded by Transmittal 26**

#### 12.1 **Unique Films.** (N1-434-98-23\*12.1+)

Unique or one-of-a-kind films that document programs, functions, and activities of significant scientific, environmental, medical, historical or public interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

**12.2. Duplicate Print. NONRECORD**

Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.

Destroy when no longer needed.

**Rescinded by Transmittal 26**

**13. Reserved. (GRS 21, item 13)**

**Does not exist**

### Video Recordings

**14. Programs Training Acquisitions. (GRS 21, item 14)**

Programs acquired from outside sources for personnel and management training.

Destroy 1 year after completion of training program.

**Superseded by GRS 2.6, Item 010 (DAA-GRS-2016-0014-0001)**

**14.1. Entertainment Outside Acquisitions. NONRECORD**

Programs acquired from outside sources for personnel entertainment and recreation.

Destroy when no longer needed.

**Rescinded - Nonrecord**

**15. Reserved. (GRS 21, item 15)**

**Does not exist**

**16. Rehearsal or Practice Tapes. (GRS 21, item 16)**

Destroy immediately.

**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**

**17. Internal Personnel and Administrative Training Programs.**

- a. Programs that do not that do not reflect the mission of the Department. (These include "role-play" sessions, management and supervisory instruction, etc.)

Destroy 1 year after completion of training program. (GRS 21, item 17)

**Superseded by GRS 2.6, Item 010 (DAA-GRS-2016-00014-0001)**

- b. Internal training programs that relate to the missions and functions of the Department."

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business. (N1-434-98-23\*17b))

**18. Routine Surveillance Recordings.** (GRS 21, item 18)

Destroy when 6 months old.

**Superseded by GRS 5.6, Item 090 (DAA-GRS-2017-0006-0012)**

**19. Routine scientific, medical or engineering recordings.** (GRS 21, item 19)

Destroy when 2 years old or when no longer needed.

**Rescinded by Transmittal 26**

**19.1 Unique Recordings.** (N1-434-98-23(19.1))

Unique or one-of-a-kind recordings that document programs, functions and activities of significant scientific, environmental, medical, historical or public interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

**20. Routine Recordings.** (GRS 21, item 20)

Recordings that document routine meetings and award presentations.

Destroy when 2 years old.

**Superseded by GRS 6.4, Item 050 (DAA-GRS-2016-0005-0006)**

**20.1 Mission-related Recordings.** (N1-434-98-23(20.1))

Formal informational recordings (and scripts) by the Secretary or other senior officials for presentation to DOE and contractor entities that are of historical interest and relate to the mission, policies, scope of work or state of the Department.

Permanent. Cutoff at end of fiscal year. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

**20.2 Duplicate Dubbings. NONRECORD**

Duplicate dubbings and pre-mix elements in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.

Destroy when no longer needed.

**Rescinded by Transmittal 26**

21. **Reserved.** (GRS 21, item 21)  
**Does not exist**

## Audio (Sound) Recordings

22. **Recordings Exclusively for Transcription.** (GRS 21, item 22)

Recordings of meetings made exclusively for note taking or transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions.

Destroy immediately after use.  
**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

- 22.1 **Recordings of High-level Meetings.** (N1-434-98-23(22.1))

Recordings of proceedings of high-level meetings of historical, public, scientific, or technical interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

[NOTE: Recordings of Presidential and other executive commissions are not covered by the ADM. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]

23. **Dictation Belts or Tapes.** (GRS 21, item 23)

Destroy immediately after use.  
**Superseded by GRS 5.2, Item 020 (DAA-GRS-2017-0003-0002)**

24. **Premix Sound Elements.** (GRS 21, item 24)

Premix sound elements created during the course of a motion picture, television, or radio production.

Destroy immediately after use.  
**Superseded by GRS 6.4, Item 030 (DAA-GRS-2016-0005-0003)**

- 24.1 **Library Sound Recordings (e.g., Effects, Music).** **NONRECORD**

Destroy when no longer needed.  
**Rescinded by Transmittal 26**

25. **Reserved.** (GRS 21, item 25)  
**Does not exist**

26. **Daily or Spot News Recordings.** (GRS 21, item 26)

Daily or spot news recordings available to local radio stations on a call-in basis.

Destroy when 6 months old.

**Superseded by GRS 6.4, Item 040 (DAA-GRS-2016-0005-0004)**

**26.1 Duplicate dubbings. NONRECORD**

Duplicate dubbings in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.

Destroy when no longer needed.

**Rescinded by Transmittal 26**

**27. Reserved.** (GRS 21, item 27)

**Does not exist**

### Related Documentation

**28. Production Files.**

Production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.

- a. Temporary audiovisual.

Dispose of according to the instructions covering the related audiovisual records. (GRS 21, item 28)

**Superseded by GRS 6.4, Item 050 (DAA-GRS-2016-0005-0006)**

- b. Historically significant audiovisual records.

Permanent. Transfer to the National Archives along with related audiovisual records. (N1-434-98-23(28b))

**29. Finding Aids.** (All finding aids, electronic as well as paper versions, whenever they exist).

Finding aids for identification, retrieval, or use of :

- a. Temporary audiovisual records.

Dispose of according to the instructions covering the related audiovisual records. (GRS 21, item 29)

**Superseded by GRS 4.1, Item 010 (DAA-GRS-2013-0002-0016)**

- b. Permanent audiovisual records. (N1-434-98-23(29b))

Permanent. Transfer to National Archives along with related audiovisual records. (Electronic versions should be in native format, as well as an ASCII version).

# UPDATED AUTHORITIES

**Department of Energy**  
**Administrative Records Schedule 22:**  
**Audit/Investigative Records**  
**October 2021**  
**Revision 4**

**Section I** of this schedule covers records associated with investigations other than those performed by the Office of the Inspector General (OIG). Types of investigations may include: routine and significant internal program investigations, specific purpose investigations, audits, inspections, appraisals, and management reviews. Investigations may be described or referred to as audits, appraisals, surveillance, self-assessments, management assessments, or evaluations. Investigations may be conducted by DOE or by its contractors. **Section II** covers records created by the Department's OIG investigations. OIG investigations serve to prevent or reduce waste and fraud in Departmental programs, to improve Departmental management, and to determine compliance with requirements. This section applies to both Headquarters and Field office records.

Indexes to these files are covered by "Records Common to Most Offices Within the Department," ADM 23, item 9. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not covered by this schedule must be scheduled separately.

The records described in this schedule are authorized for disposal in both hard copy and electronic formats.

## **SECTION I. INVESTIGATION / AUDIT RECORDS OTHER THAN THOSE OF THE OFFICE OF THE INSPECTOR GENERAL**

Investigative case files relate to Departmental personnel, programs and operations administered or financed by the Department. Contractors and others having a relationship with the Department are included. Investigations include those for known or alleged program or management irregularities, and may also include routine assessments and appraisals. Investigative reports and related documents are included, such as correspondence, notes, attachments, working papers, and products of the investigation; e.g., a report or the equivalent including additional non-conformance reports, trend analyses, corrective action records and plans, lessons learned, and associated working papers, reviews, comments, and log books.

- 1. Reports.** (N1-434-98-24, Item 1)
  - a. Final Audit/Investigation Reports.
    - (1) Reports on activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress.

- (a) Official Copy.

PERMANENT. Cut off annually. Transfer to NARA in 5-year blocks when 10 years old.

- (b) All other copies.

Destroy when no longer needed.

- (2) All final audit/investigative reports not meeting the criteria of item 1a (1).

- (a) Official copy.

Cut off annually. Destroy when 10 years old.

- (b) All other copies.

Destroy when no longer needed

## **2. Audit/Investigative Case Files.** (N1-434-98-24, Item 2)

- a. Case files developed in connection with activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress.

- (1) Official Copy.

PERMANENT. Cut off upon completion of audit or investigation. Transfer to NARA along with associated report.

- (2) All other copies.

Destroy when no longer needed.

- b. All other case files not meeting the criteria of item 2a.

- (1) Official Copy.

Cut off upon completion of audit or investigation. Destroy when 10 years old.

- (2) All other copies.

Destroy when no longer needed.



**3. Potential Investigations.** (N1-434-98-24, Item 3)

Potential investigative files contain information or allegations which are of an investigative nature but do not relate to a specific investigation. They include the anonymous and other allegations determined not to warrant an investigation, matters referred to others for handling, and support files providing general information which may prove useful in an investigation.

Cut off at the end of the fiscal year. Destroy when 5 years old.

**4. Environmental Investigations.** (N1-434-98-24, Item 4)

Audit and investigative case files and reports that pertain to environmental, health, and safety topics, cases, or concerns, but ARE NOT covered by items 1a(1) or 2a(1) above.

Cut off upon completion of audit or investigation. Destroy when 75 years old.

## **SECTION II. OFFICE OF THE INSPECTOR GENERAL RECORDS**

This section covers files created or maintained by the Department of Energy, Office of Inspector General (OIG). Major statutory responsibilities of the OIG are to detect and prevent fraud, abuse, and violations of laws and regulations. They are intended to promote economy, efficiency, and effectiveness in the operations of the Department of Energy. Investigations may stem from employee, hotline, or miscellaneous complaints. OIG cases are categorized either as routine or priority. Cases are designated priority when the matter under investigation has special interest to the Inspector General or other high-level Department officials, the U.S. Congress, the White House or the media, or when at least one of the other criteria identified in item 9.b.1 of this schedule has been met. Although this schedule is applicable to records located at Headquarters and in Field offices, it is likely the PERMANENT records may be found only in Headquarters.

**5. Semiannual Reports to Congress.** (N1-434-00-1, Item 1)

Reports that summarize significant Office of Inspector General audit, inspection and investigative accomplishments for the reporting period and that may attract Congressional or national media attention.

a. Official copy.

PERMANENT. Cut off at the end of the fiscal year which includes reporting period. Maintain in office. Transfer to National Archives and Records Administration (NARA) 30 years after cutoff.

b. All other copies.

Destroy when no longer needed.

**6. Audit Records.** (N1-434-00-1, Item 2)

OIG files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. These are files (including audit reports, most of which may be released to the public) develop in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress.

a. OIG files containing information which does not result in a formal audit, as well as information requiring no action by the OIG.

(1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 5 years after cutoff.

(2) All other copies.

Destroy when no longer needed.

b. OIG files containing information which has resulted in the initiation of a formal audit.

(1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 10 years after cutoff.

(2) All other copies.

Destroy when no longer needed.

c. Final audit report.

(1) Official copy.

PERMANENT. Cutoff at the end of the fiscal year during which file is formally closed. Maintain in Office. Transfer to NARA 30 years after cutoff.

(2) All other copies.

Destroy when no longer needed.

**7. Inspection Records.** (N1-434-00-1, Item 3)

OIG files of allegations/complaints of a non-criminal nature, employee retaliation, or a special inquiry of sensitive issues. These are files (including inspection reports) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or cited in semiannual reports to Congress.

- a. OIG files containing information or allegations, described above, which do not result in a formal inspection, including Qui Tam files and allegations referred to Department management or other Federal agencies, as well as allegations requiring no action by the OIG.

- (1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 5 years after cutoff.

- (2) All other copies.

Destroy when no longer needed.

- b. OIG files containing information or allegations which have resulted in the initiation of a formal inspection.

- (1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 10 years after cutoff.

- (2) All other copies.

Destroy when no longer needed.

- c. Final inspection report.

- (1) Official copy.

PERMANENT. Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Transfer to NARA 30 years after cutoff.

- (2) All other copies.

Destroy when no longer needed.

**8. Investigative Records.** (N1-434-00-1, Item 4)

OIG files to document allegations of fraud, waste, abuse, and violations of Federal laws/regulations involving DOE programs operations, employees and/or monies. The allegations relate to prohibited or improper activities against the Department by its contractors, vendors, employees, and others having a relationship to DOE. This included allegations reported in writing, via telephone, in person or to the Hotline, email, or to any OIG staff. These are files (including investigation reports, none of which may be released to the public) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress.

