DOE Records Disposition Manual

Transmittal 08

U.S. Department of Energy
Records Disposition Manual

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DEPARTMENT OF ENERGY (DOE) 1.1: Financial Management and Reporting Records

Financial Management and Reporting Records documenting the procurement of goods and services, bill paying, debt collection, accounting for financial transactions, monitoring agencies' net worth, pension, and insurance.

Note: Refer to GRS 1.1 for all other Financial Management and Reporting records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Contractor Pension Case Files** Pension plan case files for contractors that include, but are not limited to: • 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	**Continuing Obligation** Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.	**Temporary.** Destroy 80 years after contract completion/ termination.	DAA-0434-2021-0001-0001
020 EPI		**No Continuing Obligation** Cases for which DOE has no continuing obligations for liability after contract completion or termination.	**Temporary.** Destroy 6 years after contract completion/ termination.	DAA-0434-2021-0001-0002
030	**Casualty Insurance Case Files** Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to: • policies • endorsements		**Temporary.** Destroy 80 years after contract completion/ termination.	DAA-0434-2021-0001-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	• reports • correspondence • studies • analyses • actuarial data and computations • information showing premium adjustments, coverage, funding, billing, and losses incurred **Note:** Includes both cases assigned to or administered by DOE upon contract completion or termination and cases for which DOE has no obligation or liability after contract completion or termination.		
040	**Unique Procurement Files** Procurement files, including, but not limited to procurement and grant files that: • document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs • new technology on alternative energy sources or the innovative application of technology to reduce energy dependencies **Note:** Exclusion to GRS 1.1, Item 010, which excludes procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value.	**Permanent.** Transfer to NARA 25 years after contract completion/ termination.	DAA-0434-2021-0001-0005
050	**Debarment Investigation 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, but are not limited to: • Inspector General reports • attorney recommendations for action	**Temporary.** Destroy 6 years after case closed, the debarment period or voluntary exclusion period is closed, whichever is later.	DAA-0434-2021-0001-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	• suspension notifications • hearing transcripts • briefs and motions • final determinations and settlement agreements for debarment and for suspension cases • other related records, including correspondence **Note:** Excludes documentation of approved, suspended and debarred vendors and bidder records not related to an "investigation". Utilize GRS 1.1, Items 070 and 071 for Vendor and Bidder Information. **Legal Citations:** **48 CFR Federal Acquisition Regulations System, Part 9 Contractor Qualifications** **10 CFR 606 Government-wide Debarment and Suspension** **48 CFR 909.403 Definitions**		
060	**Research Development, and Demonstration (RD&D) Financial, Contractual and Procurement Records** Contracts, Grants, Cooperative Agreements, and Technical Investment Agreements related to Research Development, and Demonstration (RD&D) services. This applies to all RD&D subawards and laboratory technology transfer agreements (e.g., Cooperative Research and Development Agreement (CRADAs), Strategic Partnership Project (SPPs), and Agreements for Commercializing Technology (ACTs). Records include, but are not limited to: • contracts, agreements, and specifications • purchase orders • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations, or proposals • proposals, quotations, and bids (accepted and unsuccessful/rejected) • invoices • legal, financial, and budget records	**Temporary.** Destroy 20 years after final payment. **Note:** DOE defines final payment as final payment AND contract completion documentation to meet the FAR requirements for contract close-out.	DAA-GRS-2013-0003-0001

Item	Records Description	Disposition Instruction	Disposition Authority

	• documentation of contractual requirements submitted by contractors such as progress reports and final technical reports
	• correspondence and papers pertaining to award, administration, receipt, inspection of payment for goods and services in this list
	• related service agreements and accompanying instructions, technical procedures, and study protocols
	• copies of records documenting invention and patent contractual requirements and intellectual property provisions
	  ○ certifications, including Patent and Invention Certifications
	  ○ Patent Clearance Records
	  ○ Patent Responsibility Letters
	• copies of records and waivers related to U.S. manufacturing requirements
	
	Note 1: GRS 1.1, item 010 allows for longer retention for business use. RD&D contracts and procurement records are needed for a longer period due to the nature of the contracts.
	
	Note 2: Utilize DOE 1.1, item 040 for procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances that have permanent value.
	
	Note 3: See DOE 1.1 FAQs regarding contract clauses used in RD&D contracts. The list of current DOE Intellectual Property Provisions is available at https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards.
	
	Note 4: There are likely records from this item that are created, maintained, or utilized by multiple organizations to document different business functions. Therefore, some records that are filed within the contract file may also need to be retained under a different schedule. Examples include, but are not limited to, intellectual property, patent, and invention records.		

GENERAL RECORDS SCHEDULE (GRS) 1.1: Financial Management and Reporting Records

This schedule covers records created by Federal agencies in carrying out the work of financial management: procuring goods and services, paying bills, collecting debts, accounting for all financial transactions, and monitoring agencies' net worth. It does not apply to copies of records forwarded to the Department of Treasury or the Office of Management and Budget in fulfillment of reporting requirements. These forwarded copies serve unique business purposes at those agencies and are therefore scheduled separately as records of OMB and Treasury.

This schedule covers financial management records of grants and cooperative agreements but does not cover administrative records of such grants and agreements. These administrative records are covered in GRS 1.2.

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under GRS 1.3.

This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

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.

Note: Contracts that contain DEAR 970.5204-3, Access to and Ownership of Records Clause, the 48 CFR 4, Subpart 4.7 does not apply. The Access to and Ownership requires Government and Contractor-owned records to be scheduled in accordance with the NARA-approved Records Disposition Schedules. Therefore, GRS 1.1 would apply to contractor-owned records in this instance.

Item	Records Description	Disposition Instruction	Disposition Authority
001	**Financial management and reporting administrative records.** Records related to managing financial activities and reporting. Records include: • correspondence • subject files • feeder reports • workload management and assignment records	**Temporary.** Destroy when 3 years old.	DAA-GRS-2016-0013-0001

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.** Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions. **Procuring goods and services** is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. **Paying bills** means disbursements of federal funds for goods and services and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as: • contracts • requisitions • purchase orders • interagency agreements • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office	**Official record held in the office of record.**	**Temporary**. Destroy 6 years after final payment or cancellation. **DOE NOTE:** DOE defines final payment for contracts as final payment AND contract completion documentation to meet the FAR requirements for contract close-out. Final payment is defined as final action for financial and accounting records.	DAA-GRS-2013-0003-0001
011	• memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications • legal and financial instruments such as bond and surety records • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation	**All other copies.** Copies used for administrative or reference purposes.	**Temporary**. ~~Destroy when business use ceases.~~ **DOE NOTE:** Destroy 1 year after final action.	DAA-GRS-2013-0003-0002

Item	Records Description		Disposition Instruction	Disposition Authority

	• vendor tax exemption records
	• invoices
	• leases
	• recurring financial transactions such as utility and communications invoices
	• documentation of contractual administrative requirements submitted by contractors such as status reports
	• correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
	• records of financing employee relocations
	
	Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:
	• records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
	  ○ cash register transaction records
	  ○ credit card and charge cards receipts
	  ○ records documenting deposits
	  ○ records documenting allocation of fees to funds/accounts
	  ○ deposit lists and logs
	  ○ customer orders
	  ○ revolving fund records
	• fee and fine collection records
	• garnishments
	• sale of excess and surplus personal property
	• fee or rate schedules and supporting documentation
	• out-leases of Federal property
	• debt collection files and cash receipts
			DOE NOTE: DOE defines final action for contracts as contract completion and for financial and accounting as period covered by account.	

Item	Records Description		Disposition Instruction	Disposition Authority

	• writeoffs
	• copies of checks
	• payment billing coupons
	• letters from lenders
	• payment records
	• money orders
	• journal vouchers
	• collection schedules
	
	Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:
	• accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes:
	  ○ statements of transactions
	  ○ statements of accountability
	  ○ collection schedules and vouchers
	  ○ disbursement schedules and vouchers
	• vouchers
	• certificates of closed accounts
	• certificates of periodic settlements
	• general funds files
	• general accounting ledgers
	• appropriation, apportionment, and allotment files
	• posting and control files
	• bills of lading			

Item	Records Description	Disposition Instruction	Disposition Authority
	• transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms **Legal citation:** 28 U.S. Code 2401(a) **Note 1**: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA. **Note 2**: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency 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. **Note 3**: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years. **Note 4**: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.		
012	**Bids and proposals neither solicited nor accepted.** Bids and proposals that are both unsolicited and the subject of no further agency action.	**Temporary**. ~~Destroy when no longer required for business use.~~ **DOE NOTE:** Destroy when 1 year old.	DAA-GRS-2016-0001-0001

Item	Records Description	Disposition Instruction	Disposition Authority
020	**Records supporting compilation of agency financial statements and related audit, and all records of all other reports.** Includes records such as: • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports	**Temporary**. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue.	DAA-GRS-2013-0003-0011
030	**Property, plant and equipment (PP&E) and other asset accounting**. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: • purchase orders and contracts • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers	**Temporary**. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement.	DAA-GRS-2013-0003-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.		
040	**Cost accounting for stores, inventory, and materials.** Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as: • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures • cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts • receiving, inspection, and acceptance documentation	**Temporary**. Destroy when 3 years old.	DAA-GRS-2013-0003-0012
050	**Construction contractors' payroll files.** **SUPERSEDED** by DOE 2.4, item 010 for contractor payroll records. ~~Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers~~	**Temporary**. ~~Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.~~	DAA-GRS-2013-0003-0003

Item	Records Description		Disposition Instruction	Disposition Authority
060	**Contract appeals case files**. Records of contract appeals arising under the Contracts Dispute Act. Includes: • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers		**Temporary**. Destroy 1 year after final resolution0.	DAA-GRS-2016-0001-0003
070	**Vendor and bidder information.** Documentation of approved, suspended, and debarred vendors and bidders.	**Records of suspensions and debarments for violation of the Drug-Free Workplace Act.** **DOE NOTE:** Utilize DOE 1.1, Item 050 for Debarment Investigation Case files (specific cases).	**Temporary**. Destroy 5 years after removal from approved status.	DAA-GRS-2016-0001-0004
071		**Records of all other suspensions and debarments and all approved vendors and bidders.** **DOE NOTE:** Utilize DOE 1.1, Item 050 for Debarment Investigation Case files (specific cases).	**Temporary**. Destroy 3 years after removal from approved status.	DAA-GRS-2016-0001-0005

