

DEPARTMENT OF ENERGY (DOE) 4.2: Information Access and Protection Records

This schedule covers records that document policies, standards, directives, and implementation of the FOIA, Privacy Act, Classification, Declassification, and Controlled Unclassified Information (CUI) Programs.

See [GRS 4.2 Information Access and Protection](#) for items not covered within this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
040	<p>Records analyzing Personally Identifiable Information (PII)</p> <p>Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p> <p>Records include Privacy Threshold Assessments (PTAs), Privacy Impact Assessments (PIAs), and Annual Review Summaries.</p>	<p>Temporary. Destroy 3 years after final action.</p> <p>Final action can be defined as one of the following:</p> <ul style="list-style-type: none"> • after associated PIA is published • determination PIA is unnecessary • superseding PIA is published • System ceases operation • after website is no longer available to the public (if PIA concerns website) 	<p>DAA-GRS-2016-0003-0003</p> <p>DAA-GRS-2016-0003-0004</p>

GENERAL RECORDS SCHEDULE (GRS) 4.2: Information Access and Protection Records

This schedule covers records created in the course of agencies (1) responding to requests for access to Government information and (2) protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
001	<p>FOIA, Privacy Act, and classified documents administrative records.</p> <p>Records on managing information access and protection activities. Records include:</p> <ul style="list-style-type: none"> • correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification • associated subject files • feeder and statistical reports <p>Exclusion: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2019-0001-0001</p>
<p>Utilize current schedules for Information Access and Protection Program Records until superseded.</p>			
020	<p>Access and disclosure request files.</p> <p>Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:</p> <ul style="list-style-type: none"> • granting the request in full • granting the request in part • denying the request for any reason including: <ul style="list-style-type: none"> ○ inability to fulfill request because records do not exist ○ inability to fulfill request because request inadequately describes records 	<p>Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0002-0001</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ inability to fulfill request because search or reproduction fees are not paid • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal Includes: <ul style="list-style-type: none"> • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) <p>Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.</p> <p>Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.</p>			
030	Information access and protection operational records.	Records tracking and controlling access to protected information. Includes: <ul style="list-style-type: none"> • records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified records • tracking databases and other records used to manage overall access program • requests and authorizations for individuals to have access to classified and controlled unclassified records and information <p>Note: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.</p>	Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires; whichever is appropriate. Longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0002

Item	Records Description		Disposition Instruction	Disposition Authority
031	<p>Access control records. Includes:</p> <ul style="list-style-type: none"> • safe and padlock combinations • names or other personal identifiers of individuals who know combinations • comparable data used to control access into classified document containers 		<p>Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0007-0020
032	<p>Records relating to classified or controlled unclassified document containers. Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.</p> <p>Note: Forms involved in investigations are not covered by this item. They are instead retained according to the schedule item for records of the investigation.</p>		<p>Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0002-0003
040	<p>Records of accounting for and controlling access to records requested under FOIA, PA, and MDR. Records documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. Includes:</p> <ul style="list-style-type: none"> • forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request • inventories • forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data • agent and researcher files 		<p>Temporary. Destroy 5 years after date of last entry or final action by agency, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0003
050	<p>Privacy Act accounting of disclosure files. 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 agency. Includes:</p> <ul style="list-style-type: none"> • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent 		<p>Temporary. 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.</p>	NC1-64-77-1 item 27 [DAL-GRS-2023-0001-0001]

Item	Records Description		Disposition Instruction	Disposition Authority	
060	Erroneous release records. 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. Includes: <ul style="list-style-type: none"> • requests for information 		Records filed with the record-keeping copy of the erroneously released records.	Temporary. Follow the disposition instructions approved for the released record copy or destroy 6 years after the erroneous release, whichever is later.	DAA-GRS-2015-0002-0001
061	<ul style="list-style-type: none"> • copies of replies • all related supporting documents May include: <ul style="list-style-type: none"> • official copy of records requested or copies 		Records filed separately from the record-keeping copy of the released records.	Temporary. Destroy 6 years after the erroneous release, but longer retention is authorized if required for business use.	DAA-GRS-2015-0002-0002
065	Privacy complaint files. Records of privacy complaints (and responses) agencies receive in these categories: <ul style="list-style-type: none"> • process and procedural (consent, collection, and appropriate notice) • redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act) • operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction) • complaints referred to another organization 		Temporary. Destroy 3 years after resolution or referral, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0004	
070	Agency reports to the Congress, Department of Justice, or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs. Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.		Temporary. Destroy 2 years after date of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0006	
080	Legal and regulatory compliance reporting records. Reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Federal Information Security Modernization Act of 2014, and Title V (Confidential Information	Annual reports by agency CIO, Inspector General, or Senior Agency Official for Privacy. Legal citation: OMB M-07-16.	Temporary. Destroy 5 years after submission of report, but longer retention is authorized if required for business use.	DAA-GRS-2013-0007-0022	