- a. OIG files containing information or allegations, which do not result in a formal investigation, including allegations referred to Department management or other Federal agencies, as well as allegations requiring no action by the OIG.

- (1) Official copy.

Cut off at the end of the fiscal year. Maintain in office. Destroy 10 years after cutoff.

- (2) All other copies.

Destroy when no longer needed.

- b. OIG records containing information or allegations which have resulted in the initiation of a formal investigation.

- (1) Records of investigations which are deemed priority and meet any one of the following:

(i) The matter under investigation has special interest to the Inspector General, the Assistant Inspector General for Investigations (AIGI), Departmental Officials at the Assistant Secretary level or above, the U.S. Congress, the White House, or the media;

(ii) The AIGI, Deputy AIGI, Special Agent- in-Charge, or Assistant Special Agent- in-Charge believes the case has the potential to have a significant impact on Department programs or operations;

- (iii) The matter under investigation involves a Departmental official at the Senior Executive Service (SES) level or above as a subject; or
- (iv) The matter under investigation is designated priority and/or time-sensitive by Headquarters or an Office of Investigations Manager.

PERMANENT. Cutoff at the end of the fiscal year during which file is formally closed. Maintain in office. Transfer to NARA 30 years after cutoff.

- (2) All other investigative records not covered by item 9.b(1).

Cut off at the end of the fiscal year. Maintain in office. Destroy 20 years after cutoff.

- (3) All other copies.

Destroy when no longer needed.

# UPDATED AUTHORITIES

**Department of Energy  
Administrative Records Schedule 23:  
Records Common To Most Offices  
August 2022  
Revision 5**

This schedule provides for the disposal of certain records common to most offices. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and documents of transitory value. This schedule does not apply to any materials determined to be non-record or to materials such as calendars or work schedules claimed as personal. Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

Some item numbers in this schedule have been reserved to coordinate with GRS 23. See ADM 23, item 10, for the disposition of those records described in this schedule that are created in electronic form. Retirement of non-current records to inactive storage is authorized.

## **1. Office Administrative Files.**

- a. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. Included copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Cut off at the end of the fiscal year. Destroy when 2 years old, or when no longer needed. (GRS 23, item 1)

**Superseded by GRS 5.1, Item 010 (DAA-GRS-2016-0016-0001)**

- b. Record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the organization.

**Permanent.** Cut off at the end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old. (N1-434-98-25(1b))

**2-4. Reserved.**

**5. Schedules of Daily Activities.** (GRS 23, item 5)

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

- a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials.

Cut off at the end of the fiscal year. Destroy or delete when 2 years old.  
**Superseded by GRS 5.1, Item 010 (DAA-GRS-2016-0016-0001)**

- b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Cut off at the end of the fiscal year. Destroy or delete when no longer needed for convenience of reference.

**Superseded by GRS 5.1, Item 010 (DAA-GRS-2016-0016-0001)**

**5.1 Records of High-Level Officials.** (N1-434-98-25(5.1))

Unique substantive records relating to the activities of high level officials (to include scientific and technical staff-Federal or contractor), e.g., Secretarial officers, heads of program offices, heads of offices, their deputies and assistants; the heads of staff offices, directors of offices, or equivalent; principal field officials; and staff assistants to all these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions; also includes equivalent contractor officials. Examples of these records include, but are not limited to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity.

**Permanent.** Cut off at the end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old.

## 6. Suspense Files (GRS 23, item 6)

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

- a. A note or other reminder to take action.  
Destroy after action is taken.  
**Superseded by GRS 5.2, Item 010 (DAA-GRS-2017-0003-0001)**
- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.

**Superseded by GRS 5.2, Item 010 (DAA-GRS-2017-0003-0001)**

## 7. Transitory Files. (GRS 23, item 7)

Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. Included are such records as:

- Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;  
**Superseded by GRS 4.2, Item 010 (DAA-GRS-2013-0007-0001)**
- Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;
- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;
- Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;
- Suspense and tickler files or 'to-do' and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

Destroy immediately, or when no longer needed for reference, or under a predetermined schedule or business rule (e.g., implementing the auto-delete feature of electronic mail systems).

**Superseded by GRS 5.2, Item 010 (DAA-GRS-2017-0003-0001) (except bullet 1)**



- 8. Tracking and Control Records.** (GRS 23, item 8)  
Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction. Cut off at the end of the fiscal year.
- Destroy or delete when 2 years old, or 2 years after date of last entry, whichever is applicable.  
**Superseded by GRS 4.1, Item 010 (DAA-GRS-2013-0002-0016)**
- 9. Finding Aids (or Indexes).** (GRS 23, item 9)  
Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.
- Destroy or delete with the related records.  
**Superseded by GRS 4.1, Item 010 (DAA-GRS-2013-0002-0016)**
- 10. Electronic Mail and Word Processing System Copies.**  
Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.
- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
- Destroy/delete within 180 days after the recordkeeping copy has been produced.  
**Superseded by GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)**
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.
- Destroy/delete when dissemination, revision, or updating is completed.  
**Superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)**

## GENERAL RECORDS SCHEDULE 24

### Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records. GRS 20 superseded by GRS Transmittal 24.~~

1. ~~Oversight and Compliance Files.~~

~~Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.~~

- a. ~~Performance measurements and benchmarks. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~
- b. ~~All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~

2. ~~IT Facility, Site Management, and Equipment Support Services Records.~~

~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.~~

~~Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

3. IT Asset and Configuration Management Files.

a. ~~Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.~~

~~Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

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. Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)~~

(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. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

4. 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. Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)~~

(2) ~~Full backup tapes. Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)~~

b. ~~Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

5. Files Related to Maintaining the Security of Systems and Data.

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- a. ~~System Security Plans and Disaster Recovery Plans. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
- b. ~~Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
6. ~~User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.~~
  - a. ~~Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records. Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)~~
  - b. ~~Routine systems, i.e., those not covered by item 6a. Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)~~
7. ~~Computer Security Incident Handling, Reporting and Follow-up Records. Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)~~
8. ~~IT Operations Records.~~
  - a. ~~Workload schedules, run reports, and schedules of maintenance and support activities. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
  - b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
  - c. ~~Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
9. ~~Financing of IT Resources and Services.~~
  - a. ~~Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
  - b. ~~Files related to managing third party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
  - c. ~~Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING~~

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records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**

10. ~~IT Customer Service Files.~~

- a. ~~Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.~~

~~Destroy/delete 1 year after record is superseded or obsolete. (N1-GRS-03-1 item 10a)~~

**Superseded by GRS 5.8, item 010 (DAA-GRS-2017-0001-001)**

- b. ~~Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.~~

~~Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later. (N1-GRS-03-1 item 10b)~~

**Superseded by GRS 5.8, item 010 (DAA-GRS-2017-0001-001)**

11. ~~IT Infrastructure Design and Implementation Files.~~

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.~~

- a. ~~Records for projects that are not implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- b. ~~Records for projects that are implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- c. ~~Installation and testing records. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~

12. RESERVED.

13. ~~Public Key Infrastructure (PKI) Records.~~

- a. ~~PKI Administrative Records.~~

~~(1) FBCA CAs. **Now GRS 3.2, item 060**~~

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~~(2) Other (non-FBCA *et. al.*) CAs. Now GRS 3.2, item 061~~

~~b. PKI Transaction-specific Records. Now GRS 3.2, item 062~~

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## GENERAL RECORDS SCHEDULE 25

### Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

~~1. Ethics Program Implementation, Interpretation, Counseling, and Development Files.~~

~~Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including:~~

- ~~\* Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.~~
- ~~\* Determinations, including advice and counseling to individual employees, and supporting records.~~
- ~~\* Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.~~

- a. ~~Records such as determinations regarding attendance at widely attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~
- b. ~~All other records. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~
2. ~~Financial Disclosure Reporting Files.~~
- Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.
- a. ~~Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.~~
- (1) ~~SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected. **Superseded by GRS 2.8, item 060 (DAA-GRS-2014-0005-0007)**~~
- (2) ~~All other SF 278s. **Superseded by GRS 2.8, item 061 (DAA-GRS-2014-0005-0008)**~~
- b. ~~Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.~~
- (1) ~~OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 070 (DAA-GRS-2014-0005-0011)**~~
- (2) ~~All other OGE Form 450s and OGE Optional Form 450-As. **Superseded by GRS 2.8, items 071 (DAA-GRS-2014-0005-0012) and 072 (DAA-GRS-2014-0005-0013)**~~
- c. ~~Alternative or additional financial disclosure reports and related records.~~
- (1) ~~Reports for individuals not subsequently confirmed by the U.S. Senate. **Superseded by GRS 2.8, item 080 (DAA-GRS-2014-0005-0014)**~~
- (2) ~~All other alternative or additional financial disclosure reports. **Superseded by GRS 2.8, item 081 (DAA-GRS-2014-0005-0015)**~~
3. ~~Ethics Agreement Records.~~



Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- ~~\* Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.~~
- ~~\* Records relating to determinations, authorizations, and waivers under 5 C.F.R. 2635.502 and 2635.503.~~
- ~~\* Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. 208 (b)(1) and (b)(3). **Superseded by GRS 2.8, items 100 (DAA-GRS-2014-0005-0017) and 101 (DAA-GRS-2014-0005-0018)**~~

~~4. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.~~

~~Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution. **Superseded by GRS 2.8, item 020 (DAA-GRS-2014-0005-0002)**~~

~~5. Non-Federally Funded Travel Files.~~

- ~~a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties. **Superseded by GRS 2.8, item 030 (DAA-GRS-2014-0005-0003)**~~
- ~~b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel. **Superseded by GRS 2.8, item 031 (DAA-GRS-2014-0005-0004)**~~

~~6. Ethics Program Review Files.~~

~~Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.~~

- ~~a. OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~
- ~~b. All other records produced during OGE program reviews, including notes and background materials. **Superseded by GRS 2.8, item 050 (DAA-GRS-2014-0005-0006)**~~

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7. ~~Annual Agency Ethics Program Questionnaire Files.~~

- a. ~~Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~
- b. ~~All other records related to responses to annual agency ethics program questionnaires. **Superseded by GRS 2.8, item 040 (DAA-GRS-2014-0005-0005)**~~

8. Ethics Program Employee Training and Education Files.

- a. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.

Destroy when 6 years old. (N1-GRS-01-1 item 8a)

- b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.