Item	Records Description	Disposition Instruction	Disposition Authority
080	**Administrative claims by or against the United States.** Records of monetary or property claims *by* the United States subject to the Federal Claims Collection Standards, completed or closed by: • payment in full • compromise agreement • termination of collection action • determination that money or property is not owed to the United States • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard • lifting of court order Also, records of monetary claims *against* the United States, completed or closed by: • disallowance in full • allowance in full or in part with final payment awarded • settlement, compromise, or withdrawal • lifting of court order **Legal Citations**: 31 CFR 900-904 28 U.S.C. 2401 28 U.S.C. 2415(a) 31 U.S.C. 3716(c) 31 U.S.C. 3716(e)	**Temporary.** Destroy 7 years after final action.	DAA-GRS-2017-0005-0001

Item	Records Description	Disposition Instruction	Disposition Authority
090	**Government purchase card and travel credit card application and approval records.** Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include: • application for credit card • credit release form • applicant credit report • cardholder agreement • acknowledgement of responsibilities and penalties for misuse • approving official agreement • certificate of appointment (warrant) • card training certificate	**Temporary.** Destroy upon card holder separation or when card is returned to office and destroyed, as appropriate.	DAA-GRS-2018-0003-0001
100	**Small and Disadvantaged Business Utilization records.** Records maintained by offices of Small and Disadvantaged Business Utilization (offices of Small Business Programs in the Department of Defense) established pursuant to the Small Business Act (15 U.S.C. 644(k), as supplemented). Includes: • inquiries or assistance requests from industry or the general public regarding small business contracting, subcontracting, or other funding opportunities • materials negotiating and promoting small business contracting goals • records of outreach events such as workshops, conferences, specialized vendor outreach sessions, and award ceremonies • event evaluations, surveys, and other customer feedback • reviews of proposed agency acquisitions for bundling and small business contracting opportunities • spending management and goals • forecasting and studies • subcontracting and performance reports	**Temporary.** Destroy when 3 years old.	DAA-GRS-2018-0003-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• data reported to and gathered from central reporting systems [*Note: the systems are scheduled by their owners, not the GRS*] • program director's recommendations to contracting officers regarding awards • complaints and responses to them • Small Business Administration requests or recommendations regarding set-aside of contracts or requirements or changes in acquisition strategies • records documenting receipt and referral of unsolicited proposals or small business capability statements containing proprietary or confidential contractor information • communications with the Small Business Administration Enforcement Ombudsman, per Public Law 104-121, section 30(b)(2) • correspondence		

DEPARTMENT OF ENERGY (DOE) 1.2: Grant, Cooperative Agreement and Technology Transfer Records

This schedule covers records created for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by DOE or GRS 1.1, Financial Management and Reporting Records.

This schedule also covers Technology Transfer records, such as Strategic Partnership Project (SPP) (previously known as work for others), Agreements for Commercialization Technology (ACT), and Cooperative Research and Development Agreements (CRADAs). Technology Transfer is performed by DOE or DOE contractor personnel for Federal, State, and local government entities, non-Government/non-profit entities, universities and privately held corporations. This work may not be funded by DOE but is authorized by and administered by DOE.

Note: Refer to GRS 1.2 for all other Grant and Cooperative Agreement records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority

010	**Program Administration Records for Grants, Cooperative Agreements, and Technology Transfer Records**
	
	Policy records documenting the legal establishment, goals, objectives, development, and program implementation for modification and termination of grants, cooperative agreements, and technology transfers records (e.g., Strategic Partnership Project (SPP) (previously known as work for others), Agreements for Commercialization Technology (ACT), and Cooperative Research and Development Agreements (CRADAs)), cost sharing agreements and work for others programs.
	Records include, but are not limited to:
	
	• program policies, plans and procedures
	• program correspondence
	• marketing research records including, but not limited to:
	  ○ written questionnaires
	  ○ phone survey reports
	  ○ financial and product trend analysis
		Temporary. Destroy 10 years after superseded or obsolete.	DAA-0434-2021-0002-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	○ products, services, marketing, and promotional records (newsletters, brochures, catalogs, pamphlets) ○ conference contact lists ○ articles and photos published in national trade journals and magazines ○ customer/consumer referrals ○ client, media, and public mailing listss **Note:** GRS 1.2, item 010 excludes policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. **Exclusion:** Excludes executed agreements for Grants, Cooperative Agreements and Technology Transfers, see item 070.		
020	**Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Projects) Records** Complete site-specific files and project records containing documentation of costs incurred, site specific costs to be tracked by site, activity, and operative unit, and systems which provide sufficient documentation for cost recovery purposes if the requirements are the same. Records include, but are not limited to: • Stuff property records, procurement, and time and attendance records and supporting documentation • compliance documentation pertaining to statutes and regulations that apply to the project • site-specific technical hours spent to complete each pre-remedial product • records as required by 40 CFR 35.6705, and records access requirements described in 40 CFR 31.36(1)(1) and 31.42(e) • financial and programmatic records, supporting documentation, including correspondence, 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	**Temporary.** Destroy 10 years after submission of the final financial status report and obtain written approval from the EPA award official prior to destruction. **Note**: If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten-year period, the	DAA-0434-2020-0007-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	Note: Deviation to GRS 1.2, Item 020, as 40 CFR 35.6700 requires EPA award official approval prior to destruction for CERCLA funded cooperative agreements. **Citations:** **40 CFR *Protection of Environment*:** • 40 CFR 35.6700 *Project Records* • 40 CFR 35.6705 *Records retention* • 40 CFR 31.36(I)(1) • 40 CFR 31.42(e)		records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten-year period, whichever is later.	
030	**Technology Transfer Case Files** • Records from initiation to completion, or termination, including contract length, provisions, articles, clauses for agreement(s) executed by DOE, contractor, and the requesting Federal, State, local, domestic, or private organization. Case file includes, but is not limited to: proposals, including the joint work statement	**Approved by DOE.**	**Temporary.** Destroy 10 years after termination of agreement.	DAA-0434-2021-0002-0003
040	• project planning and justification • start-up reports • subcontract agreements signed between contractor and subcontractor to perform a specific work scope • informal or formal pre-decisional review • performance records documenting financial status, billing reports, project reviews and approvals	**Terminated prior to formal review process or denial.**	**Temporary.** Destroy 5 years after termination or denial.	DAA-0434-2021-0002-0004

	• capability statements; informal or formal, preliminary, or pre-decisional planning documents written reviews and correspondence • statements of work • budget estimates • resource requirements • verification of compliance to applicable requirements • requesting agency or entity information regarding use of DOE facilities and/or contractors • verification of adherence to applicable laws and regulations • statements of no direct competition with domestic or private sector parties • work and funding acceptance records, including cost rate structure, written reimbursement agreement, and other related funding and acceptance documentation • deliverables • correspondence • monthly financial status • billing reports • status reports • technical data and studies • meeting minutes • implementing policies and procedures • non-disclosure agreements • presentation materials			

Item	Records Description	Disposition Instruction	Disposition Authority
	• conflict of interest records • property, equipment, or system records, including disposition **Note**: Utilize DOE 1.1, item 060, which requires a longer retention for Technology transfer records related to Research, Development and Demonstration (RD&D).		
070	**Agreements - Cooperative Research and Development Agreement (CRADA), Collaborative, and Cost-Sharing** Agreements executed by a DOE contractor and an industry partner, following approval by DOE. Contract agreement stipulates financial resources allocated by industry partner for the furtherance of specific research programs on behalf of the industry partner. Records include, but are not limited to: • subcontract agreements signed between contractor and subcontractors to perform a specific work scope, • statement of work • all deliverables, such as the final technical report **Note 1:** Deviation to GRS 1.2, item 030 (Note 2, which includes projects that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances), requires a permanent retention. **Note 2:** A copy of CRADA Final reports must be sent to the DOE Office of Scientific and Technical Information (OSTI) upon completion or termination of the CRADA.	**Permanent**. Transfer to NARA 25 years after completion or termination of agreement.	DAA-0434-2021-0002-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Excludes policy records documenting the legal establishment, goals, objectives, and development of DOE grants, cooperative agreements and technology transfer programs records, see item 010.		

GENERAL RECORDS SCHEDULE (GRS) 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Item	Records Title/Description	Disposition Instruction	Disposition Authority

010	**Grant and cooperative agreement program management records.**
	Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:
	• background files
	  ○ Program Announcements
	  ○ Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices
	  ○ Requests for Proposals
	• application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity)
	• application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity)
		Temporary.
		Destroy 3 years after final action is taken on the file.
			DAA-GRS-2013-0008-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	Note: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records. **DOE NOTE:** See DOE 1.2, item 070. **Exclusion 1:** Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. **DOE NOTE:** Utilize DOE 1.2, item 010 for Program records related to grants, cooperative agreements, CRADAS, and work for others. **Exclusion 2:** Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.			
020	**Grant and cooperative agreement case files.** **DOE NOTE:** Utilize DOE 1.2, item 020 for CERCLA Funded Cooperative Agreement Records. Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to: • applications, forms, and budget documents • evaluation reports, panelist comments, review ratings or scores • Notice of Grant Award or equivalent and grant terms and conditions • state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and	**Successful applications.** **Note**: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records. **Exclusion**: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.	**Temporary.** Destroy 10 years after final action is taken on file~~.~~	DAA-GRS-2013-0008-0001

Item	Records Title/Description		Disposition Instruction	Disposition Authority
021	regulations in effect with respect to the period for which the State receives funding) • funding amendment requests and actions, if any • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation • summary reports and the like **Legal citation:** 31 U.S.C. 3731(b), False Claims Act	**Unsuccessful applications.**	**Temporary.** Destroy 3 years after final action is taken on file~~.~~	DAA-GRS-2013-0008-0006
022		**All other copies.** Copies used for administrative or reference purposes.	**Temporary.** ~~Destroy when business use ceases.~~ **DOE NOTE:** Destroy when 1 year old.	DAA-GRS-2013-0008-0002

Item	Records Title/Description	Disposition Instruction	Disposition Authority
030	**Final grant and cooperative agreement products or deliverables.** **DOE NOTE:** Utilize DOE 1.2, item 070 for grant and cooperative agreements that warrant permanent retention. The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a: • report, study, or publication • conference paper and/or presentation • book, journal article, or monograph • training material, educational aid, or curriculum content • plan, process, or analysis • database or dataset • audio, video, or still photography • website content or other Internet component • documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype) • software or computer code **Note 1**: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes. **Note 2:** If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.	**Temporary**. ~~Destroy when business use ceases.~~ **DOE NOTE:** Destroy when 1 year old.	DAA-GRS-2013-0008-0003

DEPARTMENT OF ENERGY (DOE) 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period covered by the agency's appropriations.

