

Frequently Asked Questions (FAQs) about DOE 4.2, Information Access and Protection Records

INTRODUCTION [Note: Changes from Transmittal 06 to 08 are noted in red text.]

1. What is the purpose of DOE 4.2?

This schedule provides disposition authority for records created and received related to the Information Access and Protection functions that are not covered by GRS 4.2.

2. Who may I contact to request more information about this schedule?

You may contact the DOE Records Disposition Schedule Technical Team at DOERM@hq.doe.gov with questions about this schedule.

3. How does DOE 4.2 differ from the old DOE Administrative Schedule?

There are seven (7) schedule items from the DOE Administrative Schedules that have cross-walked to the GRS and one (1) schedule item has been rescinded. The remaining schedules related to Information Access and Protection records that will be consolidated into new DOE records disposition schedule items will follow once approved. **One DOE item covering “Records analyzing Personally Identifiable Information (PII)” has been issued utilizing GRS authorities, consolidating and expanding upon GRS 4.2, items 160 and 161.**

- **Item 040 – Records analyzing Personally Identifiable Information (PII)**

Combined two (2) GRS records disposition schedule items into DOE 4.2, item 040.
Previously:

- DAA-GRS-2016-0003-0003 (Records analyzing Personally Identifiable Information (PII))
- DAA-GRS-2016-0003-0004 (Records analyzing Personally Identifiable Information (PII))

If there is a DOE RDS that is identical to or similar to a GRS item, use the DOE RDS until the new schedules are approved by NARA.

4. Items cross walking to GRS 4.2

- **Item 020 – Access and disclosure request files**

Cross-walked two (2) DOE records disposition schedule items to GRS 4.2, item 020.
Retention increased on one item from 4 years to 6 years. Previously:

- N1-434-98-1, item 9a (Uranium Mill Tailings Remedial Action (UMTRA) Project)
- N1-434-98-1, item 9b (Uranium Mill Tailings Remedial Action (UMTRA) Project)

- **Item 030 – Information access and protection operational records. Records tracking and controlling access to protected information.**

Cross-walked three (3) DOE records disposition schedule items to GRS 4.2, item 030. Retention reduced from 3 and 5 years to 2 years for two of the items. It was determined there is no requirement to maintain these longer than the GRS item. Previously:

- ADM 18.2
- ADM 18.3
- ADM 18.4
- II-NNA-1023, item 1 (Cost-Type Contractors Correspondence Logs and Accident Reports)

- **Item 031– Information access and protection operational records. Access Control Records**

Cross-walked one (1) DOE records disposition schedule item to GRS 4.2, item 031. Previously:

- ADM 18.8.4c

- **Item 110 – Fundamental classification guidance review files**

Cross-walked two (2) DOE records disposition schedule item to GRS .2, item 110 with a longer retention of 5 years. Previously:

- ADM 18.1.1a
- ADM 18.1.1b

5. What changes does NARA Transmittal 34 make to GRS 4.2?

Item 010, General information request files, and 130, Personally identifiable information extracts, have been superseded by GRS 5.2, item 010 which was updated (DAA-GRS-2022-0009-0001).