Destroy when 6 years old or when superseded or obsolete, whichever is later. (N1-GRS-01-1 item 8b)

9. ~~Ethics Program Procedures Files.~~

~~Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes. **Superseded by GRS 2.8, item 010 (DAA-GRS-2016-0006-0001)**~~

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- documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records, and
- documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records. **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 020 (DAA-GRS-2015-0001-0002))**

**[NOTE:** Non-textual records transferred to NARA must follow NARA published guidance for transfer of required elements.]

b. ~~Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as~~

- ~~correspondence, reference and working files of Commission staff [excluding files covered by Item 2(a)]~~
- ~~audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events~~
- ~~other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc., and~~
- ~~extra copies of records described in Item 2(a), e.g. copies of meeting agenda and minutes distributed to commission members and staff, files accumulated by agencies on interagency bodies other than the secretariat or sponsor. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

**[NOTE:** Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred.]

**[NOTE:** Administrative records generated by an advisory committee — records relating to budget, personnel, supply or similar housekeeping or facilitation functions — may be disposed of in accordance with the General Records Schedules since they do not pertain to the subject matter advice that the advisory committee is providing to the Government. Administrative records authorized for disposal by the GRS and having retention periods outlasting the life of the commission (such as payroll, personnel and fiscal records) should be transferred to the agency providing administrative support.]

c. ~~Web site records.~~

~~(1) Electronic version of web site(s). **(Superseded by GRS 6.2, items 010 (DAA-GRS-2015-0001-0001) and 050 (DAA-GRS-2015-0001-0005))**~~

~~(2) Design, management, and technical operation records. **Rescinded by GRS Transmittal 24**~~

~~(3) Electronic version of content records duplicated in textual series of commission records. **(Superseded by GRS 6.2, item 050 (DAA-GRS-2015-0001-0005))**~~

~~[NOTE: Prior to destruction/deletion, NARA, in consultation with Commission staff, will review records covered by Item 2c1 and may identify portions (including a web snapshot) that warrant permanent retention. Such records will be transferred to the National Archives at the time that related permanent records are transferred along with any records covered by Item 2c2 that NARA requires to maintain and access permanent web content records.]~~

### ~~3. Committee Records Not Maintained by the Sponsor or Secretariat~~

~~Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. **Rescinded by GRS Transmittal 24**~~

~~[NOTE: The records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF 115 and submitted to NARA for disposition authority.]~~

~~[NOTE: Some temporary commissions, especially operational commissions related to an agency's mission, may have records that are not covered by the series herein described. Such series should be described on a SF 115 and submitted to NARA for disposition authority.]~~

### ~~4. Committee Management Records~~

~~Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5U.S.C. Appendix 2). [See note after this item.] Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees.~~

~~Committee management records include copies of charters, membership lists, agendas, policy statements, statistical data files, financial operating plans, General Service Administration reports and other statistical reports on the number of committees, types of committees, membership rosters, requests for approval of committee nominees, appointment documents for individual committee members, financial disclosure documents, material required to be available for public information and other related topics maintained by the Committee Management Officer.~~

~~**(Superseded by GRS 6.2, items 040 (DAA-GRS-2015-0001-0004), 050 (DAA-GRS-2015-0001-0005), and 060 (DAA-GRS-2015-0001-0006))**~~

~~[NOTE: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.]~~

~~[NOTE: Disposition authority for any commission records not covered by items above or elsewhere in the General Records Schedule must be requested by submitting a SF 115 to NARA.]~~

## GENERAL RECORDS SCHEDULE 27

### Records of the Chief Information Officer

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level. This schedule does not apply to officials with Government-wide responsibilities for information resources management (IRM) and information technology (IT) governance.

In accordance with the Clinger-Cohen Act (originally the Information Technology Management Reform Act), CIOs of 24 major departments and agencies have IRM as their primary duty. They are responsible for advising and assisting the agency's executive with IT acquisition and management; developing and maintaining the agency's IT architecture; promoting the efficient design and operation of the agency's major information resources management processes; monitoring the performance of IT programs of the agency; and developing the knowledge and skill of IT staff. CIOs may also lead, coordinate, or participate in programs to support the mandates of the Paperwork Reduction Act, Government Paperwork Elimination Act, Federal Records Act, E-Government Act of 2002, Privacy Act, Government Performance and Results Act, and other Federal laws and regulations relating to IRM.

This schedule does not cover all records relating to the work of CIOs. CIOs are often responsible for programs and activities whose records are already covered by an approved GRS. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority. If records are part of a larger case file or recordkeeping system that contains records not covered in this schedule, agencies must separately schedule those records or systems by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with database management.~~ This schedule supplements GRS 20 by providing disposal authority for records relating to the administration of a CIO's office, as opposed to the operation and use of specific systems. This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency's mission must be scheduled individually by submission of an SF 115 to NARA. **GRS 20 entirely superseded by GRS Transmittal 24.**

1. Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 1)

[**Note:** This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA. (N1-GRS-04-4 item 1 Note)]

2. Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 2)

3. IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later. (N1-GRS-04-4 item 3)

[**Note:** Records needed to support contracts are scheduled under GRS 3. (N1-GRS-04-4 item 3 Note)]

4. ~~Legal and Regulatory Compliance Records~~

~~Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. **Superseded by GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)**~~

5. CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 5)

[**Note:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item. (N1-GRS-04-4 item 5 Note)]

6. CIO Subject and Office Records

Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.

Cut off annually. Destroy/delete when 5 years old. (N1-GRS-04-4 item 6)

[**Note:** Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere. (N1-GRS-04-4 item 6 Note)]

7. Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems.

Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old. (N1-GRS-04-4 item 7)

[**Note:** This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter. (N1-GRS-04-4 item 7 Note)]

## GRS 27, Records of the Chief Information Officer

### Implementation Guide

ITEM TITLE	TYPES OF RECORDS
<p><b>1. Information Technology (IT) Program Planning Records</b></p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Strategic and tactical plans; reports and statistics documenting quantitative and qualitative performance measures; reports on IT portfolio management; and related clearance and review records.</p> <p><b>[Note:</b> This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled by submission of an SF 115 to the National Archives.]</p>
<p><b>2. Enterprise Architecture Records</b></p> <p>Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Technical reference models, diagrams, graphics, models, sequencing plans, and narratives that describe the agency’s baseline or target enterprise architecture (EA).</p> <p><b>[Note:</b> An “iteration” would typically be the version of the EA (or its component) prepared and submitted to OMB as part of the budget and capital planning cycle. Some agencies may produce and manage EA outside the budget process, which could result in other formal iterations of EA records.]</p> <p><b>[Note:</b> This item does not cover such records maintained by the Office of Management and Budget as part of its government-wide IRM and IT spending oversight responsibilities.</p>
<p><b>3. IT Capital Investment Records</b></p> <p>Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.</p>	<p>Reports on IT capital investments; capital asset plans; OMB Exhibit 300 business cases for major investments, systems, acquisitions, or operational assets identified in the agency’s capital investment portfolio; and related clearance and review records.</p> <p><b>[Note:</b> Contract support records are covered more fully by GRS 3. Offices outside the CIO are likely to maintain similar records to support individual capital investments. GRS 24/9, “Financing of IT Resources and Services,” covers many such records.]</p>



# SUPERSEDED

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<p><b>4. Legal and Regulatory Compliance Records</b></p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Records of agency-wide compliance with Federal laws and regulations governing information resources management.</p>
<p><b>5. CIO Committee Records</b></p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> <p>[<b>Note:</b> Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]</p>
<p><b>6. CIO Subject and Office Records</b></p> <p>Cut off annually. Destroy/delete when 5 years old.</p>	<p>Other mission-related briefings, reports, presentations, studies, and correspondence of the CIO not directly related to the schedule items described above.</p> <p>[<b>Note:</b> Some records related to the compliance of individual IT systems may be maintained with and for as long as the documentation for the system itself. See, for example, GRS 24/5, "Files Related to Maintaining the Security of Systems and Data."]</p>
<p><b>7. Schedules of Daily Activities</b></p> <p>Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.</p>	<p>Official calendars, appointment books, schedules, logs, and diaries.</p> <p>[<b>Note:</b> This item applies only to records of the CIO, not of the office's subordinate staff. See GRS 23/5 for coverage of the latter.]</p>

# SUPERSEDED

## Frequently Asked Questions about General Records Schedule 27, *Records of the Chief Information Officer*

### **1. To whom does General Records Schedule 27 apply?**

GRS 27 provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO). This schedule applies to the records of CIOs at agency or departmental headquarters as well as those of deputy and subordinate CIOs at the bureau or field office level.

### **2. Does this schedule describe all of the records of Federal CIOs?**

Not necessarily. CIOs are often responsible for programs and activities whose records are covered by another General Records Schedule or approved agency records schedule.

### **3. How does this schedule differ from GRS 20, *Electronic Records*, and GRS 24, *Information Technology (IT) Operations and Management Records*?**

GRS 20 and GRS 24 cover certain records associated with the day-to-day operation of individual information systems and related support services. GRS 27 provides disposal authority for records documenting the administration of the office of the CIO and its agency-wide information resources management.

### **4. How does GRS 27/4, “Legal and Regulatory Compliance Records,” differ from GRS 24/1, “Oversight and Compliance Files”?**

GRS 27/4 covers CIO records that document an agency’s compliance with Federal laws and regulations governing information resources management. GRS 24/1 covers records that document an office’s or a system’s compliance with the IT policies, directives, and plans that are typically developed or issued by the agency CIO.

### **5. Does this schedule cover records related to IT security?**

Insofar as they document agency-wide efforts to comply with the laws and regulations that govern IT security, such CIO records would be covered by 27/4, “Legal and Regulatory Compliance Records.” However, records that document the security of individual IT systems – including vulnerability assessments, audits, risk management analyses, and security plans – are covered by GRS 24/5, “Files Related to Maintaining the Security of Systems and Data.” Records related to specific security breaches or incidents are covered by GRS 24/7, “Computer Security Incident Handling, Reporting and Follow-up Records.”

### **6. Does this schedule cover system data?**

This schedule does not apply to the data or information content of IT systems. Records relating to specific systems that support or document the agency’s mission must be scheduled individually by submission of an SF 115 to the National Archives.

### **7. Do records have to be arranged in these categories?**

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No. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, keep the records for the longest retention period authorized for those items.

**8. Is this schedule only for paper records?**

No. This schedule applies to records regardless of their physical form or characteristics. Records may be maintained in any format on any medium.

# SUPERSEDED

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## LIST OF TERMS

ALARA	as low as reasonably achievable
CAA	Clean Air Act
CEQ	Council on Environmental Quality
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CFR	Code of Federal Regulations
CX	categorical exclusion
DOE	U.S. Department of Energy
EA	environmental assessment
ECL	environmental checklist
EIS	environmental impact statement
EPA	U.S. Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-To-Know Act of 1986
FFA&CO	Federal Facility Agreement & Consent Order
FRC	Federal Records Center
HEPA	high-efficiency particulate air
IB	information bulletin
MSDS	material safety data sheet
NAAQS	National Ambient Air Quality Standards Program
NARA	National Archives and Records Administration
NEPA	National Environmental Policy Act
NESHAP	National Emission Standards for Hazardous Air Pollutants
NIOSH	National Institute of Occupational Safety and Health
NOI	Notice of Intent
NPDES	National Pollutant Discharge Elimination System
OSHA	Occupational Safety and Health Administration
PCB	polychlorinated biphenyl
RCRA	Resource Conservation and Recovery Act of 1976
RI/FS	remedial investigation/feasibility study
ROD	record of decision
SA	supplemental analysis
SAR	safety analysis report
SARA	Superfund Amendment and Reauthorization Act of 1986
SDWA	Safe Drinking Water Act
SPCC	spill prevention control and counter-measures
TRU	transuranic
TRS	technical safety requirement
USC	United States Code
UST	underground storage tank
VOC	volatile organic compound

# UPDATED AUTHORITIES

## Department of Energy Environmental Schedule July 2023 Revision 5

### Introduction

This schedule provides for the disposition of U.S. Department of Energy (DOE) records created to comply with or needed to support compliance with Federal environmental laws and implementing regulations. The laws and implementing regulations encompass but are not limited to Resource Conservation and Recovery Act of 1976 (RCRA), Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Clean Air Act (CAA), Clean Water Act, Soil and Water Resources Conservation Act of 1977, United States Code (USC) Code of Federal Regulations (CFR), and National Environmental Policy Act (NEPA) requirements, as well as other regulatory requirements. When regulatory citations have been provided, they are referenced.

This schedule applies to all applicable records, regardless of format/media. When media changes are planned, special care should be taken to transfer information to media that can meet the specified retention. This becomes particularly important since electronic information technology changes rapidly. If electronic records need to be retained permanently, they should be in a format currently approved by the National Archives and Records Administration (NARA).

If records identified in this schedule are already in the existing DOE Record Schedules, a cross reference has been provided.

Because this schedule is intended to have a broad use within the DOE complex, state or local regulations have not been taken into account here. If any regulation requires a longer retention, the record should be kept to meet the longer term requirement. By their nature, environmental records may have significant legal or public interest aspects. After the environmental records have met their scheduled retention, a review of these records should be made for continued need. Each site should establish a review team composed of members who understand the records under evaluation and/or the records management function of the organization. The team should include the agency's Records Manager, Archivist, or Historian, Project Manager, current records holders, and/or subject matter experts. Ideally, the evaluation process would begin with an assessment of records written by the Project Manager during or shortly after the close of a project. This provides a basis for the review team to use in their subsequent evaluation of the project.