Note: Refer to DOE and GRS 1.1 (Financial Management and Reporting Records) for related records and GRS 1.3 for all other budgeting records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Budget Policy Records (Headquarters)** 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.	**Policy and Procedures** Records documenting agency policy and procedures governing budget administration and the process of developing those policies and procedures.	**Permanent.** Transfer to NARA 25 years after end of fiscal year.	DAA-0434-2021-0003-0001
015	**Note:** Budget policy or correspondence records outside of headquarters, utilize GRS 1.3, item 050. **Note 2:** Utilize GRS 1.3, item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal Year 2017 and forward.	**Correspondence** Correspondence relating to the development of policies and procedures for the budgeting process.	**Permanent.** Transfer to NARA 25 years after end of fiscal year.	DAA-0434-2021-0003-0002

Item	Records Description		Disposition Instruction	Disposition Authority
020	**Budget formulation, estimates, justification, and submission records, Prior to fiscal year 2017** Budget formulation, estimates, justifications, and submission records, which include but are not limited to: • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called "Green Books") • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation **Note:** Utilize GRS 1.3, Item 010 for Budget formulation, estimates, justification, and submission records for Fiscal Year 2017 and forward.	**Records at Headquarters**	**Permanent.** Transfer to NARA 25 years after end of fiscal year.	DAA-0434-2021-0003-0003
025		**Project records at field offices/ sites (including contractors)**	**Temporary.** Destroy 6 years after project completion.	DAA-0434-2021-0003-0004
030	**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.		**Temporary.** Destroy 10 years after project completion.	DAA-0434-2021-0003-0005
040	**Project Control / Project Management Records** Records that support the organizing, planning, and tracking of projects during the course of project execution, project performance reporting, records documenting assignments, progress and completion of projects.		**Temporary.** Destroy 10 years after project completion, closure or	DAA-0434-2021-0003-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	Records include, but are not limited to: • fiscal year work plans • integrated planning, accountability, and reporting system (IPABS) • project assessment and reporting (PARS) • monthly project reviews (MPR) • quarterly project reviews (QPR) • project review files and associated corrective actions • critical decision package(s) and approvals • project execution plans (PEP) • integrated project team (IPT) charter • project acquisition strategy • tailoring strategy • risk management plan • initial and final project close out reports • earned value management system (EVMS) surveillance reports and corrective action plans • project status reports • correspondence **Note**: Specific project records may also be maintained within the Environmental Case File.	key performance parameters are met.	

GENERAL RECORDS SCHEDULE (GRS) 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.

Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau- or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.

Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.

This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It *does* apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Records created and held by offices that prepare an agency's budget proposal for the White House			
010	**Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.** **DOE NOTE:** Utilize DOE 1.3, item 010/015 for Budget Policy Records (Headquarters) or DOE 1.3, item 020/025 for Budget formulation, estimates, justification, and submission records, prior to fiscal year 2017. Includes records such as: • guidance and briefing materials • agency or department copy of final submission to OMB and Congress	**Temporary**. Destroy 6 years after close of fiscal year.	DAA-GRS-2015-0006-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	• narrative statements justifying or defending estimates (sometimes called "Green Books") • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation **Exclusion:** This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.		
020	**Budget execution records**. Records offices create and receive in the course of implementing and tracking an appropriation. Includes: • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews • workforce authorization and distribution • continuing resolution guidance • calculations • impact statements • carryover requests • related records **Exclusion:** Formal budget reports are covered in items 030 and 031.	**Temporary**. Destroy 6 years after close of fiscal year, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2015-0006-0002

Item	Records Description		Disposition Instruction	Disposition Authority
030	**Budget reports.** Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.	**Full fiscal-year reports.**	**Temporary.** Destroy when 5 years old.	DAA-GRS-2015-0006-0003
031		**All other reports.**	**Temporary.** Destroy when 3 years old.	DAA-GRS-2015-0006-0004
Records any office creates and holds				
040	**Budget preparation background records**. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.	**Records held in office responsible for preparing agency's budget proposal to the White House.**	**Temporary**. Destroy 2 years after close of the fiscal year to which the records relate.	DAA-GRS-2015-0006-0005
041		**Records held at all other offices.**	**Temporary**. Destroy when 2 years old.	DAA-GRS-2015-0006-0006
050	**Budget administration records**. Records documenting administration of budget office responsibilities. Includes: • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends work planning documentation • cost structure and accounting code lists • feeder and statistical reports • related correspondence		**Temporary**. Destroy when 3 years old.	DAA-GRS-2015-0006-0007

DEPARTMENT OF ENERGY (DOE) 2.1: Employee Acquisition Records

Records created or received in the process of hiring employees for Federal civilian, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers the academic/outreach program and job or position descriptions and contractor job classification records.

Note: Refer to GRS 2.1 for all other employee acquisition records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
010 EPI	**Contractor Employee Job Classification Manuals** Records describing tasks associated with **all** jobs (administrative, technical, safety, operations, laboratory, environmental, trades, etc.) and reflect the procedures and training required to accomplish them.		**Temporary.** Destroy 75 years after superseded or obsolete.	DAA-0434-2020-0009-0001
020	**Position Descriptions** Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities. **Note**: GRS 2.1, item 020, authorizes use of longer retention; records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.		**Temporary.** Destroy 75 years after position is superseded, obsolete, or position abolished.	DAA-GRS-2014-0002-0002
030	**Political Appointment (Schedule C) Records - Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS)** Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C.	**Appointees** Records (except ethics pledges and waivers) related to appointees. **Note**: File all ethics pledges and waivers of appointees in the eOPF.	**Temporary.** Destroy immediately at the end of the presidential administration for which the individual was hired.	DAA-0434-2020-0009-0002

Item	Records Description		Disposition Instruction	Disposition Authority
040	Includes: • applications for employment • resumes • individuals' background information • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees **Note:** Exclusion to GRS 2.1, item 100 and 102, which requires an agency schedule for records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS).	**Non-Appointees** Records related to non-appointees that were up for consideration, but not appointed.	**Temporary.** Destroy when 1 year old.	DAA-0434-2020-0009-0003
050	**Academic/Outreach Programs** Records created to document academic/educational outreach program across the DOE complex. These programs include transactions, communications, tracking and reporting between the Department, 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 it contractors. Programs include, but are not limited to internships, fellowships, scholarships, scholastic tournaments (e.g., science Bowl), tutoring programs, talent searches and conferences (e.g., Young Entrepreneurs Conference), technical societies (e.g., Junior Engineering Technical Society (JETS)) opportunities for all disciplines, related to generating	**Academic/Outreach Program Records** Academic/Outreach Program development and management records for all disciplines. Records include, but are not limited to: • policies, plans and procedures • correspondence • tracking of impacts of educational programs on the people involved and for measuring the success rate of each program • reports on overall program	**Temporary.** Destroy 10 years after superseded/ obsolete or when 10 years old, whichever is longer.	DAA-0434-2020-0009-0004

Item	Records Description		Disposition Instruction	Disposition Authority

055	and tracking interest in careers with DOE and its contractors.
	
	Note 1: Utilize GRS 2.1, items 120 or 130 for special hiring authority program records.
	
	Note 2: Recruitment records are scheduled under GRS 2.1, item 180.
		Academic/Outreach Program Administrative and Tracking Records
		
		Academic/Outreach Program administrative, tracking, implementation and reporting records for all disciplines. Records include but are not limited to:
		
		• Memorandum of Understanding with schools, colleges, grants, scholarships and budget information
		• contact information with academic organizations and community groups
		• scholastic tournaments (e.g., science Bowl),
		  ○ correspondence
		  ○ reports
		  ○ awards
		  ○ final results
			Temporary. Destroy 6 years after superseded/ obsolete or when 6 years old, whichever is longer.	DAA-0434-2020-0009-0005

060		**Intern, Fellows and Scholar Records** General administrative records that document the hiring and management of interns, fellows, scholars or other similar positions. Records include but are not limited to: • development • summaries / progress reports	**Temporary.** Destroy 2 years after individual's participation in program ends.	DAA-0434-2020-0009-0006

Item	Records Description		Disposition Instruction	Disposition Authority
		• correspondence **Note:** See GRS 2.1 for hiring records of Federal or Contractor employees, which excludes interns.		

GENERAL RECORDS SCHEDULE (GRS) 2.1: Employee Acquisition Records

This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies' employee selection processes. Its procedural rules and best practices are spelled out in its "Delegated Examining Operations Handbook." This schedule reflects OPM's determinations on appropriate records retention periods.

This schedule applies only to civilian (FEDERAL) employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore, these records are not covered in the GRS.

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.