Item	Records Description	Disposition Instruction	Disposition Authority
081	<p>Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.</p> <p>All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).</p>	<p>Temporary. Destroy 2 years after submission of report, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0023</p>
090	<p>Privacy Act amendment request files.</p> <p>Files relating to an individual’s request to amend a record pertaining to that individual under 5 U.S.C. §552a(d)(2), to the individual’s request for review of an agency’s refusal to amend a record under 5 U.S.C. §552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. §552a(g). Includes:</p> <ul style="list-style-type: none"> • requests to amend and to review refusal to amend • copies of agency’s replies • statement of disagreement • agency justification for refusal to amend a record • appeals • related materials 	<p>Temporary. Destroy with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0007</p>
100	<p>Automatic and systematic declassification review program records.</p> <p>Files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.</p>	<p>Temporary. Destroy or delete after conducting next review or when subject records are transferred to NARA but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2020-0002-0001</p>
110	<p>Fundamental classification guidance review files.</p> <p>Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9.</p>	<p>Temporary. Destroy 5 years after report is submitted to ISOO, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0007-0011</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).</p>			
120	<p>Classified information nondisclosure agreements. 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 under standards put forth by executive orders governing security classification.</p>	<p>Records maintained in the individual's official personnel folder.</p>	<p>Apply the disposition for the official personnel folder.</p>	
121		<p>Records maintained separately from the individual's official personnel folder.</p> <p>Legal citations: ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).</p>	<p>Temporary. Destroy when 50 years old.</p>	<p>DAA-GRS-2015-0002-0003</p>
140	<p>Personally identifiable information extract logs. Logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.</p>	<p>Temporary. Destroy when business use ceases.</p> <p>DOE Business Use: Destroy when one year old.</p>	<p>DAA-GRS-2013-0007-0013</p>	
150	<p>Privacy Act System of Records Notices (SORNs). Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).</p>	<p>Temporary. Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0002</p>	

Item	Records Description	Disposition Instruction	Disposition Authority	
160	<p>Records analyzing Personally Identifiable Information (PII).</p> <p>Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p>	<p>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs).</p> <p>Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p>	<p>Temporary. Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0003</p>
161	<p>Records of Privacy Impact Assessments (PIAs).</p>	<p>Records of Privacy Impact Assessments (PIAs).</p>	<p>Temporary. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0004</p>
170	<p>Computer matching program notices and agreements.</p> <p>Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.</p>	<p>Temporary. Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0005</p>	

Utilize DOE 4.2, item 040 for Records Analyzing Personally Identifiable Information (PII).

Item	Records Description	Disposition Instruction	Disposition Authority
180	<p>Virtual public access library records.</p> <p>Records published by an agency on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying. Includes:</p> <ul style="list-style-type: none"> • final concurring and dissenting opinions and orders agencies issue when adjudicating cases • statements of policy and interpretations the agency adopts but does not publish in the <i>Federal Register</i> • administrative staff manuals and instructions to staff that affect a member of the public • copies of records requested under the Freedom of Information Act (FOIA) which, because of the nature of their subject matter, the agency determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times • indexes of agency major information systems • descriptions of agency major information and record locator systems • handbooks for obtaining various types and categories of agency public information <p>Exclusion: This item refers only to copies an agency publishes online for public reference. The agency record copy of such material may be of permanent value and the agency must schedule it.</p> <p>Not media neutral. Applies to electronic records only.</p>	<p>Temporary. Destroy when no longer needed.</p> <p>DOE Business Use: Destroy when one year old.</p> <p>Note: A DOE Virtual public access library records Schedule is being written to cover the items struck out. These are currently uncheduled until NARA approves.</p>	DAA-GRS-2016-0008-0001
<p>Controlled Unclassified Information (CUI) program records.</p> <p>Exclusion: Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).</p>			
190	<p>CUI program implementation records.</p> <p>Records of overall program management. Includes:</p> <ul style="list-style-type: none"> • records documenting the process of planning agency policy and procedure 	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> agency submissions to the CUI Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI correspondence with CUI Executive Agent <p>Exclusion 1: CUI directives and formal policy documents (agencies must schedule these separately).</p> <p>Exclusion 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these).</p> <p>Exclusion 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).</p>		
191	<p>CUI information sharing agreements. Agreements in which agencies agree to share CUI with non-executive branch entities (<i>e.g.</i>, state and local police) and foreign entities that agree to protect the CUI.</p> <p>Exclusion: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.</p>	<p>Temporary. Destroy 7 years after canceled or superseded, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0006
192	<p>Records of waivers of CUI requirements. Description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the CUI covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.</p>	<p>Temporary. Destroy when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0001-0007

Item	Records Description		Disposition Instruction	Disposition Authority
193	Records of requests for decontrol and challenges to CUI designations. Requests to decontrol CUI or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.		Records filed with the record-keeping copy of the CUI-marked records. Follow the disposition instructions approved for the records at issue.	
194			Records filed separately from the record-keeping copy of the CUI-marked records. Temporary. Destroy 6 years after change in CUI status, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0008
195	Records of CUI misuse. Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions. Exclusion: If the agency assigns such investigations to its Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.		Temporary. Destroy 5 years after completing the investigation or completing all corrective actions, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2019-0001-0009