For the intent of this schedule the definition for "life of facility" is the period from the initial receipt of hazardous waste at the facility until documented closure. Facility may be defined as a tank, a building, a waste site, or a laboratory.

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The primary focus of this schedule is the retention and disposition of records of those activities that may affect the physical environment. The records covered by this schedule document the results of sampling and analysis, monitoring, permitting and disposal and cleanup activities affecting the physical environment. Environmental records include, but are not limited to, the administrative record (as defined/required by CERCLA/RCRA and other dangerous waste programs), permits, reports, studies, evaluations, characterizations, logbooks of various kinds, as well as more obvious burial or storage records, closure plans, and waste management documentation. Other issues such as, medical, health and safety concerns emanating from these activities, but not specifically required by environmental regulations, will not be addressed in this schedule.

These records may be organized and maintained as project case files to provide a more useful reference/retrievability or as individual record series. The project case file approach provides a reasonable record of an environmental project from start to finish which would allow for reconstruction or verification of relevant procedures and analyses (see Section 1.k).

Records covered by this schedule are grouped into the following seven categories:

- Administration
- Regulatory Compliance
- Permitting
- Electronic Mail and Word processing System Copies
- Monitoring
- Sampling and Analysis
- Disposal/Cleanup

There are overlaps between the identified six categories where records may fit into more than one category. The predominant activity should be taken into consideration when scheduling records.

## 1. ADMINISTRATION

Environmental administration records include program or project management records, reports, and records documenting protection and preservation of natural resources.

### a. Administrative Record

Records documenting the basis for selecting a CERCLA response action/remediation action, RCRA permit/permit modification/or closure plan action by the U.S. Environmental Protection Agency (EPA), the DOE, state agencies, the public, or other interested parties. These files contain historical data on the identification and remediation alternative of waste sites. The Administrative Record also includes documents which demonstrate the public's opportunity to participate in and comment on the selection of the remedial action.

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Documents may include, but are not limited to, remedial investigation/feasibility study (RI/FS) work plan, guidance documents, proposed plan, public notices, record of decision (ROD), explanation of significant differences, permit application, corrective measures study report, interim response action proposal, applicable NEPA documentation, and all other decision documents available for public comment and use.

Destroy 75 years after the termination of the applicable FFA&CO. DOE shall notify the EPA at least 90 calendar days prior to the destruction of these records, and upon request by the EPA, DOE shall relinquish custody of the records or copies of the records to the EPA.  
(N1-434-98-28)

## b. Safety and Health Records

### (1) Emergency Response/Contingency Plans.

Emergency response plans identify environmental and safety hazards at a facility and surrounding areas. These plans should coordinate state, federal, and local governments, Native Americans, and other emergency personnel's responses to those hazards.

Records include, but are not limited to: operational plans, contingency plans, prevention plans, emergency procedures, compliance to regulatory requirements for emergency situations, site maps, release forms, correspondence, and other related records.

Destroy 3 years after issuance of a new plan. (N1-434-98-28)

NOTE: One record copy of each plan or directive, along with assessment audit changes to the documentation, must be kept with the agency's set of master directive files for the emergency plan. (See GRS 18, Item 27.)

EPI

### (2) Tier Two Emergency and Hazardous Chemical Inventory Reports

Destroy after 3 years of issuance of report. 40 CFR 372.10 (N1-434-98-28)

EPI

### (3) Toxic Chemical Release Inventory Report

Destroy after 3 years of issuance of report. 40 CFR 372.10 (N1-434-98-28)

### (4) Safety Analysis Reports

(4a) Safety Analysis Reports (SARs) document the adequacy of safety analysis for a

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nuclear facility to ensure that the facility can be constructed, operated, maintained, shut down, and decommissioned safely and in compliance with applicable laws and regulations.

Records may include document reviews of current and potential risks involved before work proceeds, specific safety analysis that pertains to specific activities related to the SAR, and Technical Safety Requirements (TSRs) which is specific standards or regulations that pertain to the activity, site characteristics, facility descriptions, safety designs, facility hazard analysis and classification, health and safety criteria, analysis of operation, institutional safety provisions, emergency preparedness, and other related subjects.

Records should include the related DOE Safety Evaluation Report.

Review annually. Cutoff when superseded, obsolete, or cancelled. Destroy 75 years after cutoff. (N1-434-00-7)

EPI

## (4b) Other Safety Analyses

Document a process to provide systematic identification of hazards within a given DOE operation; to describe and analyze the adequacy of measure taken to eliminate, control, or mitigate identified hazards; and to analyze and evaluate potential accidents and their associated risks.

May have documentation similar to SAR's. Records should include the related DOE Safety Evaluation Report.

Review annually. Cutoff when superseded, obsolete, or cancelled. Destroy 25 years after cutoff. (N1-434-00-7)

## (5) Safety and Health CERCLA/RCRA Documents

Records associated with Safety and Health related documentation required by CERCLA/RCRA, other than CERCLA-funded cooperative agreements.

EPI

### (a) Records which notify or support worker protection and safety including but not limited to safety incident, safety analysis, safety meetings, safety awards, and safety assessments.

Destroy after 5 years. 29 CFR 1910.120 (N1-434-98-28)



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- (b) Occupational Safety and Health Administration (OSHA) records, National Institute of Occupational Safety and Health (NIOSH) records, hazard and accident analysis records, Criticality Safety Analysis/Approval records, Health Surveillance Program records, other specific Safety and Health records.  
Destroy after 30 years. 29 CFR 1910.20 (N1-434-98-28)
- (c) Dosimetry records on employees subject to ionizing radiation that are personally monitored.  
Destroy when 75 years old. See DRS 1.6, NCI-430-76-9-(4)  
(N1-434-98-28) **Utilize ADM 1, item 21.4 (a-e).**

## c. **Archaeological Records**

Records resulting in activities conducted on lands owned in fee by Native Americans or held in trust by the United States for Native Americans.

These records can include, but are not limited to; contracts, permits, agreements and related policies, procedures, protocols, or waivers; archaeological site locations, surveys of areas, correspondence, photographs, analysis, reports and findings, drawings, maps, ground surveys, excavation notes, cultural resources; and, site restoration plans, proposals, or other reclamation types of activity records.

Permanent. Cutoff annually. Transfer to NARA 25 years after cutoff, in 5 year blocks. (N1-434-98-28)

## d. **Environmental Administration Reports**

Environmental, safety and health administrative program reports prepared, formulated, or consolidated in formally organized field office, contractor, or sub-contractor files that specify or document compliance, achievements, status, deliverables, progress or development of departments, programs, projects, organizations, etc.; that pertain to the mission or functions for which the field office, contractor, or subcontractor has primary oversight or responsibility; or that document opinions and decisions which set policy or precedent.

### (1) **DOE Environmental/Safety Reports**

Reports relating to DOE-wide environmental, human health, employee and/or public safety and oversight reports.

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Permanent. Cutoff when superseded, obsolete, or canceled. Transfer to NARA 25 years after cutoff. (N1-434-98-28)

(2) DOE Field/Contractor Environmental/Safety Reports

Reports relating to field office, contractor or subcontractor environmental, human health, employee and/or public safety and oversight reports.

Cutoff when superseded, obsolete, or canceled. Destroy when 75 years old. (N1-434-98-28)

(3) Daily Reports

Reports relating to routine, daily business functions, recurring transactions, or activities associated with environmental, safety, and health operations.

Cutoff when superseded, obsolete, or canceled. Destroy when 7 years old. (N1-434-98-28)

(4) Air Monitoring Reports

These reports document the monitoring data for the purpose of determining if the level of hazardous, volatile organic compounds, (VOC), visible air contaminants, and radionuclide airborne materials are being released by a site and at what concentrations.

Records may include, but not be limited to, monitoring data from routine radiological and nonradiological environmental surveillance activities, and summary listings of the weekly sample including analytical results, detection limits and spike/blank recoveries.

Retire to FRC after 25 years after issuance of report. Destroy after 75 years following issuance of report and with the approval from the Sites General Counsel's Office. (N1-434-98-28)

(5) National Emission Standards for Hazardous Air Pollutants (NESHAP) Annual Reports

These reports documents program plans, regulatory drivers and emission inventory guidelines for air and pollution monitoring to ensure compliance. Records may include, but are not limited to, input parameter and modeling results for building ventilation stacks, stack/vent emission survey reports, emission sampling reports, type of chemical and amount emitted, reactor data, estimates of does to the population, notes, correspondence, fugitive source emission assessment, sample data for surface

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radioactivity, radionuclide type, location, sample range, standard deviation, reference, inventory and documentation source.

Retire to FRC 25 years after issuance of report. Destroy after 75 years following issuance of report and with the approval of the Sites General Counsel's Office. (N1-434-98-28)

(6) Air Emissions Permit Reports

These reports document effluent air monitoring activities as designated by EPA for permitted sources and equipment. The reports contain raw data to authenticate operational integrity.

Retire to FRC 25 years after issuance of report. Destroy 75 years after issuance of report and with the approval of the Sites General Counsel's Office. (N1-434-98-28)

(7) Annual Background Study Reports

These reports document the preliminary results of an approved background study used by the EPA, the state, and DOE to evaluate contamination releases. These studies are used to develop information on the uncontaminated conditions of a site. The data is compared with data from areas that might be contaminated. Records may include, but are not limited to, data acquisitions and related correspondence, description of data collection methods and technology, data logs, subcontractor memos, and analytical results.

Retain on site and transfer to new owner. (N1-434-98-28)

(8) Environmental Monitoring Reports

These reports document monitoring data from routine radiological and nonradiological environmental surveillance activities. The report is created to document all the environmental activities completed at a site in order to be in full compliance with all applicable environmental laws and regulations. Records may include, but are not limited to: monitoring data, summary of meteorological data, permits, summary of analytical results, sample analysis of vegetation, soil, and water, and discussion of sampling procedures.

(a) Environmental monitoring reports provided to identify the progress on the environmental monitoring plans or on other related subjects.

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Destroy when 75 years old. Cutoff when reports are superseded, obsolete, or canceled. (N1-434-98-28)

- (b) Environmental monitoring reports defining the extent and levels of radioactive contamination in soil or real estate.

Permanent. Transfer to NARA when no longer needed by the Department. (N1-434-98-28)

(9) Community Environmental Surveillance Program Reports

Summary reports documenting the cooperative effort of DOE, the DOE contractor site, and the surrounding communities in actively participating in an environmental surveillance program.

Cutoff upon issuance of report. Destroy 5 years after cutoff. (N1-434-00-7, item 9)

(10) Waste Management Reports

These reports documenting waste management activities, other than CERCLA funded cooperative agreements.

- (a) Hazardous waste reports, hazardous substance reports, waste characterization reports, CERCLA/RCRA unit reports.

Permanent. Cutoff when waste is disposed of. Transfer to NARA 25 years after cutoff. (N1-434-98-28)

- (b) Waste minimization/prevention reports, waste reduction reports, waste disposal reports.

Destroy 150 years after issuance of report. (N1-434-98-28)

- (c) Required compliance reports, dumpster violations, dangerous waste reports, decay heat reports.

Destroy 5 years after final closure of facility. (N1-434-98-28)

- (d) RCRA Biennial Reports.

Destroy after 3 years. 40 CFR 265.75 (N1-434-98-28)

EPI

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EPI

(11) Reports of Noncompliance

These reports document noncompliances not reported under occurrence reporting systems. Series may include logs, surveys, analyses, investigative notes, and briefings. Destroy 5 years after issuance of report. (N1-434-98-28)

(12) Quality Control Reports

These reports document the quality control records for analytical laboratories.