Note: Contracts that contain DEAR 970.5204-3, Access and Ownership of Records Clause, identifies records that are Contractor-owned and those that are Government owned (Federal records) also requires the contractor to maintain all records, created/received in performance of the contract, regardless of ownership in accordance with NARA-approved Records Disposition Schedules. Therefore, this schedule would apply to records created/maintained by the contractor in performance of its contract. For contracts that do not contain the clause, these schedules would only apply to Federal records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Classification standards. (FEDERAL ONLY)** **DOE NOTE:** Utilize DOE 2.1, item 010, Contractor Employee Job Classification Manuals for contractors. Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval. **Exclusion**: OPM's case files on classification standards are not covered by this item.	**Temporary**. Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate).	DAA-GRS-2014-0002-0001

Item	Records Description		Disposition Instruction	Disposition Authority
020	**Position descriptions.** Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.	~~**Official record copy of position description.**~~ ~~Copy held at Human Resources office.~~ **SUPERSEDED** by DOE 2.1, item 020, Position Descriptions.	**Temporary**. ~~Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.~~	~~DAA-GRS-2014-0002-0002~~
021		**Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor's personnel file.** **DOE NOTE:** For Federal employees, utilize DOE 2.2, item 015, GRS 2.2, item 041, or GRS 2.2, item 080 per OPM recordkeeping requirements. For Contractors, utilize DOE 2.2, item 030.	Destroy in accordance with disposal instructions for associated file.	
022		**All other related records.** Includes: • case file at position's program office • background material in Human Resources case file • other copies of records in item 020	**Temporary**. Destroy when position description is final.	DAA-GRS-2014-0002-0003

Item	Records Description		Disposition Instruction	Disposition Authority
030	**Position reviews and classification appeals. (FEDERAL ONLY)** Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits. **Exclusion**: OPM's corresponding case file is not covered by this item.		**Temporary**. Destroy 3 years after final decision.	DAA-GRS-2014-0002-0004
040	**Certificates of classification. (FEDERAL ONLY)** Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal. **Exclusion**: OPM's file is not covered by this item.		**Temporary**. Destroy 2 years after position is abolished or description is superseded.	DAA-GRS-2014-0002-0005
050	**Job vacancy case files.** Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes: • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings • assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records	**Records of one-time competitive and Senior Executive Service announcements/ selections.**	**Temporary**. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2017-0011-0001
051 EPI		**Records of standing register competitive files for multiple**	**Temporary**. Destroy 2 years after termination of register.	DAA-GRS-2017-0011-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation **Legal citation:** 5 CFR 335.103 **positions filled over a period of time.**		
060	**Job application packages**. Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes: • application • resume • supplemental forms • other attachments **Note**: This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files (Items 050 and 051).	**Temporary**. Destroy 1 year after date of submission.	DAA-GRS-2014-0002-0011
070	**Case files on lost or exposed job test materials**. Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.	**Temporary**. Destroy 5 years after date of final report.	DAA-GRS-2014-0002-0012
080	**Requests for non-competitive personnel action**. **(FEDERAL ONLY)** Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.	**Temporary**. Destroy 1 year after approval is granted or denied.	DAA-GRS-2014-0002-0013
090	**Interview records.** Case files related to filling job vacancies, held by hiring official and interview panel members. Includes: • copies of records in the job vacancy case file (item 050 and 051) • notes of interviews with selected and non-selected candidates • reference check documentation	**Temporary**. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement	DAA-GRS-2014-0002-0008

Item	Records Description		Disposition Instruction	Disposition Authority
	Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion		of any associated litigation, whichever is later.	
100	**Political appointment (Schedule C) records. (FEDERAL ONLY)** Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes: • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees	**Records (except ethics pledges and waivers) related to appointees.** **DOE NOTE:** Utilize DOE 2.1, item 030 for Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Records – Appointees.	**Temporary**. Destroy after separation.	DAA-GRS-2014-0002-0014
101	**Exclusion:** Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.	**Ethics pledges and waivers of appointees.**	File in appointee's Official Personnel File, per Executive Order 13490.	

Item	Records Description		Disposition Instruction	Disposition Authority
102	**Legal authorities:** 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.	**Records related to non-appointees.** **DOE NOTE:** Utilize DOE 2.1, item 040 for Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Records – Non-appointees.	**Temporary**. Destroy 1 year after consideration of the candidate ends.	DAA-GRS-2014-0002-0015
110	**Excepted service appointment records. (FEDERAL ONLY)** Records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate): • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance	**Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).**	**Temporary**. Destroy 5 years after candidate enters on duty.	DAA-GRS-2014-0002-0018
111	**Note:** Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it. **Legal authorities:** 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.	**Case files related to all other appointees.**	**Temporary**. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.	DAA-GRS-2014-0002-0019

Item	Records Description			Disposition Instruction	Disposition Authority
120	**Special hiring authority program records. (FEDERAL ONLY)** Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.			**Temporary**. Destroy 2 years after hiring authority closes.	DAA-GRS-2014-0002-0016
130	**Records related to individual employees hired under special temporary authority. (FEDERAL ONLY)** Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.			**Temporary**. Destroy 2 years after employee is converted to a permanent position or leaves a program.	DAA-GRS-2014-0002-0017
140	**Pre-appointment files.** Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	**Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions.** Included are forms in the SF-85 family, finger print charts, and related correspondence.		Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.	
141		**Records appropriate for inclusion in OPF**. Such as designation of beneficiary, life insurance election, and health benefits registration.	**Records concerning prospective employees who enter on duty.**	Forward to appropriate human resources office to include in OPF after employee enters on duty.	
142			**Records concerning prospective employees who do not enter on duty.**	**Temporary**. Destroy 1 year after prospective employee is no longer a candidate.	DAA-GRS-2014-0002-0009
143		**Copies of records included in Job vacancy case file (items 050 or 051).**		**Temporary**. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010

Item	Records Description		Disposition Instruction	Disposition Authority
150 EPI	**Records of delegation of authority for examination and certification. (FEDERAL ONLY)** Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment. **Exclusion**: OPM's records are not covered by this item.		**Temporary**. Destroy 3 years after agreement terminates	DAA-GRS-2014-0002-0021
160	**Delegated authority audits. (FEDERAL ONLY)** Reports of delegated examining operations audit delivered to the audited agency. **Exclusion**: OPM's records are not covered by this item.		**Temporary**. Destroy when 3 years old.	DAA-GRS-2014-0002-0022
171	**Adverse impact files**. Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures. Includes records documenting: • number of applicants by sex, race, and national origin • number of people hired, promoted, and terminated, by sex, race, and national origin • selection procedures and their validity	**Records revealing no adverse impact.**	**Temporary**. Destroy when 3 years old.	DAA-GRS-2018-0008-0001
172		**Records revealing an adverse impact**. **Legal citation:** 29 CFR 1607.15A(2)(b)	**Temporary**. Destroy 2 years after eliminating the adverse impact.	DAA-GRS-2018-0008-0002

Item	Records Description	Disposition Instruction	Disposition Authority
180	**Recruitment records**. Records documenting agency in-person and on-line recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes: • records documenting planning and logistics of individual recruitment events • record copy of advertisement and materials for distribution (see Exclusion 2) • contact information and interest areas collected from potential job candidates • recruitment event reports • correspondence with prospective candidates **Exclusion 1**: Military recruitment advertising records must be scheduled by military establishments. **Exclusion 2**: Recruitment posters must be scheduled by agencies.	**Temporary**. Destroy when 1 year old.	DAA-GRS-2018-0008-0003

DEPARTMENT OF ENERGY (DOE) 2.2: Employee Management Records

Records created or received while carrying out the work of civilian (Federal) and contractor employee management: managing employee performance, creating, and maintaining personnel and workforce planning records.

Note: Refer to GRS 2.2 for all records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010 EPI	**Employee Cards – Legacy Records ONLY** Employee Cards / Service Record Cards (Standard Form (SF) 7 or equivalent) for employee separations, transfers or for informational purposes outside personnel offices. These forms are legacy records only as the form(s) became obsolete after December 31, 1994. **Note**: Employee cards are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	**Temporary.** Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0010-0001
015	**Official Personnel Folder (OPF)/electronic OPF (eOPF)** The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history. **Long-term records.** Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF. **Exclusion:** OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records. **Note 1:** For transferred employees, see Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions. **Note 2:** Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.	**Temporary.** Destroy when survivor or retirement claims are adjudicated or when records are 250 years old, whichever is longer.	DAA-GRS-2017-0007-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	Note 3: GRS 2.2, Item 040, authorizes use of longer retention; records are needed longer to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.		
020	**Personnel Office Correspondence (Contractor)** Administrative and correspondence type files relating to general administration and operation of the Contractors personnel functions and such other records not maintained or described elsewhere in this schedule. **Exclusion**: Excludes any correspondence pertaining to or required to be maintained in the Contract File.	**Temporary.** Destroy when 6 years old.	DAA-0434-2020-0010-0002
030 **EPI**	**Official Personnel Files (Contractor)** The official personnel file for contractor employees, which documents an individual's employment history while performing work at a DOE facility, a facility under DOE management, and/or under a DOE contract. Records may include, but are not limited: • job description(s) • resume • job application • background investigation • personnel and payroll actions • life and health coverages • military service documents • incentive awards and commendations • performance evaluations • employment agreements • recruitment, relocation and retention incentive packages **Note**: Contractor personnel records are needed longer to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	**Temporary.** Destroy 250 years after employee separation from DOE Contract.	DAA-0434-2020-0010-0003

Item	Records Description	Disposition Instruction	Disposition Authority
040	**Employee Incentive Award Records (Federal)** Employee awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum special act awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes department-level awards and correspondence about awards from other Federal agencies or non-Federal organizations and to former employees. **Note 1:** Records are needed longer to support the Office of Inspector General's (OIG) mission of preventing fraud, waste, and abuse in DOE programs and operations. **Note 2:** GRS 2.2, item 030 excludes department-level awards, requiring an agency-specific schedule. Utilize GRS 2.2, item 030 for nonmonetary items conferred in connection with informal recognition awards of $50.00 or less. **Note 3:** Approved cash and time off award SF50s (or similar) are maintained in the Official Personnel Folder (OPF)/electronic OPF (eOPF) (DOE 2.2, item 015).	**Temporary.** Destroy when 10 years old.	DAA-434-2020-0010-0004
050	**Employee Performance File System Records – Presidential Appointees** Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Performance records for presidential appointees. **Note**: Exclusion to GRS 2.2, items 070, 071, 072 and 073, which requires performance records of presidential appointees to have an agency schedule.	**Temporary.** Destroy 7 years after employee separation.	DAA-0434-2020-0010-0005

GENERAL RECORDS SCHEDULE (GRS) 2.2: Employee Management Records

This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

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.