Destroy 2 years after issuance of report. (N1-434-98-28)

(13) Program Reports

Program, process, reduction and other detailed reports, to Federal, DOE-HQ/Field Office, State, Local, contractor or subcontractor management, etc.

Retire to FRC in 25 years. Destroy after 75 years. (N1-434-98-28)

e. **Logbooks**

Logbooks/fieldbooks that document a chronological history which provides a summary of shift and daily activities related to program and functions. Logbooks may support calibration activities, problem resolution, sampling, monitoring, and reporting. Records may include, but are not limited to results, notes, drawings/sketches, and field information.

(1) Sample and Analysis Logbooks

Logbooks containing sample and analysis data.

Destroy when 75 years old. (N1-434-98-28)

(2) Hazardous Material Logbooks

Logbooks containing data relating to radiation, contamination, hazardous materials.

Destroy when 75 years old. (N1-434-98-28)

(3) Waste System Logbooks

Logbooks containing information related to radioactive or hazardous waste streams.

# UPDATED AUTHORITIES

Destroy when 75 years old. (N1-434-98-28)

(4) Geology Logbooks

Logs and logbooks, such as geologist field logs, subcontractor geotechnical operations logbooks, soil and soil gas survey sampling field logs, and characterization logbooks.

- (a) Geologist field logs document field test bore holds, indicating the types of soils, gravels, cobbles, and sand that are found at the field test area. They give the sampler type and depth, inches/feet driven, inches recovered, sample condition, drilling rate, and other pertinent data. They contain field log boring forms and well development/water monitoring data. Drilling/boring field logs are used to record geological data (such as the changes in soil or strata with depth), what projects are currently being worked on, and the time and results of routine environmental tasks.

Destroy when 75 years old. (N1-434-98-28)

- (b) Soil and soil gas survey sampling field logs document efforts to collect and analyze soil and soil gas samples for possible site remediation or restoration.

Destroy when 75 years old. (N1-434-98-28)

- (c) Field logbooks containing pertinent soil monitoring calculations, observations, and interpretations of results.

Destroy when 75 years old. (N1-434-98-28)

- (d) Field logbooks of laboratory technicians and field inspectors concerned with earth sciences.

Destroy when 75 years old. (N1-434-98-28)

(5) Daily Analysis Logbooks

Logbooks describing analyses daily activities of the laboratory.

Destroy when 5 years old. (N1-434-98-28)

(6) Operating Logbooks

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Logbooks listing significant action, daily surveillances and maintenance activities occurring during normal operations of applicable facility.

Destroy when 75 years old. (N1-434-98-28)

(7) Equipment Testing and Development

Logbooks documenting equipment testing and development.

Destroy after 5 years or after disposal or clearance of tool/equipment from project. (N1-434-98-28)

**f. Planning Records**

EPI

(1) Environmental Monitoring Plan Records

These records document a framework of the scope and extent of both liquid and gaseous, effluent measurements, and related surveillance programs during the active lifetime of operations. These records define the quality assurance control program to ensure that all samples are collected and that the resulting data will be able to calculate the effect to the environment and public health. Records may include, but are not limited to, parameters and concentrations, analysis, cover letter transmittal, compliance summaries, findings and concerns, effluent inventory, data management and calculations. Cutoff when superseded, obsolete, or canceled with approval of site owner.

Destroy when 5 years old with approval from site owner. (N1-434-98-28)

(2) Environmental Implementation Plan Records

These records document a framework which identifies the responsibilities for compliance management, direction, goals, and objectives with related strategies and timetables. These records are used to ensure that the facility is operated and managed in a manner that will protect, maintain and restore environmental quality and minimize potential threats to the environment and public health. These plans are submitted to the EPA for review, comment and approval.

Cutoff when superseded, obsolete or canceled. Destroy when 5 years old with approval from site owner. (N1-434-98-28)

EPI

(3) Waste Minimization and Pollution Prevention Implementation Plan Records

# UPDATED AUTHORITIES

Records documenting the plan for implementing a Waste Minimization Program at DOE contractor sites. Information related to waste minimization is distributed to line organizations and selected groups to identify waste streams, and minimize or eliminate the toxicity and waste material at the site. Records may include, but are not limited to, correspondence, waste service center location, strategic planning, program changes, program accomplishments, findings, program support, distribution list and notes.

Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old with approval from site owner. (N1-434-98-28)

EPI

(4) Waste Stream Identification Plan Records

Records are used to manage or eliminate waste for pollution prevention requirements. Records may include, but are not limited to, project selection and guidance, position papers, baseline information, waste identification and concentration and waste generator reduction plans.

Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old. (N1-434-98-28)

(5) RCRA Interim Status Training Plan

These plans describe the types and amounts of training for each person at a facility.

Destroy 75 years after issuance. (N1-434-98-28)

(6) Sample and Analysis Plans

These are plans for sampling at former waste storage locations and other waste sites to identify potential contamination.

Destroy when analytical results are verified, accepted, and summarized, or until 5 years old whichever is earlier. (N1-434-98-28)

**g. Electronic Data Management Systems**

(1) Geographic Information System

Retain on site. Destroy when no longer needed. (N1-434-98-28)



# UPDATED AUTHORITIES

## (2) Environmental Sites Databases

Contains source information and other data gathered from many type of environmental activities other than site surveillance/monitoring (e.g., groundwater and biota) for potential and established/documentated environmental sites.

### (a) Input Source

Destroy when data is entered in database and validated. (N1-434-98-28)

### (b) Output

File with appropriate series using an approved schedule. (N1-434-98-28)

### (c) Master File

For those site-specific systems deemed to have special historical significance, submit SF 115 to NARA. All other systems destroy 10 years after certification of post closure care and monitoring and when all enforcement actions related to the facility have been settled.

(N1-434-98-28)

## (3) Waste Management Systems

Any electronic or manual system that tracks and produces records of wastes, from cradle to grave, from generator, storage or transported locations, including laboratory processing.

### (a) Database and record systems which track wastes from creation through transportation, processing, storage; and reporting tracking records.

Delete or destroy when related records are destroyed, or 75 years from creation, whichever occurs later. (N1-434-98-28)

### (b) Database system development records and documentation records which support the maintenance and operation of tracking systems.

Destroy or delete upon authorized deletion of related system.  
(N1-434-98-28)

## (4) Electronic Data Management Systems

# UPDATED AUTHORITIES

Computerized data retrieval systems that manage laboratory information including, but not limited to, tracking samples, managing or archiving analysis results and generating data reports.

Delete or destroy when related records are destroyed, or 75 years from creation, whichever occurs later. (N1-434-98-28)

(5) **Computer Model Radiation Calculation Records**

These records document the calculation of the highest capacity or highest level of radiation exposure and the results of the exposure to the population, and environment. Calculations are combined with information from environmental and dosimetric concentrations and health effects data to develop compliance reports required by various regulatory agencies. Records may include, but are not limited to, meteorological and demographic data concentrations measured from the population, organ dose, frequency distribution of lifetime fatal cancer risk, individual maximum risk assessment, death risk, stack emission, beef and dairy cattle, food crops, time delay rate, period of exposure, transport time, consumption time, ingestion levels, system calibration and setups

(a) Records which include methodology calculations and baseline data.

Destroy when no longer needed. (N1-434-98-28)

(b) Temporary data files created during the model usage.

Destroy when no longer needed. (N1-434-98-28)

(6) **Electronic Mail and Word Processing System Copies (see N1-434-98-28 for details)**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision or dissemination.

(a) Electronic copies - destroy/delete within 180 days after the recordkeeping copy has been produced.

(b) Copies used for dissemination, revision or updating - destroy/delete when dissemination, revision, or updating is completed.

**h. CERCLA-Funded Cooperative Agreements (Superfund Projects) Records**

(1) **Project and Site Specific Files**

Record keeping systems that consist of complete site-specific files and project records containing documentation of costs incurred, site-specific costs to be tracked by site, activity, and operable unit, as applicable, and systems which provide sufficient documentation for cost recovery purposes if the requirements are the same.

Destroy 10 years following submission of the final financial status report for the site, or until resolution of all issues arising from litigation, claim, negotiation, audit, cost recovery,

# UPDATED AUTHORITIES

or other actions, whichever is later. Written approval must be obtained from the EPA award official before destroying any records.

40 CFR 35.6700 (N1-434-98-28)

**Superseded by DOE 1.2, Item 020 (DAA-0434-2020-0007-0002)**

## (2) Administrative Systems

Record keeping systems pertaining to:

- (a) Property records, procurement, time and attendance records and supporting documentation  
**Superseded by DOE 1.2, Item 020 (DAA-0434-2020-0007-0002)**
- (b) Compliance documentation pertaining to statutes and regulations that apply to the project  
**Superseded by DOE 1.2, Item 020 (DAA-0434-2020-0007-0002)**
- (c) Site-specific technical hours spent to complete each pre-remedial product  
**Superseded by DOE 1.2, Item 020 (DAA-0434-2020-0007-0002)**
- (d) Records as required by 40 CFR 35.6705, and records access requirements described in 40 CFR 31.36(I)(10) and 31.42(e)  
**Superseded by DOE 1.2, Item 020 (DAA-0434-2020-0007-0002)**
- (e) Financial and programmatic records, supporting documents, statistical records, and other records which are required by 40 CFR 35.6700, program regulations, or the cooperative agreement, or are otherwise reasonably considered as pertinent to program regulations or the cooperative agreement.

Destroy 10 years following submission of the final financial status report for the site, or until resolution of all issues arising from litigation, claim, negotiation, audit, cost recovery, or other actions, whichever is later. Written approval must be obtained from the EPA award official before destroying any records.

40 CFR 35.6700 (N1-434-98-28)

**Superseded by DOE 1.2, Item 020 (DAA-0434-2020-0007-0002)**

## i. Public Involvement Records

Records containing information relating to public affairs and public involvement in restoration and remediation activities.

May include public affairs records not included in the administrative record that are maintained by Public Affairs or External Affairs Offices. (Section 1a); news releases, photos, maps, figures; community meetings records, community relations records; public meetings/presentations, environmental bulletins; other CERCLA-required public involvement records; Public Involvement Plan records.

# UPDATED AUTHORITIES

Permanent. Retain onsite until no longer needed. Transfer to NARA (N1-434-98-28)

## **j. Remediation Management Records (Other Than CERCLA Funded Cooperative Agreements)**

Records of management services organizations dedicated to solving waste cleanup problems. Records include project scope terms and conditions; contracted authority requirements; project costs; correspondence to and from clients, contractor or regulatory entities; data and analysis necessary to replicate the project findings; contractor records; reports on current situations, recommendations for future actions, evidence of training and qualification; records which document and describe general remediation project information, including procedure manuals, site operating procedures, project directives and project proposals.

### **(1) Remediation Plan Records**

Sitewide Criteria and Design Basis-Remediation-based records, sitewide data and memoranda-remediation-related records, remediation project information records, Federal Regulatory Agencies-remediation-related records, sitewide project controls remediation-related records, remediation plans records, RI/FS, remedial project specific records, such as sitewide project control records, sub-contractor support records, project information records, project charts and construction records; Operable Unit program development records; operating plans; RCRA operating logs; Operational Readiness Review Records.

Cutoff at the end of the project or in 5 years. Retire to FRC in 5 year blocks. Destroy after 75 years. (N1-434-98-28)

**EPI**

### **(2) Expedited Response Action Records**

Time critical and/or non-time critical response action records.

Waste site at which clean up occurs because of limited exposure of personnel, the dangerous nature of the operations involved or because immediate cleanup would be easier or more cost effective.

Destroy 10 years after FFA&CO terminates. 40 CFR 300 (N1-434-98-28)

## **k. Environmental Record Case Files**

NOTE: Use this retention **ONLY** for records maintained as a collection.

# UPDATED AUTHORITIES

(1) Environmental Program Support Files

Document the management, administration, support, function, operation, and program activities for an environmental program. These records include, but are not limited to, mission descriptions or documents describing the following: the type of work performed; funding/budget documentation; program plans; approvals and implementation and coordinating program activities; action plans; program development records; compliance to regulatory requirements; a history of past management practices; meeting minutes; audits; project reviews or event documentation; organization structure; property/equipment lists; deliverables; reports and correspondence related to milestones, work identification or progress; and other related documentation.

Cutoff annually. Destroy 25 years after cutoff. (N1-434-00-7)

(2) Environmental Project Case Files

Project case files, maintained as a collection throughout the projects life cycle, which documents the activities of the project from initiation through completion. Identify contract or work agreements, statement of work, funding/budget documentation, project plans, project justification, audits, project reviews or event documentation, client status reports, permits, organization structure, property lists/inventories, deliverables, meeting minutes/agendas, closure plans, final reports, and other reports and correspondence related to milestones, project scope, staffing, initiation or execution of the project. May also include engineering design review records and as-built drawings.

(a) Projects for which innovative technology is initially developed or demonstrated.

Permanent. Cutoff at project completion. Transfer to NARA 25 years after cutoff. See NI-434-96-9. (N1-434-98-28)

(b) Case files for all other environmental projects.

Cutoff at project completion. Destroy 25 years after project completion. (N1-434-98-28)

(3) Decontamination and Decommissioning Cleanup and Transitioning Case Files

This record documents the decontamination, decommissioning, dismantlement, disposal, or the cleanup and transitioning of a facility, area, or equipment that has been exposed to radiation or hazardous chemicals. Files include, but are not limited to, correspondence, as-built drawings, engineering studies, cost and schedule estimates,

# UPDATED AUTHORITIES

environmental documentation, photographs, procedures, radiological and hazardous characterizations, readiness reviews, safety analyses, meeting minutes, contracts, waste burial records, work authorizations, work orders, letters of instruction, engineering orders, event fact sheets, facility surveillance data sheets, inspection reports, phase/status reports, and final decommissioning reports.

Cutoff at project completion. Retire to FRC 25 years after cutoff. Destroy in 75 years. (N1-434-98-28)

(4) Sampling and Analysis Case Files

Contains material relating to a specific environmental site, activity, project, organization, laboratory, process, etc. These files may contain but are not limited to the following: a record index; administrative records (correspondence, meeting minutes, etc.); RI/FS; investigative field documentation.

Destroy after 50 years. Cutoff case file upon closure of site, or termination of activity, project, organization, laboratory, or process. Destroy 50 years after cutoff. (N1-434-98-28)

2. REGULATORY COMPLIANCE

This category covers records documenting compliance with the NEPA, State environmental policy acts, the Council on Environmental Quality (CEQ) regulations, DOE NEPA guidelines, DOE Secretarial Policy on NEPA, DOE Orders, and other Federal, state, and local environmental regulations. It includes regulatory files containing records demonstrating compliance with environmental regulations such as CERCLA, RCRA, NEPA, Clean Water Act, and the Safe Drinking Water Act (SDWA).

a. **Inspection/Assessment/Appraisal Records**

Records or files associated with assessments, appraisals, or inspections to verify environmental compliance.

(1) Inspection Record Files

(a) RCRA-related inspection files.

Destroy 5 years after life of facility. (N1-434-98-28)

(b) CERCLA-related waste inspection logs.

# UPDATED AUTHORITIES

Destroy 5 years after waste removal date. (N1-434-98-28)

- (c) General inspection logs related to operations; safety inspections; inspection schedules, completed inspection procedures and checklists; internal, job-specific inspection checklists and other supporting documentation.

Destroy 3 years after date of inspection. (N1-434-98-28)

- (d) Inspection records of hazardous waste storage locations, that record date and time of the inspection, notes of observations made, and date and nature of any repairs or other remedial actions.

Destroy 3 years after date of inspection. (N1-434-98-28)

- (e) Inspection logs or records maintained pursuant to 40 CFR 264.347 or 40 CFR 264.15 or 40 CFR 264.73.

Destroy 3 years after date of inspection. (N1-434-98-28)

## (2) Waste Appraisal Files

Hazardous waste appraisals that determine if short-term or temporary storage areas, containers, or packaging are in compliance with requirements.

Destroy 5 years after appraisal. (N1-434-98-28)

## (3) Assessment Records

NOTE: Essential data may be included in comprehensive Waste Management System (see item 1.g3)

- (a) Assessments of inactive waste sites.

Destroy 5 years after site closure. (N1-434-98-28)

- (b) Records documenting evaluation, assessment, audit records, and associated corrective action documentation.

Destroy 75 years after action is taken. (N1-434-98-28)

# UPDATED AUTHORITIES

## b. Spill/Release Records

Records that report all spills or releases of hazardous substances, identifying the location, type, volume, time discovered/occurred, reporting individual, effected media, corrective action taken, hazardous substance release records and other information considered necessary to document the spill, release and cleanup.

EPI

(1) Leak Inspection Files

RCRA overfill leak inspections.

Destroy 3 years after inspection. (N1-434-98-28)

EPI

(2) Spill Records

Chemical spills, hazardous waste spills, process spills, or similar spills under CERCLA/RCRA.

Destroy 10 years after cleanup. (N1-434-98-28)

EPI

(3) Polychlorinated Biphenyl Spill and Cleanup Records

Polychlorinated Biphenyl (PCB) spills cleanup records.

Destroy after 5 years. 40 CFR 761.125 (N1-434-98-28)

EPI

(4) Spill Response and Remediation Plan Files

Destroy 1 year after superseded. (N1-434-98-28)

EPI

(5) Spill Prevention Control and Counter-Measures (SPCC) Records

Destroy after 3 years. 40 CFR 112.7 (N1-434-98-28)

## c. Waste/Chemical Inventory Files

Records containing hazardous chemical inventories identifying types and amounts of chemicals currently in use, inventories of hazardous waste scheduled for transport for disposal, and radioactive and mixed waste, transuranic (TRU) waste, and high level radioactive waste.

EPI

(1) In-Use Chemical Inventory Files



# UPDATED AUTHORITIES

Inventories of chemicals in use; chemical inventories for Superfund Amendment and Reauthorization Act of 1986 (SARA) Emergency Planning and Community Right to Know Act of 1986 (EPCRA) reporting such as Tier Two Emergency and Hazardous Chemical Inventory (commonly called 312) and Toxic Chemical Release Inventory (commonly called 313), and other regulatory agency-driven requirements. (See item 1.b2 and 1.b3 for reports.)

Destroy 3 years after submittal of report. 40 CFR 372.10 (N1-434-98-28)

EPI

(2) Storage Inventory Files

Inventories that indicate type and amounts of hazardous wastes currently located at storage sites.

Destroy after facility closes. 40 CFR 265.73 (N1-434-98-28)

EPI

(3) Low-Level Radioactive and Mixed Waste Inventory Files

Inventories that indicate the amount and types of low-level radioactive and mixed waste inventory.

Destroy 5 years after permit expires. (N1-434-98-28)

EPI

(4) Hazardous Waste Inventory Files

Inventories of hazardous wastes maintained for transport for temporary disposal.

Destroy 3 years after shipment date. (N1-434-98-28)

EPI

(5) Transuranic Waste Inventory Files

Inventories for two types of TRU: contact handled, such as glovebox waste; and remote handled, such as irradiated fuel or samples from tank wastes.

Destroy when waste is transferred, treated, or disposed of. (N1-434-98-28)

(6) High-Level Radioactive Waste Inventory Files

Inventories of high-level radioactive waste.

# UPDATED AUTHORITIES

Cutoff 5 years after disposal/transfer of waste. Retire to FRC in 5 year blocks. Destroy in 75 years. (N1-434-98-28)

(7) Materials Safety Data Sheets (MSDS)

MSDS provides detailed safety information on hazardous chemical products obtained from chemical manufacturers and/or commercial information services. MSDS are originated by manufacturers of chemical products and passed on to product purchasers to provide detailed product safety information are required by public law.

(a) Safety Department Master File

Destroy 75 years after substance has been removed from use.  
(N1-434-01-2)

**Superseded by GRS 2.7, item 050 (DAA-GRS-2017-0010-0008) See schedule for DOE Business Use**

(b) Other Copies

Destroy when superseded, obsolete or no longer in use after having confirmed the record copy is being maintained by cognizant department (per item a. above). (N1-434-01-2)

**Rescinded - DOE Transmittal**

(8) Sealed Radioactive Source Inventory

Records concerning the inventory and integrity testing of sealed radioactive sources. Records are used for calibrating radiation measurement equipment, response checking of radiation detection instruments, research, and other applications utilizing sealed radioactive sources.

Destroy 75 years after final disposition of radioactive source, or in accordance with authorization issued by a State or Federal regulatory agency, whichever is longer. (N1-434-01-2)

**d. Waste Generator Shipping/ transporting Waste Files**

Records involving the receipt, shipment or transfer of chemicals, wastes or other hazardous, radioactive or toxic substances.

**EPI**

(1) Hazardous Substance Transfer Files

# UPDATED AUTHORITIES

Includes logs and records, incoming waste shipment requests, hazardous waste manifests, and hazardous waste transfer records medical/biohazardous waste manifests.

Destroy 3 years after shipment. 40 CFR 279.74, 40 CFR 761.180, 40 CFR 761.209, 40 CFR 264.71, and 40 CFR 265.71. (N1-434-98-28)

EPI

(2) Low-Level Radioactive Waste Management Disposal Requests and Shipment Records

Includes storage/disposal records used as manifests.

Destroy 3 years after waste disposal date. (N1-434-98-28)

(3) High-Level and Radioactive Mixed Waste Shipment Records

Includes storage records, forms or records prepared by the waste generator, and other related documentation.

Destroy when 75 years old. (N1-434-98-28)

EPI

(4) Transuranic Shipment Records

Includes records prepared by the waste generator and other related documentation.

Destroy after 5 years. (N1-434-98-28)

(5) Waste Acceptance Criteria Records

Includes records that become part of the site specific plan(s).

(a) Nuclear related.

Destroy after 20 years. (N1-434-98-28)

(b) Non-Nuclear related.

Destroy after 10 years. (N1-434-98-28)

**e. Pollution Prevention and Waste Minimization Program Records**

# UPDATED AUTHORITIES

Pollution prevention and waste minimization program records encompass records which document waste elimination, reduction or minimization, during activities such as research, process design, and daily facility or plant operations.

## EPI

### (1) Waste Stream Identification and/or Characterization Studies

Documents and provides detailed descriptions of waste stream processes and identify details of the process including characterization information such as; waste streams stored or in use, chemical by-products produced, field interview notes, draft sketches or layouts, building inspector comments, inputs, outputs, associated costs, etc.

Cut off files at end of fiscal year. Destroy when 10 years old. (N1-434-98-28)

### (2) Inventory Control Records

Waste inventory control and material substitution records.

Cut off files at end of fiscal year. Destroy when 75 years old. (N1-434-98-28)

## f. National Environmental Policy Act and Related Laws Documentation

### (1) Environmental Impact Statement

An environmental impact statement (EIS) is required for proposed major federal actions that significantly affect the quality of the human environment. A supplemental analysis (SA), is prepared if there are substantial changes to the proposed action or significant new circumstances or information relevant to environmental concerns for an action covered by an existing, approved EIS. An SA is prepared to determine if a supplemental EIS or a new EIS should be prepared.

#### (a) Maintained by the cognizant DOE Operations Office.

Permanent. Cutoff when ROD is issued. Transfer to NARA 20 years after cutoff. (N1-434-98-28)

#### (b) All other copies.

Destroy when no longer needed. (N1-434-98-28)

#### (c) Final Published Version

# UPDATED AUTHORITIES

Background material, documentation includes the draft EIS and supporting plans, scoping, scheduling, and background information; public and agency comments; Notice of Intent (NOI); ROD; and may include SA, EIS Implementation Plan, Community Relations Plan/Public Participation Plan, Records of Considerations, Mitigation Action Plan, Supplemental EIS, and Flood Plain/Wetland Assessments.