Note: Contracts that contain DEAR 970.5204-3, Access and Ownership of Records Clause, identifies records that are Contractor-owned and those that are Government owned (Federal records) and requires the contractor to maintain all records, created/received in performance of the contract, regardless of ownership in accordance with NARA-approved Records Disposition Schedules. Therefore, this schedule would apply to records created/maintained by the contractor in performance of its contract. For contracts that do not contain the clause, these schedules would only apply to Federal records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Employee management administrative records. (FEDERAL ONLY)** **DOE NOTE:** Contractors utilize DOE 2.2, item 020 Personnel Office Correspondence. Records on routine office program support, administration, and human resources operations. Includes: • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders **Exclusion:** Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.	**Temporary.** Destroy when 3 years old.	DAA-GRS-2017-0007-0001

Item	Records Description	Disposition Instruction	Disposition Authority
020	**Workforce and succession planning records. (FEDERAL ONLY)** **DOE NOTE:** Contractors utilize DOE 2.2, item 020 Personnel Office Correspondence. Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes: • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations **Exclusion:** Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.	**Temporary**. Destroy 3 years after issuing each new plan.	DAA-GRS-2017-0007-0002
030	**Employee incentive award records. (FEDERAL ONLY)** **DOE NOTE:** Utilize: • GRS 2.2, item 030 Employee incentive award records (Federal) for nonmonetary items conferred in connection with informal recognition of awards of $50.-00 or less. • DOE 2.2, item 040 Employee Incentive Awards (Federal) for records not maintained in the Office Personnel Folder (OPF)/electric OPF (eOPF). • DOE 2.2, item 030 Official Contractor Personnel File for Employee Incentive Awards (Contractors). Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees. **Exclusion:** Records of Department-level awards require agency-specific schedules.	**Temporary**. Destroy 2 years after final action.	DAA-GRS-2023-0002-0001

Item	Records Description		Disposition Instruction	Disposition Authority
040	**Official Personnel Folder (OPF)/electronic OPF (eOPF).** **(FEDERAL ONLY)** The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history. **Exclusion:** Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule. **Note 1:** For transferred employees, see Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions. **Note 2:** Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.	**Long-term records.** ~~Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.~~ ~~**Exclusion:** OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.~~ **SUPERSEDED** by: Federal – utilize DOE 2.2, item 015 Official Personnel Folder (OPF) / electronic OPF (eOPF). **Contractor** – Utilize DOE 2.2, item 030 Official Contractor Personnel File.	**Temporary.** ~~Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.~~	~~DAA-GRS-2017-0007-0004~~
041		**Short-term records.** Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF. **Exclusion:** USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.	**Temporary.** Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.	DAA-GRS-2017-0007-0005
050	**Notifications of personnel actions.** **(FEDERAL ONLY)** Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices. **Exclusion:** SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.		**Temporary.** ~~Destroy when business use ceases.~~ **DOE NOTE:** Destroy when 3 years old.	DAA-GRS-2017-0007-0006

Item	Records Description		Disposition Instruction	Disposition Authority
060	**Employment eligibility verification records.** Employment Eligibility Verification form I-9 and any supporting documentation.		**Temporary**. Destroy 3 years after employee separates from service or transfers to another agency.	DAA-GRS-2017-0007-0007
070	**Employee performance file system records.** **(FEDERAL ONLY)** Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. **Exclusion:** Performance records of presidential appointees are not covered by the GRS.	**Acceptable performance appraisals of non-senior executive service employees.** Performance records for employees as defined in 5 U.S.C. 4301(2)). **Exclusion:** Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. **Legal citation:** 5 CFR Part 293.404	**Temporary.** Destroy no sooner than 4 years after date of appraisal.	DAA-GRS-2017-0007-0008
071		**Unacceptable performance appraisals of non-senior executive service employees.** Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents. **Legal citations:** 5 U.S.C. section 4303(d) and 5 CFR Part 293.404	**Temporary.** Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0009

Item	Records Description		Disposition Instruction	Disposition Authority
072	Such records must be scheduled by submitting an agency-specific schedule to NARA.	**Records of senior executive service employees.** Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards. **Exclusion:** Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. **Legal citation:** 5 CFR Part 293.404	**Temporary.** Destroy no sooner than 5 years after date of appraisal.	DAA-GRS-2017-0007-0010
073		**Performance records superseded through an administrative, judicial, or quasi-judicial procedure.** Superseded performance records of both non-senior executive service employees and senior executive service employees. **Legal citation:** 5 CFR Part 293.404	**Temporary.** Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0011

Item	Records Description		Disposition Instruction	Disposition Authority
080	**Supervisors' personnel files.** Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files. **Exclusion 1:** Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records. **Exclusion 2:** Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.		**Temporary**. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.	DAA-GRS-2017-0007-0012
090	**Records related to official passports.** The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government. **Exclusion:** Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.	**Application records.** Records related to administering the application or renewal of official passports and visas, including: • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations	**Temporary**. Destroy 3 years after submission.	DAA-GRS-2023-0002-0002

Item	Records Description		Disposition Instruction	Disposition Authority
091		**Official passport registers.** Registers and lists of agency personnel who have official passports.	**Temporary.** Destroy when superseded or obsolete.	DAA-GRS-2017-0007-0014
092		**Official passports of transferred or separated agency personnel.**	Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.	None; filing instruction only.
100	**Volunteer service program administrative records.** Records documenting routine administration, internal procedures, and general activities, including: • general correspondence • annual reports on volunteer activities		**Temporary.** Destroy when 3 years old.	DAA-GRS-2017-0007-0015
110	**Volunteer service case files.** **(FEDERAL ONLY)** Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include: • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation	**Case files on volunteers.** **Exclusion:** Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.	**Temporary.** Destroy 4 years after volunteer departs service.	DAA-GRS-2017-0007-0016
111	• correspondence documenting inclusive dates of service and total hours or days worked	**Case files on individuals whose applications were rejected or withdrawn.**	**Temporary.** Destroy when 1 year old.	DAA-GRS-2017-0007-0017

Item	Records Description	Disposition Instruction	Disposition Authority
120	**Skill set records.** Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers. **Exclusion:** Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.	**Temporary.** ~~Destroy when business use ceases.~~ **DOE NOTE:** Destroy when 2 years old.	DAA-GRS-2017-0007-0018

DEPARTMENT OF ENERGY (DOE) 2.3: Employee Relations Records

Records documenting activities related to managing relationships between the DOE/DOE contractor, its employees, its unions, and bargaining units. Records include the apprenticeship program. The records are those maintained by offices dealing with employee relations functions, regardless of office placement in organizational structure.

Note: Refer to GRS 2.3 for all other Employee Relations records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Apprenticeship Program Records** Apprenticeship program records include but are not limited to: • policies and procedures • reporting requirements • tracking participation • compliance documents Apprenticeship employee records on individuals that have successfully completed all aspect of the program or those that terminate or are terminated prior to completion of the program. Records include, but are not limited to: • external training classroom • practical instruction records • reports of progress • correspondence • testing and evaluations • other pertinent information developed during the apprenticeship term **Citation** 29 CFR *Labor*	**Temporary.** Destroy 6 years after collective bargaining agreement (CBA) is no longer in effect OR after final payment is made to the contract in which the CBA applies, whichever is longer.	DAA-0434-2020-0012-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	• 29 CFR 1602.20 *Recordkeeping and Reporting Requirements under Title VII, the ADA and GINA – Apprenticeship Recordkeeping – Records to be made or kept* • 29 CFR 1602.21 *Recordkeeping and Reporting Requirements under Title VII, the ADA and GINA – Apprenticeship Recordkeeping – Preservation of records made or kept*		
020	**Labor Management Relations Agreement Negotiation and Administrative Records (Contractor)** Records relating to the negotiated agreements and general relationship between contractor management, employee unions and other groups. Records include, but are not limited to: • negotiation agreements • collective bargaining agreement • requests to bargain • bargaining session records/notes • correspondence • reports • seniority rosters • union organizing drives • meeting minutes **Note:** Deviation to GRS 2.3, item 130, which does not apply to contractor records.	**Temporary.** Destroy 6 years after final payment is made to the contract in which the record applies.	DAA-0434-2020-0012-0002
030	**Labor Arbitration (negotiated grievance procedure) Case Records (Contractor)** Case files for labor arbitration related to the Collective Bargaining Agreement (CBA). Records include but are not limited to: Labor Arbitration Records • workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration **Note**: Deviation to GRS 2.3, item 090, which does not apply to contractor records.	**Temporary.** Destroy 6 years after final payment is made to the contract in which the CBA applies.	DAA-0434-2020-0012-0003

Item	Records Description	Disposition Instruction	Disposition Authority

040	**National Labor Relations Board (NLRB) Case Files (Contractor)**
	
	Records of cases filed under provisions under the National Labor Relations Act concerning representation, unfair labor practices, and review of arbitration awards. Records may include, but are not limited to:
	
	• records of representation proceedings
	  ○ petitions, notice of petitions, cross-petitions, motions
	  ○ records documenting adequate showing of interest
	  ○ challenges to the status of a labor organization
	  ○ records of meetings, hearings, and prehearing conferences
	  ○ statements of witnesses
	  ○ dismissals of petitions
	  ○ decisions, orders
	  ○ certification or decertification
	• records of unfair labor practices proceedings
	  ○ charges/allegations of unfair labor practices, amendments, and supporting evidence
	  ○ records of charges/allegations investigations, including subpoenas
	  ○ motions, responses, stipulations
	  ○ records of hearings
	  ○ records of decisions and settlements
	• records of review of arbitration awards
	• reports and documentation on NLRB charges and resolutions/outcomes
	
	Note: Deviation to GRS 2.3, item 100, which does not apply to contractor records where the NLRB would apply.
		Temporary. Destroy 6 years after final payment is made to the contract.	DAA-0434-2020-0012-0004

GENERAL RECORDS SCHEDULE (GRS) 2.3: Employee Relations Records

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. Additional copies of these records, when held by supervisors or managers in program offices, are supervisory files covered under GRS 2.2, item 080.

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
010	**Employee relations programs' administrative records.** Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes: • program-related correspondence • copies of statutes, regulations, directives, and instructions • timetables and guidelines for processing case files and appealing decisions • planning records • meeting minutes • program evaluations and reports to senior management • statistical records tracking program participation and participants • records tracking programs' compliance with relevant Executive Orders and other requirements • records arranging for outside mediator and facilitator involvement in case settlements **Exclusions:** 1. Records specific to individual cases (covered by items 020 to 111 in this schedule). 2. Reports to external oversight agencies (covered by GRS 5.7, item 050). 3. Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).	**Temporary**. Destroy when 3 years old, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2022-0001-0001

Item	Records Description	Disposition Instruction	Disposition Authority
020	**Reasonable or religious accommodation case files**. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for religious accommodation, reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes: • request, approvals and denials • notice of procedures for informal dispute resolution or appeal processes • forms, correspondence, records of oral conversations • policy guidance documents • medical records • supporting notes and documentation	**Temporary**. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2022-0001-0002
030	**Dislocated worker program case files**. Includes applications, registrations, supporting documentation.	**Temporary.** Destroy 1 year after employee eligibility for program expires, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0003
040	**Telework/alternate worksite agreements**. Telework and alternate worksite agreements between the agency and employee and other related documentation, such as questionnaires.	**Temporary.** Destroy when superseded or obsolete~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2023-0003-0001
050	**Harassment complaint case files**. Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes: • complaint, correspondence, notes, forms, and supporting material • records of investigation, statements of witnesses • determination as to whether harassment occurred	**Temporary.** Destroy 7 years after close of case, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	• documentation of preventive or corrective measures **Note:** If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.		
060	**Administrative grievance, disciplinary, performance-based, and adverse action case files.** • Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes: ○ statement of grievance, supporting documentation, and evidence ○ statements of witnesses, records of interviews and hearings ○ examiner's findings, recommendations, decisions • Records of disciplinary and performance-based actions against employees. Includes: ○ performance appraisal, performance improvement plan, and supporting documents ○ recommended action, employee's reply ○ records of hearings and decisions ○ records of appeals • Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes: ○ proposed adverse action, employee's reply ○ statements of witnesses ○ records of hearings and decisions ○ letters of reprimand ○ records of appeals **Note 1**: Letter of reprimand filed in an employee's Official Personnel File is scheduled by GRS 2.2, item 041. **Note 2**: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.	**Temporary.** ~~Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.~~ **DOE Business Use:** Destroy 4 years after case closed or final settlement on appeal.	DAA-GRS-2018-0002-0006