Destroy in 20 years. Retire to FRC 5 years after ROD is issued.  
(N1-434-98-28)

## (2) Environmental Assessment Records

An environmental assessment (EA) provides the information to determine the necessity for an EIS or a finding of no significant impact. Documentation includes the EA and NOI.

(a) Maintained by the cognizant DOE Operations Office.  
Permanent. Cutoff when project is completed. Transfer to NARA 20 years after cutoff. 40CFR1508.9 (N1-434-98-28)

(b) All other copies.

Destroy when no longer needed. (N1-434-98-28)

(c) Background documentation.

Destroy in 20 years. Retire to FRC 5 years after ROD is issued.  
(N1-434-98-28)

## (3) Categorical Exclusion Records

A categorical exclusion (CX) documents that the potential impacts to the environment are clearly insignificant and the proposed action falls within a category of actions not normally requiring an EA or an EIS. An information bulletin (IB) describes the action and identifies the appropriate CX and is prepared as a basis for a DOE decision regarding the CX. The IB usually includes a draft CX determination. Documentation includes the IB, environmental checklist (ECL)/action description memorandum and other records used to reach a CX determination.

# UPDATED AUTHORITIES

- (a) Maintained by the cognizant DOE Operations Office.

Permanent. Cutoff when project is completed. Transfer to NARA 20 years after cutoff. 40 CFR 1508.4 and 10 CFR 1021 (N1-434-98-28)

- (b) All other copies.

Destroy when no longer needed. (N1-434-98-28)

- (c) Background documentation.

Destroy in 20 years. Retire to FRC 5 years after ROD is issued. (N1-434-98-28)

- (4) National Environmental Policy Act Support Documentation

Documentation supporting compliance with other environmental statutes coordinated with the NEPA process.

Cutoff annually at the end of the calendar year of project completion. Destroy in 3 years. 10 CFR 1021, 10 CFR 1500, and 10 CFR 1508 (N1-434-98-28)

**g. Septic System/Sewage Treatment Files**

Plans and specifications for proposed construction. Approvals, certification of inspection and installation, operations manuals, drawings, periodic inspections, vendor information, correspondence, and meeting minutes.

- (1) Operation Manuals and Vendor Information

Destroy when equipment is no longer in service. (N1-434-98-28)

- (2) Approvals, Certification of Inspections and Installation, Drawings, Correspondence and Meeting Minutes

Destroy when 50 years old. (N1-434-98-28)

**h. Drinking Water and Safe Drinking Water Act Files**

Records documenting drinking water system operated in support of DOE site.

# UPDATED AUTHORITIES

(1) Bacteriological Analysis Files

Records of Bacteriological analysis.

Destroy in 5 years or when data has been transferred to tabular summaries.  
40 CFR 141.33 (N1-434-98-28)

(2) Chemical Analysis Files

Records of chemical analysis.

Destroy in 10 years. 40 CFR 141.33 (N1-434-98-28)

(3) System Survey Files

Copies of written reports or summaries of sanitary surveys of the system.

Destroy 10 years after completion of sanitary survey. (N1-434-98-28)

(4) Variance Record Files

Records of a variance or exemption.

Destroy 5 years after expiration of variance or exemption. (N1-434-98-28)

(5) Corrective Action Files

Records of actions taken by the system to correct violations of primary drinking water regulations.

Destroy 3 years after last corrective action taken with respect to particular violation involved. 40CFR141.33 (N1-434-98-28)

**i. Well Records**

(1) Well History and Construction Files

Records dealing with the history and construction of wells including inventories of wells, photographs, soil borings from geological investigations, boreholes, coreholes, test holes and any other drill holes where data was obtained. It includes drilling plans and reports, well installation and provided to completion records, schematics of well construction,

# UPDATED AUTHORITIES

logbooks such as drilling logs, correspondence, maps, photographs, charts, summary reports, construction verification reports.

Retain on site. Cutoff when well is plugged and abandoned. Retire to FRC 3 years after cutoff. Destroy when facility closes. (N1-434-98-28)

## (2) Well Maintenance Files

Records dealing with well maintenance such as well services requests, well services planning, well structure field inspections, repairs and modifications, surveying, installing locking well caps, maintaining pump systems, removing deposits.

Retain on site. Cutoff when well is plugged and abandoned. Retire to FRC 3 years after cutoff. Destroy when facility closes. (N1-434-98-28)

## (3) Well Abandonment Files

(a) Well abandonment plans, notifications, reports. NEPA CX List of Wells.

Retain on site. Cutoff when well is plugged and abandoned. Retire to FRC 3 years after cutoff. Destroy when facility closes. (N1-434-98-28)

(b) Abandonment of underground injection wells. The nature and composition of all injected fluids.

Destroy 3 years after plugging and abandonment. 40 CFR 144.28[I][2]  
(N1-434-98-28)

## **j. Underground Storage Tank Files**

Records related to the regulation of storage of materials, wastes, and products in underground storage tanks (USTs). 42 USC 6991, 40 CFR 280, and 40 CFR 281.

**EPI**

(1) Tanks Subject to Excavation

Destroy 3 years after tank is removed. (N1-434-98-28)

**EPI**

(2) Tanks Subject to Remediation

Destroy 20 years after abatement is completed. (N1-434-98-28)



# UPDATED AUTHORITIES

## 3. PERMITTING

Permitting documentation includes those records related to authorizing access or permission from a governmental entity, such as city, county, state, or Federal agency, to initiate an action, usually defining specified limits in the form of a written warrant or license. This category may include necessary or required documents that precede the granting of the license or warrant, such as applications for permits.

### a. Applications for Permits

Preparation of the permitting application includes permitting requirements, permitting policies, cost information, schedules, application, closure plans, notification requests, supporting documentation, negotiations with permitting agency modification process and correspondence.

(1) RCRA Part A and B Permit Applications

Destroy 5 years after applicable permit expires. (N1-434-98-28)

(2) All Other Permit Applications

Destroy 5 years after applicable permit expires. (N1-434-98-28)

### b. Permits

Permitting documentation includes detailed definition of the approved process, schedules, milestones, reporting requirements, supporting documentation, correspondence, terms and conditions of the permit, notification of changes to the permit and modifications.

(1) RCRA Permits, Part A and B

(a) Maintained by the cognizant DOE Operation's Office

Permanent. Cutoff and transfer to NARA at termination of permit.  
(N1-434-98-28)

(b) All other copies

Destroy when no longer needed. (N1-434-98-28)

(c) Supporting documentation

Destroy 5 years after permit expires. (N1-434-98-28)

# UPDATED AUTHORITIES

EPI

(d) Required monitoring data

Including all calibration and maintenance records and all original strip chart recordings for continuous monitoring instrumentation, copies of all reports required by permit.

Destroy after 3 years. (N1-434-98-28)

(2) Waste Water Discharge Permit Records

These records document the requests for permission to discharge waste water into ground water and sanitary sewers. Includes but is not limited to: discharge plans, approval letters, samples and analysis, certificate of analysis, monitoring requirements, renewal applications, chain of custody forms, permits and applications, routine storm maintenance requests, including records required by National Pollutant Discharge Elimination System (NPDES), State Waste Discharge, Injection Well and Stormwater Permits. Also, includes reports required by the permits, including but not limited to, discharge monitoring reports, noncompliance notification, noncompliance reports and corrective action measures. Water may be discharged into sewers, ponds, lagoons, etc.

(a) Construction permits submitted after applications are approved.

Destroy 3 years after the applicable permit expires. 40 CFR 122.21  
(N1-434-98-28)

(b) Technical, general regulatory and policy correspondence.

Destroy after 5 years. (N1-434-98-28)

(c) Notices to discharge surplus water records in accordance with permit compliance.

Destroy 5 year after permit expires. (N1-434-98-28)

(d) Purge water activity records.

Destroy 5 years after permit expires. (N1-434-98-28)

(e) Storm drainage inspections and maps.

# UPDATED AUTHORITIES

Destroy 5 years after permit expires. (N1-434-98-28)

## (3) Air Emissions Permit Records

Document the process of developing and obtaining approval from federal, state, air quality district, or city officials to emit air pollutants and/or airborne particulate matter in compliance with the Federal CAA, associated State implementation plans and laws. Records may include, but are not limited to, permit applications and supporting documentation, permits, (such as new construction or preconstruction, operating modification, new source, NESHAPS, prevention of significant deterioration, acid rain, open burn, top soil disturbance, administrative permit amendments, permit renewals, modifications, cancellations, suspensions, exemptions, approvals, and disapprovals, monitoring and control plans, notices of violation, material safety data sheets (MSDS) for pollutants, permit lists, dispersion modeling information, correspondence with and between DOE, DOE contractors, city, state, air quality district, or EPA officials regarding permitting, documentation of permit fee invoices and payments, and ownership of pollution allowances or rights. Records may also include air emission permit tracking databases.

EPI

### (a) Related and supporting documentation for permits.

Destroy 3 years after related permit expires. (N1-434-98-28)

### (b) Pollution allowance ownership rights documentation.

Destroy 3 years after related permit expires. (N1-434-98-28)

### (c) Draft documents, supporting notes and calculations.

Destroy when superseded, obsolete, or no longer needed. (N1-434-98-28)

### (d) Related databases and data.

See 1.g2 (N1-434-98-28)

## (4) Pollution Prevention Equipment Permit Records

Document the permission to install specific equipment in buildings or facilities at DOE contractor sites to meet regulatory compliance. Records may include, but are not limited to, permit applications, permits, permit renewals, correspondence, emission concentration, and type of pollution control equipment.

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Destroy 3 years after related permit expires. (N1-434-98-28)

(5) All Other Permits

Destroy 3 years after related permit expires. (N1-434-98-28)

**EPI** c. **Permit Petitions and/or Waivers**

Documentation used as a means to request a petition or waiver from a permit requirement(s).

Destroy 5 years after petition/waiver expires. (N1-434-98-28)

**d. Closure Plans**

Closure plans include description of plans for each unit, estimate of maximum inventory during active life, description of steps needed to remove a decontaminate, and schedule.

(1) Interim Closure Plans/Closure Plans

Destroy 10 years after certificate of closure is received. (N1-434-98-28)

(2) Post Closure Plans

Permanent. Cutoff when no longer needed. Transfer to NARA 25 years after cutoff.  
(N1-434-98-28)

**EPI** e. **Pesticide/Herbicide Records**

Records of application of pesticides/herbicides

Records include but are not limited to location involved, date, time, appropriate meteorological data for exterior applications, amounts of chemical associated concentrations and equipment used, signature and license number of the cognizant operator along with pertinent remarks.

Destroy after 10 years. (N1-434-98-28)

**4. MONITORING**

Monitoring records document activities that affect environmental quality, such as discharging air pollutants to the atmosphere, and activities that involve radioactive and nonradioactive liquid effluent discharges to the environment, including rivers, sanitary sewers, land surfaces, the

# UPDATED AUTHORITIES

subsurface, and drinking water supply systems. Environmental surveillance activities are conducted routinely with the intent of detecting and quantifying radiological and nonradiological contaminants and assessing their environmental and human health significance.

NOTE: See Section 1e for logbooks relating to monitoring activities.

## a. **Soil Monitoring Record**

### (1) Procedures

Procedures that detail the specific methods and frequency of environmental soil monitoring.

Cutoff when superseded or obsolete. Destroy when 75 years old. (N1-434-98-28)

### (2) Equipment Calibration Records

Documentation providing assurance that equipment used during monitoring activities was calibrated to established standards.

#### (a) Radiation detection instrument calibration records.

Destroy when 75 years old. (N1-434-98-28)

#### (b) All others

Destroy 5 years after calibration. (N1-434-98-28)

### (3) Radiological Survey Forms and Logs for Soil Monitoring

Destroy when 75 years old. (N1-434-98-28)

### (4) Statistical Monitoring Data

Data used to make statistical comparisons between different monitoring locations or time periods.

Destroy when results are incorporated into summary reports, or when 5 years old, whichever is earlier. (N1-434-98-28)

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## b. Air Monitoring Records

### (1) Procedures

Procedures that detail specific methods and frequency of environmental air monitoring.

Cutoff when superseded or obsolete. Destroy when 75 years old. (N1-434-98-28)

### (2) Air Filter Records

Records used to gather, analyze, and report air quality data including hot cell air quality and filter efficiency data in radiological control area. Records may include, but are not limited to, air filter information, raw data derived from filters, such as filter number and amount of particulates, filter efficiency test reports and data, and filter inventory lists.

#### (a) High-Efficiency Particulate Air (HEPA) filter records, including but not limited to; raw data efficiency tests, laboratory analysis and inventory lists.

Cutoff annually. Retire to FRC 5 years after cutoff. Destroy when 75 years old. (N1-434-98-28)

#### (b) Databases that duplicate the records listed above.

Delete after the expiration of the retention period authorized for hard copy files, or whenever no longer needed, whichever is later. (N1-434-98-28)

### (3) Evaporator, Hood, Stack, and Exhaust Fan Discharge Records

These records document equipment types and discharge rates used to calculate the potential release of contaminants and radionuclides from specific locations. The records are used to supplement the NESHAP reports and to fulfill partially the requirements of the EPA. Records may include, but are not limited to, trace emissions, location, equipment type, velocity, release rate, concentration, parameters, hourly evaporation rate, identification of the chemicals purchased and used by the department, descriptions of air handling supply and exhaust systems, description of the flow measuring system, flow rate testing data sheets, what type of toxic or radioactive material the hood is used for, instrument type and serial number, calibration due date, and approval.

Cutoff annually. Retire to FRC 5 years after cutoff. Destroy when 75 years old. (N1-434-98-28)

# UPDATED AUTHORITIES

EPI

(4) Monitoring Baseline Study Record

These records document a study which establishes normal monitoring levels for measuring the radioactive and non-radioactive impact on the environment and surrounding populations. Information from these records may be used to compile compliance reports. Records may include, but are not limited to, correspondence, plan status, performance and technical system audits, wind source direction status, preliminary and end results, interpretations, conclusions and recommendations, ECL, system plan, and effluent particle size.

Destroy when 20 years old. (N1-434-98-28)

EPI

(5) Hazardous Air Pollutant Baseline Study Records.

These records document measurements collected from upwind and downwind locations indicating the hazardous air pollutants specified in 42 USC 112 such as asbestos, benzene, beryllium, mercury, vinyl chloride, coke oven emissions, and inorganic arsenic. Records may include, but are not limited to, analytical procedures, calibrations, monitoring results and recommendations.

Destroy when 20 years old. (N1-434-98-28)

(6) Annual Background Study Records

These records document the preliminary results of an approved background study used by the EPA, the state, and DOE to evaluate contamination release. These studies are used to develop information on the uncontaminated conditions of a site. The data is compared with data from areas that might be contaminated. Records may include, but are not limited to, data acquisitions and related correspondence, description of data collection methods and technology, data logs, subcontractor memos, applicable NEPA documentation and analytical results.

NOTE: See 1.g7 for Basic Reports.

Destroy when 5 years old. (N1-434-98-28)

EPI

(7) Stratospheric Ozone Protection Records

These records document a unified, cost effective, and competitive approach for a transition from using ozone depleting chemicals to the use of new chemicals or chemical substitutes that will not deplete the stratospheric ozone or pollute the air or the

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environment. Records may include, but are not limited to, memos and correspondence, summary plans, cost analysis, substance lists, and regulation lists.

Destroy when 3 years old. (N1-434-98-28)

(8) Criteria Pollutant Records

EPI

(a) Criteria pollutant release records

These records document measures of National Ambient Air Quality Standards Program (NAAQS) criteria pollutants released into the air that meet pollution prevention requirements. The pollutants measured have been identified as being hazardous to human health and welfare. These measurements are mandated by the DOE as part of resolving National Air Quality problems. Records may include, but are not limited to, ECL, Request for Facility Services, CX list and EPA checklists.

Destroy when 5 years old. (N1-434-98-28)

EPI

(b) Criteria Pollutant Source Inventory

Records document annual inventories of criteria pollutant sources at DOE and contractor sites. These records are used to determine the source type and concentration of pollution emitted from identified locations.

Destroy 5 years after inventory completion. (N1-434-98-28)

(9) Air Monitoring/Sampler Equipment Calibration Records

These records document the type of calibration performed, the degree of accuracy to which the item was calibrated and the date of calibration, and to determine when the item is due for recall. Records may include, but are not limited to, procurement, equipment serial number and location, manufacturers statement of origin, manufacturer code, equipment calibration estimates, calibration data forms, checklists, billings, inspection reports, move orders, equipment manual information, vendor information, quality and operating checks, pre-operational checklists, calibration date, calibration data, calibration recall notices, calibration sheets, out-of-tolerance notifications, recall cards, equipment standards and specifications, certificates of conformance, certificates of completion, instrument status, service performance reports, and trouble shooting information.



# UPDATED AUTHORITIES

- (a) Radiation detection instrument calibration records  
Destroy when 75 years old. DRS 1.7a1 (N1-434-98-28)
- (b) All others  
Destroy 5 years after calibration. (N1-434-98-28)

## **EPI** c. **Meteorological Monitoring Records**

These records document the data collected from weather monitoring stations to support environmental monitoring programs. It is also used to report overall annual dose, calculated concentrations of routine and accidental releases, and supports real time plume trajectory forecasting system. Records include, but are not limited to, strip charts of real time measurements of wind speed and direction, temperature, wind chill, relative humidity, dew point, precipitation, barometric pressure, synopsis of expected daily weather activity, evening forecast, weather cautionary or alert information, semiannual calibration results of tower, logbooks identifying problems, abnormalities, documentation of daily checks, correspondence regarding tower installation, and construction, milestone report, meteorological system design and overview, briefings and findings.

Destroy when 10 years old. (N1-434-98-28)

## **d. Groundwater Monitoring Records**

- (1) Procedures  
Procedures that detail the specific methods and frequency of groundwater monitoring. Cutoff when superseded or obsolete. Destroy when 75 years old. (N1-434-98-28)
- (2) Equipment Calibration Records for Groundwater Monitoring  
Provides assurance that equipment used during monitoring activities was calibrated to established standards.
  - (a) Radiation detection instrument calibration records  
Destroy when 75 years old. (N1-434-98-28)
  - (b) All others  
Destroy 5 years after calibration. (N1-434-98-28)

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- (3) Radiological Survey and Form Logs for Groundwater Monitoring

Destroy when 75 years old. (N1-434-98-28)

- (4) Statistical Monitoring Data

Data used to make statistical comparisons between different monitoring locations or time periods.

Destroy when results are incorporated into summary reports, or when 5 years old, whichever is earlier. (N1-434-98-28)

**e. Tank Monitoring**

Records related to monitoring tanks containing chemicals, wastes, or other hazardous, radioactive, or toxic substances.

- (1) Liquid Levels/Surface Levels

Records that document the baseline and associated changes in the level of liquids contained within a tank indicating potential problems or lack thereof.

Until tank closure (N1-434-98-28)

- (2) Dome Elevation

Records that document crusts or buildups within a tank that may account for solids or sludge fragments rising to the top indicating an explanation for changes in tank surface levels and liquid levels.

Until tank closure (N1-434-98-28)

- (3) Drywell/Swab Risers

Records of contamination measurement to help detect leaks to the ground from a tank or transfer line (or waste stream).

Until tank closure (N1-434-98-28)

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## 5. SAMPLING AND ANALYSIS

Records included in this series document sampling and analysis activities for samples collected during environmental investigations, remediation, and restoration from sample acquisition to sample disposition. Documentation covers planning sampling operations, conducting sampling operations (collecting samples), documenting sampling operations, sample management and control, and reporting sampling results.

NARA accepts information relating to physical specimens, but not the specimens themselves. Because some requirements specify retention of samples, the responsibility for maintenance of them rests with the organization that gathers or collects such items. Related information is scheduled herein. Physical samples and specimens should be returned to the organization from which they originated per EPA requirements.

NOTE: See Section 1e for logbooks related to sampling and analysis.

### a. Procedures

These procedures detail the methods used and frequency of analysis of environmental samples. Includes records or correspondence which give the philosophy and scope of sampling, provide interpretations of results, and detail the plans for sampling and analysis of environmental samples.

Cutoff when superseded or obsolete. Destroy when 75 years old. (N1-434-98-28)

### b. Sampling Authorization Forms

These forms document field sampling requirements generated to initiate and perform sampling and analysis activities.

Destroy in 75 years. (N1-434-98-28)

### c. Sampling and Analysis Records

#### (1) Analytical Laboratory Data Packages

These data packages consist of documentation generated during transport and receipt of field samples (e.g., chain of custody), sample movement in the laboratory, preparation for analysis, laboratory analyses output, raw and processed data, analytical results (analysis reports), reanalysis, quality control sample results, and instrument

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calibration data, plus a summary of final results for each batch. May include validation and/or verification documentation.

Destroy in 75 years. (N1-434-98-28)

(2) **Physical Property Data Packages**

These data packages contain analytical results for samples taken during borehole or well drilling operations. Samples are obtained at several different elevations during the drilling. Samples are submitted to the laboratory for physical property testing. These files contain the following records: data transmittals, graphs, and laboratory analysis.

Destroy in 75 years. (N1-434-98-28)

(3) **Field Screening Data Packages**

These data packages document field screening measurements for preliminary determinations of contamination levels in support of environmental investigation, restoration, and remediation activities, using commercially available instruments and/or test kits. Field screening methods include, but are not limited to, aqueous headspace analysis of VOCs in soil; analysis of VOC in soil gas; field immunoassay testing; and pH screening in soil samples. Documentation may include, but is not limited to: sample analysis request documentation; narrative description or overview of activities that took place; summary of results; table of analyses; logbook pages; strip charts; instrument calibration data; and laboratory analysis reports.

Destroy in 75 years. (N1-434-98-28)

**d. Laboratory Sample Processing Records**

These records consist of control records pertaining to work performed in analytical laboratories. Records include, but are not limited to Sample Receiving Logs, analysis requests, analytical assay records, and comparative analysis logs.

Destroy when 10 years old. (N1-434-98-28)

**6. DISPOSAL/CLEANUP**

This category includes records documenting cleanup of past-practice waste sites or units, closure of waste sites under RCRA and other applicable regulations, cleanup of waste sites under CERCLA and RCRA corrective action provisions and disposal of radioactive and

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hazardous waste from waste sites. Records include those generated once a decision has been made to clean up a given location, encompassing those actions from removal/treatment of the contaminated area to restoration of the area to its natural condition.

**a. Designation/Means of Disposal**

Procedures Governing Disposal and Cleanup.

Permanent. Retain on site until final cleanup. Transfer to NARA 5 years after cutoff. (N1-434-98-28)

**b. Waste Disposal Characterizations/Records**

Records indicating type (classification) and degree of contamination, date of disposal, method of disposal (burial, landfill, etc.), volume, and disposal location. Records may include engineering studies, reports of unusual problems encountered during removal or treatment.

Permanent. Cutoff 5 years after disposal. Transfer to NARA 25 years after cutoff. (N1-434-98-28)

EPI

**c. Waste Disposal Characterizations/Records**

Supporting documentation includes but is not limited to miscellaneous worksheets, recorder sheets, other data sheets, and correspondence from where applicable information has been transcribed or summarized in other documentation, such as item b, above.

Destroy when 1 year old. (N1-434-98-28)

**7. Electronic Mail and Word Processing System Copies.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail

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directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.  
(N1-434-98-28)

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.  
(N1-434-98-28)