Item	Records Description		Disposition Instruction	Disposition Authority
070	**Alternative Dispute Resolution (ADR) case files.** Includes: • agreements to use ADR • records of intake and process • records of settlement or discontinuance of case • parties' written evaluations of the process	**Informal process.** Records not associated with another employee dispute, complaint or grievance process.	**Temporary**. Destroy 3 years after case is closed, ~~but longer disposition is authorized if required for business use.~~	DAA-GRS-2018-0002-0007
071		**Formal process**. Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.	**Temporary.** Destroy 7 years after case is closed, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0008
080	**Merit Systems Protection Board (MSPB) case files. (FEDERAL ONLY)** Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include: • petitions for appeal, agencies' responses to petitions • hearing notices, transcripts, testimony, briefs, and exhibits • MSPB initial decisions • petitions for review, responses of opposing party to petition • orders granting or denying intervention • MSPB final opinions, orders, and decisions **Exclusion**: Corresponding case files at MSPB (must be scheduled by MSPB).		**Temporary.** Destroy 3 years after final resolution of case, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0009
090	**Labor arbitration (negotiated grievance procedure) case records. (FEDERAL ONLY)** Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration. **Utilize DOE 2.3, item 030 for Contractor Labor Arbitration Case Files** **DOE Privacy Act System of Record – DOE-1 – Grievance Records: Current and former DOE employees including National Nuclear Security Administration (NNSA) employees, consultants, board members, and applicants.**		**Temporary.** Destroy 3 years after close of case, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0010

Item	Records Description	Disposition Instruction	Disposition Authority
100	**Federal Labor Relations Authority (FLRA) case files. (FEDERAL ONLY)** Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include: • records of representation proceedings ○ petitions, notice of petitions, cross-petitions, motions ○ records documenting adequate showing of interest ○ challenges to the status of a labor organization ○ records of meetings, hearings, and prehearing conferences ○ statements of witnesses ○ dismissals of petitions ○ decisions, orders • records of unfair labor practices proceedings ○ charges/allegations of unfair labor practices, amendments, and supporting evidence ○ records of charges/allegations investigation, including subpoenas ○ complaints by FLRA Regional Director ○ motions, responses, stipulations ○ records of hearings ○ records of decisions and settlements • records of negotiability proceedings ○ petitions for review ○ records of post-petition conferences ○ agencies' statements of position, unions' responses, and agencies' counter-responses ○ records of post-petition conferences ○ decisions, orders • records of review of arbitration awards ○ exceptions to arbitrators' award rendered pursuant to arbitrations ○ oppositions to exceptions ○ determination of grounds for review ○ decisions, orders **Exclusion**: Corresponding case files at FLRA (must be scheduled by FLRA). **Utilize DOE 2.3, item 040 for unfair labor practices elevated to the National Labor Relations Board (NLRB)**	**Temporary.** Destroy 3 years after final resolution of case, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0011

Item	Records Description		Disposition Instruction	Disposition Authority
110	**EEO discrimination complaint case files**. Includes: • intake sheet • summary report • notes • supporting documentation • correspondence	**Informal process.** Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.	**Temporary**. Destroy 3 years after resolution of case, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0012
111		**Formal process**. Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings. **Exclusion**: Corresponding case files at EEOC (must be scheduled by EEOC).	**Temporary.** Destroy 7 years after resolution of case, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0013
120	**Records documenting contractor compliance with EEO regulations.** Reviews, background documents, and correspondence relating to contractor employment practices.		**Temporary.** Destroy when 7 years old, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2018-0002-0014
130	**Labor management relations agreement negotiation records. (FEDERAL ONLY)** Records relating to negotiations with labor unions. Includes: • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence, memoranda, forms • reports • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups **Utilize DOE 2.3, item 020 for Contractor Labor Management Relations Agreement Negotiation Records**		**Temporary.** Destroy 5 years after expiration of agreement or final resolution of case, as appropriate~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2018-0002-0015

DEPARTMENT OF ENERGY (DOE) 2.4: Employee Compensation and Benefits Records

Records created or received while conducting payroll functions and while managing specific programs that offer employees monetary or other tangible benefits. Additionally, this schedule includes records needed to support various departmental Health Programs that require records to be maintained for an extended period of time (75 years to 250 years). See DOE/GRS 2.3 (Employee Relations Records) and DOE/GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically, with payroll system input records both electronic and paper (paper is usually scanned into the system). This schedule covers only versions determined to be official payroll system records.

Note: Refer to GRS 2.4 for all other Employee Compensation and Benefits records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
Payroll				
010 **EPI**	**Employee Payroll Record for each Pay Period** Aggregate records documenting payroll disbursed in each pay period (pay-period batches of an agency's or contractors' entire payroll: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity. **Note:** Deviation to GRS 2.4, item 040 (legal citation 5 U.S.C. 8466), records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.		**Temporary.** Destroy when 75 years old.	DAA-0434-2020-0013-0001
020 **EPI**	**Time and Attendance Source and Input Records** Records including sign-in/sign out records, timecards, leave applications and approvals of all types; overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.	**Detailed records that include work locations** Time and attendance source and input records that contain work locations for specific days/times, charge codes or other identifiers that could place an employee in a particular location or project/operation.	**Temporary.** Destroy when 250 years old.	DAA-GRS-2019-0004-0002

Item	Records Description		Disposition Instruction	Disposition Authority
		Note: GRS 2.4, item 030 authorizes a longer retention for business use. Records are needed to support various departmental Health Programs that require records to be maintained for a longer period of time.		
025 EPI		**Records that do not contain work locations (Federal)** Time and attendance source and input records that do not contain work locations for specific days/times, charge codes or other identifiers that could place an individual in a particular location, project, or operation. **Note**: GRS 2.4, item 030 authorizes a longer retention for business use. Records are needed longer to support the Office of Inspector Generals (OIG) mission of preventing fraud, waste and abuse in DOE programs and operations.	**Temporary**. Destroy when 10 years old.	DAA-GRS-2019-0004-0002
030 EPI		**Records that do not contain work locations (Contractor)** Time and attendance source and input records that do not contain work locations for specific days/times, charge codes or other identifiers that could place an individual in a particular location, project, or operation. **Note**: GRS 2.4, item 030 authorizes a longer retention for business use. Records are needed longer to support the Office of Inspector	**Temporary**. Destroy 10 years after final payment.	DAA-GRS-2019-0004-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	Generals (OIG) mission of preventing fraud, waste and abuse in DOE programs and operations.		
Compensation and Benefits Administrative Program Records			
100 **EPI**	**Workers Compensation (Personal Injury Compensation) Records** Case files on injuries employees sustain while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes: • forms, reports, correspondence, claims • medical and investigatory records • administrative determinations or court rulings • payment records **Exclusion 1**: Copies filed in the Employee Medical Folder. (See DOE 2.7, item 020) **Exclusion 2**: Copies filed in Individual Employee Personal Injury Case File. (See DOE 2.7, item 110) **Exclusion 3**: Records created and maintained by the Department of Labor's Office of Workers' Compensation. **Note**: Deviation to GRS 2.4, item 100 and 101. Records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	**Temporary.** Destroy 250 years after compensation is terminated or when deadline for filing claim has passed.	DAA-0434-2020-0013-0002
110	**Unemployment Compensation Records** Unemployment compensation records include, but are not limited to: • notification of termination • administrative review	**Temporary.** Destroy 3 years after employee separates.	DAA-0434-2020-0013-0003

Item	Records Description		Disposition Instruction	Disposition Authority
	• any dispute hearings, correspondence • compensation enrollment forms • employment verification • employee depositions • computation of benefit amounts			
120	**Employee Tuition Assistance Program** Employee tuition assistance program reimbursement records for work related undergraduate, certificate, and graduate level courses taken at an accredited college, university or vocational school. Records include, but are not limited to: • original • signed tuition request forms • notification of grades • proofs of payments • related correspondence		**Temporary.** Destroy when 6 years old.	DAA-0434-2020-0013-0004
130	**Health Compensation Program** The Energy Employees Occupational Illness Compensation Program Act (EEOICPA) and the Radiation Exposure Compensation Act provide that the Department of Energy respond to requests received from employees or their survivors, or from Federal agencies, in support of employee compensation claims, to determine whether exposures have been a factor of illness.	**Claims Response Files (Individual Case Files)** The following records represent health compensation program Individual case file which include, but are not limited to: • compensation claim forms • notifications of resolution of claims • industrial hygiene records • medical records • payroll files • radiological files • training records • neutron dose reconstruction • employment records	**Temporary.** Destroy when 250 years old.	DAA-0434-2020-0013-0007

Item	Records Description		Disposition Instruction	Disposition Authority
		• employee position descriptions • employee work schedules • investigatory records relating to on-the-job injuries • individual health care records and other medical information that could be used to determine whether exposures may have been a factor in illness **Note**: Claim case files on individuals are maintained by the organization that is responsible for submitting the claim to the EEOICPA Office through either the Secure Electronic Records Transfer (SERT) system or another means.		
140		**Working Files** The following records represent health compensation program working files, maintained separately from the final response file, which may include, but are not limited to: • drafts • reference materials • reference materials • file copies created and collected to process Health Compensation Programs claims and to prepare final response files	**Temporary.** Destroy when 3 years old.	DAA-0434-2020-0013-0008

Item	Records Description		Disposition Instruction	Disposition Authority
150		**Control Files** The following represent health compensation program control working files which could include, but not limited to: • finding aids • procedures • logs • reports • databases • statistical summaries	**Temporary.** Destroy 15 years after program completion or discontinuation.	DAA-0434-2020-0013-0009
160		**Administrative Files** Program administrative records include, but are not limited to: • implementation • reporting Program performance • routine correspondence • administrative memoranda	**Temporary.** Destroy when 3 years old.	DAA-0434-2020-0013-0010

Item	Records Description		Disposition Instruction	Disposition Authority
170	**Secure Electronic Records Transfer (SERT)** The SERT system is the host for collecting and reviewing Energy Employee Occupational Illness and Compensation Act (EEOICPA) claims of employees and former employees of DOE. The SERT system access is shared with the U.S. Department of Labor (DOL and the National Institute for Occupational Safety and Health (NIOSH). The system collects claimant requests and information needed to administer EEOICPA compensation claims, including information collected from DOL to establish the DOE employee case file. The Program information collected is used to identify the appropriate servicing DOL district office and/or the NIOSH office making the request. Claimant information is aggregated to support DOE business uses, such as statistical reporting for pending cases, overdue cases, number of claims, and timeliness of Program responses. **Note**: The documentation on the SERT system is scheduled under GRS 3.1, Item 011.	**Claims data (metadata) include, but is not limited to:** • SERT claim numbers • request dates • claimants' full names • social security numbers • dates of birth Claims data is utilized in reviewing and processing claims, generating pending and overdue case reports and preparing claims and response metrics.	**Temporary.** Destroy 15 years after program completion or discontinuation.	DAA-0434-2020-0013-0005
180		**Claims support files include, but are not limited to:** • official requests forms • letters and other supporting documentation of claimant names, social security numbers and dates of birth • final DOE request responses issued to DOL and NIOSH	**Temporary.** Destroy 60 days after download by recipient.	DAA-0434-2020-0013-0006

GENERAL RECORDS SCHEDULE (GRS) 2.4: Employee Compensation and Benefits Records

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they 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
Payroll			

010	**Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.**
	Includes:
	• additions to paychecks
	  ○ child care subsidies
	  ○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number)
	  ○ other additions
	• deductions from paychecks
	  ○ insurance
	  ○ retirement accounts (e.g. Thrift Savings Plan, *my* Retirement Account, etc.)
	  ○ flexible spending accounts, such as medical savings and dependent care assistance
	  ○ union dues
	  ○ Combined Federal Campaign
	  ○ garnishments (IRS form 668A—Notice of Levy—and similar records)
	  ○ Treasury bond purchases
	  ○ other deductions
	• authorizations for deposits into bank accounts
		Temporary. Destroy 3 years after paying agency or payroll processor validates data.	DAA-GRS-2019-0004-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	• changes or corrections to previous transactions either at paying agency or payroll processor • Fair Labor Standards Act exemption worksheets		
020	**Tax withholding and adjustment documents.** Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees. **Legal citation:** IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.	**Temporary**. Destroy 4 years after superseded or obsolete.	DAA-GRS-2016-0015-0002
030	**Time and attendance records.** **SUPERSEDED** by DOE 2.4, items 020, 025, or 030. ~~Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work~~. ~~**Legal citation:** 29 CFR 516.5a~~	**Temporary**. ~~Destroy when 3 years old, but longer retention is authorized if required for business use.~~	DAA-GRS-2019-0004-0002
035	**Phased-retirement employees' overtime documentation**. **(FEDERAL ONLY)** Records documenting ordering or permitting phased-retirement employees to work overtime. **Legal citation:** 5 CFR 831.1715, section 4	**Temporary**. Destroy when 6 years old~~.~~	DAA-GRS-2018-0001-0001
040	**Agency payroll record for each pay period.** **SUPERSEDED** by DOE 2.4, item 010 for Employee Payroll records for each pay period. ~~Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.~~ **Legal citation:** 5 U.S.C. 8466	**Temporary**. ~~Destroy when 56 years old.~~	~~DAA-GRS-2016-0015-0004~~

Item	Records Description		Disposition Instruction	Disposition Authority
050	**Wage and tax statements.** Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents. **Legal citations:** Form W-3, Purpose of Form section states, "The IRS recommends retaining copies of these forms for four years." Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).		**Temporary**. Destroy when 4 years old.	DAA-GRS-2016-0015-0005
060	**Payroll program administrative records**. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay.	**Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.**	**Temporary**. Destroy when 2 years old.	DAA-GRS-2016-0015-0006
061		**Payroll system reports providing fiscal information on agency payroll.**	**Temporary**. Destroy when 3 years old.	DAA-GRS-2023-0004-0001
Compensation and Benefits Administrative Program Records				
070	**Donated leave program administrative records.** Records related to managing the program, including: • records of leave bank management • records of leave bank governing board award decisions • publicity and program announcements • statistical and narrative reports • similar records not linked to individual employee participation		**Temporary**. Destroy when 3 years old.	DAA-GRS-2016-0015-0008

Item	Records Description		Disposition Instruction	Disposition Authority
071	**Donated leave program individual case files**. Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.		**Temporary**. Destroy 1 year after the employee receiving leave is no longer participating in the program.	DAA-GRS-2016-0015-0009
080	**Wage survey files.** Periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System and records related to conducting these surveys.		**Temporary**. Destroy 7 years after survey completion.	DAA-GRS-2023-0004-0002
090	**Incentive package records. (FEDERAL ONLY)** **DOE NOTE:** Contractors utilize DOE 2.2, item 030 Contractor Employee Personnel File for employment agreements, recruitment, relocation, employee awards, and retention incentive packages. Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.		**Temporary**. Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later.	DAA-GRS-2016-0015-0011
100	**Workers' Compensation (personnel injury compensation) records.** ~~Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:~~ ~~• forms, reports, correspondence, claims~~ ~~• medical and investigatory records~~ ~~• administrative determinations or court rulings~~	~~**Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.**~~ **SUPERSEDED** by DOE 2.4, item 100 for Workers Compensation (personal injury compensation) records and DOE 2.7, item 110 for Individual Employee Occupational Illness/Injury Case File.	**Temporary.** ~~Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.~~	~~DAA-GRS-2016-0015-0012~~

Item	Records Description		Disposition Instruction	Disposition Authority
101	~~• payment records~~ ~~**Exclusion 1:** Copies filed in the Employee Medical Folder.~~ ~~**Exclusion 2:** Records created and maintained by the Department of Labor's Office of Workers' Compensation.~~	~~**Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.**~~ **SUPERSEDED** by DOE 2.4, item 100 for Workers Compensation (personal injury compensation) records and DOE 2.7, item 110 for Individual Employee Occupational Illness/Injury Case File.	~~**Temporary.** Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.~~	~~DAA-GRS-2016-0015-0013~~
110	**Requests for health benefits under spouse equity**. **(FEDERAL ONLY)** Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.	**Successful applications, including those denied and successfully appealed.**	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.	
111		**Denied applications.**	**Temporary**. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014
120	**Child care subsidy program administrative records.** Records related to managing the program, including: • determining amount of subsidy available to employees • verifying child care centers' accreditation • tracking funds disbursed to individual child care centers • publicity and program announcements • statistical and narrative reports • similar records not linked to individual employee participation		**Temporary**. Destroy when 3 years old.	DAA-GRS-2016-0015-0015

Item	Records Description	Disposition Instruction	Disposition Authority
121	**Child care subsidy program individual case files.** Case files of individual employee participation in child care subsidy programs, such as: • enrollment documentation • applications and supporting documents • eligibility verification (employment, proof of income) • records of other subsidies the employee received • agreements between agencies and employees • notice of approval or denial of participation in program • child care provider information	**Temporary**. Destroy 2 years after employee participation concludes.	DAA-GRS-2016-0015-0016
130	**Transportation subsidy program administrative records**. Records related to managing the program, including: • determining subsidy amount available to employees • publicity and program announcements • records of program-wide benefit delivery and receipt • statistical and narrative reports • similar records not linked to individual employee participation	**Temporary**. Destroy when 3 years old.	DAA-GRS-2016-0015-0017
131	**Transportation subsidy program individual case files.** Case files of individual employee participation in transportation subsidy programs, such as: • applications and supporting documents • eligibility verification • notice of approval or denial of participation in program • participant training documentation • periodic estimates of transit expenses • record of individual benefit delivery and receipt • de-enrollment documents • settlement of outstanding debts by employee or Government when employee leaves program	**Temporary**. Destroy 2 years after employee participation concludes.	DAA-GRS-2016-0015-0018

Item	Records Description	Disposition Instruction	Disposition Authority
140	**Family Medical Leave Act program administrative records**. Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation. **Legal citation:** 29 CFR 825.500	**Temporary**. Destroy 3 years after superseded or obsolete.	DAA-GRS-2016-0015-0019
141	**Family Medical Leave Act program individual case files.** Includes: • employee eligibility to participate in program • eligibility notice given to employee • notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them • medical certifications • employee identification data • records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid • leave request, approval/non-approval • leave records • records of premium payments of employee benefits • records of disputes between employers and eligible employees regarding designation of leave as FMLA leave • periodic reports of employee status and intent to return to work **Legal citation:** 29 CFR 825.500	**Temporary**. Destroy 3 years after conclusion of leave being taken.	DAA-GRS-2016-0015-0020

GENERAL RECORDS SCHEDULE (GRS) 2.5: Employee Separation Records

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that may be contained in these files. They do not mean to convey that all of these records must be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.

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.

Note: Contracts that contain DEAR 970.5204-3, Access and Ownership of Records Clause, identifies records that are Contractor-owned and those that are Government owned (Federal records) and requires the contractor to maintain all records, created/received in performance of the contract, regardless of ownership in accordance with NARA-approved Records Disposition Schedules. Therefore, this schedule would apply to records created/maintained by the contractor in performance of its contract. For contracts that do not contain the clause, these schedules would only apply to Federal records.

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Separation program management records**. (FEDERAL ONLY) Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends	**Records not specific to an agency separation initiative.**	**Temporary**. ~~Destroy when no longer required for business use.~~ **DOE Business Use:** **Destroy when 2 years old.**	DAA-GRS-2014-0004-0001
011		**Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.**	**Temporary**. Destroy 2 years after date of program closure~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2014-0004-0002

Item	Records Description	Disposition Instruction	Disposition Authority
020	**Individual employee separation case files**. (FEDERAL ONLY) Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes: • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use **Exclusion**: Records required to be filed in employee's OPF are excluded from this item.	**Temporary**. Destroy 1 year after date of separation or transfer~~, but longer retention is authorized if required for business use~~. **Contractors utilize DOE 2.2, item 030.**	DAA-GRS-2014-0004-0003
030	**Records documenting capture of institutional and specialized knowledge**. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee. **Exclusion**: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency. **A new DOE RDS item is being created for formal oral history records.**	**Temporary**. ~~Destroy when no longer required for business use.~~ **DOE Business Use: Destroy when 1 year old.**	DAA-GRS-2014-0004-0004

Item	Records Description	Disposition Instruction	Disposition Authority
040	**Individual employee separation records required to be placed in separating employee's OPF. (FEDERAL ONLY)** As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to: • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary	File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as **Contractors utilize DOE 2.2, item 030**	
050	**Phased retirement administrative records. (FEDERAL ONLY)** Records related to managing the program, including: • procedural guidance on program administration • informational/marketing/publicizing materials • general correspondence • reports to OPM • memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations • documentation of program structure and details as uniquely instituted by agency **Exclusion**: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.	**Temporary**. Destroy when 3 years old or 3 years after revision or replacement, as appropriate~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0007-0001
051	**Phased retirement individual case files. (FEDERAL ONLY)** Case files of individual employee participation in phased retirement, such as: • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others • notice of approval or disapproval	**Temporary**. Destroy 1 year after employee participation concludes or the employee retires~~, but longer retention is~~	DAA-GRS-2016-0007-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• retirement benefit estimates • annuity calculations • phased retirement agreement • records documenting knowledge transfer activities • confidentiality agreement with mentees • action/project plans and logs • correspondence **Note:** Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020. **Exclusion**: This item does not cover records held at OPM concerning staff at other agencies.	~~authorized if required for business use~~.	

DEPARTMENT OF ENERGY (DOE) 2.6: Employee Training Records

Records documenting design, development, and implementation of employee training. Records includes both administrative and mission related training. This schedule includes documentation of employee training provided from internal or external vendors, DOE, or other agencies; and is applicable to Federal and contractor employees.

Note: Refer to GRS 2.6 for all other Employee Training records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010 EPI	**Individual Mission Related Employee Training Records (Federal and Contractor)** Records documenting individual employees mission related training, including hazardous, environmental and safety. Records include but are not limited to: • Completion certificates or certification documents • 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 • reports of exemptions to these documents • checklists completed for recertification, including the results of examinations and records or oral examinations given for recertification • results of medical examinations (only pass/fail and restrictions); balance of results are to be retained in the medical file • attendance/completion records of training courses or sessions **Note 1:** GRS 2.6, Item 030 excludes academic transcripts, professional licenses, civil service exams, or documentation of mission-related training. **Note 2**: Individual training records are needed longer to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	**Temporary.** Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0014-0001

Item	Records Description		Disposition Instruction	Disposition Authority
015 EPI	**Individual Employee Administrative and Ethics Training Records (Federal and Contractor) (Excludes Mission Related Training)** Records documenting required administrative training, such as information system security and anti-harassment training, and training to develop job skills. Records may include: **General Administrative:** • completion certificates or verification documents for mandatory training required of all Federal and contractor employees or specific groups of employees (e.g., supervisors, contractors) • Individual Development Plans (IDPs) • mentoring or coaching agreements **Ethics** • administration of new employee ethics orientations. annual, and other types of ethics training • agency's annual written plans • notices about training requirements and course offerings • rosters of employees required to attend and verification of training completed • instructor guides, handbooks, handouts and other materials **Exclusion:** Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item. See DOE 2.6, item 010 for individual employee mission related training records. **Note 1**: GRS 2.6, item 020 and 030 authorize longer retention, records are needed to support OIG's mission of preventing fraud, waste and abuse in DOE programs and operations. **Note 2:** If administrative and/or mission related records are consolidated, utilized the schedule with the longest retention.	**Federal Employees**	**Temporary**. Destroy when 10 years old.	DAA-GRS-2016-0014-0003 and DAA-GRS-2016-0014-0002
016 EPI		**Contractor Employees**	**Temporary**. Destroy 10 years after employee separation OR contract completion (final payment), whichever is later.	DAA-GRS-2016-0014-0003 and DAA-GRS-2016-0014-0002

Item	Records Description	Disposition Instruction	Disposition Authority
025 EPI	**Mission Related Training Program Records (including Hazardous, Environmental and Safety Training)** Records about planning, assessing, managing, evaluating and other course related records for mission related training, which includes hazardous, environmental and safety training. These records include, but are not limited to: • correspondence, procedures, plans, reports and program evaluations on the **overall** Training Program, regardless if mission or non-mission • organizational and occupational need assessments • employee skill assessments • employee training statistics • notices about training opportunities, schedules or courses • mandatory training tracking and reporting files • logistics and coordination documents • registration forms, employee attendance rosters • syllabi, presentations, instructor guides, handbooks and lesson plans • reference and working files on course content • other course materials, such as presentations and videos • student, class or instructor evaluations • descriptions of course content • examination banks • examination cover sheets • documentation of required performance items	**Temporary.** Destroy 75 years after superseded/ obsolete.	DAA-0434-2020-0014-0002
030 EPI	**Individual Technical Qualification Program (TQP)/electronic Technical Qualification Program (eTQP) Records** The TQP Program is to ensure employees have the requisite technical competency to support the mission of the DOE and is the primary driver behind the Safety Training Program. The objectives of the program are to identify the competencies that employees must possess to ensure DOE defense nuclear facilities are operated in a safe manner. Establish a program that clearly identifies and documents the process used to demonstrate employee technical competence; ensure that employees maintain their technical competencies and maintain a cycle for continuous performance improvement through structured individualized training and development programs. Qualification	**Temporary.** Consolidate into the Individual Employee Training Records (DOE 2.6, item 010) when individual no longer performs activity.	None; filing instructions only

Item	Records Description	Disposition Instruction	Disposition Authority
	standards include, but are not limited to: • Aviation Safety Manager • Aviation Safety Officer • Chemical Processing • Civil and Structural Engineering • Criticality Safety • Electrical Systems and Safety Oversight • Emergency Management • Environmental Compliance • Facility Maintenance Management • Facility Representative • Fire Protection Engineering • General Technical Base • Industrial Hygiene • Instrument and Control • Mechanical Systems • NNSA Package Certification Engineer • Nuclear Explosive Safety Study • Nuclear Safety Specialist • Project Management • Occupational Safety • Quality Assurance • Radiation Protection • Safeguards and Security • Safety Software Quality Assurance • Senior Technical Safety Manager • Technical Training • Transportation and Traff • Waste Management (including driver qualifications) • Weapons Quality Assurance		

GENERAL RECORDS SCHEDULE (GRS) 2.6: Employee Training Records

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

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
010 EPI	**Non-mission employee training program records.** **Exclusion:** This item does not cover ethics-related training. Ethics training is scheduled by item 020. Records about planning, assessing, managing, and evaluating an agency's training program: • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content • other course materials, such as presentations and videos • student, class, or instructor evaluations **Note**: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.	**Temporary**. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate~~, but longer retention is authorized if required for business use~~. **Utilize DOE 2.6, item 025 for Mission related training program records, including Hazardous, Environmental and Safety Training.**	DAA-GRS-2016-0014-0001

Item	Records Description		Disposition Instruction	Disposition Authority
020	**Ethics training records.** ~~Records include but are not limited to:~~ ~~• administration of new employee ethics orientations. annual, and other types of ethics training~~ ~~• agency's annual written plans~~ ~~• notices about training requirements and course offerings~~ ~~• rosters of employees required to attend and verification of training completed~~ ~~• instructor guides, handbooks, handouts and other materials~~		**Temporary**. ~~Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use.~~ **Utilize DOE 2.6, item 015 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Federal) OR DOE 2.6, item 016 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Contractor).**	DAA-GRS-2016-0014-0002
030	**Individual employee training records.** ~~Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:~~ ~~• completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors)~~ ~~• Individual Development Plans (IDPs)~~ ~~• mentoring or coaching agreements~~ **Exclusion:** ~~Academic transcripts, professional licenses, civil service exams, or documentation of mission related training are not covered by this item~~.		**Temporary.** ~~Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.~~ **Utilize DOE 2.6, item 015 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Federal) OR DOE 2.6, item 016 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Contractor).**	DAA-GRS-2016-0014-0003
040	**Senior Executive Service Candidate Development Program (SESCDP).** **(FEDERAL ONLY)** SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.	**Program records.** Records documenting program scope, policies, planning, budget, and curriculum planning.	**Temporary.** ~~Destroy when no longer needed for business use.~~ **DOE Business Use: Destroy when 3 years old or when superseded/obsolete.**	DAA-GRS-2016-0014-0004

Item	Records Description		Disposition Instruction	Disposition Authority
041		**Case records on SESCDP participants.** Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.	**Temporary.** Destroy 1 year after certification or separation from the program~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2023-0005-0001

DEPARTMENT OF ENERGY (DOE) 2.7: Employee Health and Safety Records

Records documenting employee health and safety functions, including non-occupational health records, medical records, health unit records, radiation exposure, and hazardous concentrations of toxic chemical exposure.

Note: Refer to GRS 2.7 for all other Employee Health and Safety records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Medical			
010 **EPI**	**Clinic Scheduling Records** Records of clinic visits, both occupational and non-occupational generated by an on-site OR outside health unit when performing medical services on behalf of the government under contract services. Records include, but are not limited to: • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics (e.g., logs and registers reflecting daily number of visits to dispensaries, first aid rooms and health units, regardless if summarized) **Note:** GRS 2.7, item 010 authorizes use of longer retention; records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	**Temporary.** Destroy when 75 years old.	DAA-GRS-2017-0010-0001
020 **EPI**	**Individual Medical Case File (Federal and Contractor)** All occupational and/or non-occupational health records (see note 3), including those generated by an on-site OR outside health unit when performing medical services on behalf of the government under contract services.	**Temporary.** Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0015-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	These records include, but are not limited to: • forms, correspondence, and other records relating to an employee's medical history • occupational injuries or illness • physical examinations • work related / non-occupational visits and all treatment received in the health unit • pre-placement physical examinations and disability retirement and fitness for duty examinations • medical and diagnostic laboratory records, including, but not limited to x-ray (digital) and x-ray interpretations/reports • records that contain date of employee's visit, diagnosis, and treatment • may also include records of exposure to chemical, physical, biological, safety workplace hazards and radiation **Note 1**: These include individual employee Health Case Files (Federal) created prior to establishment of the EMF system that have been retired to a NARA records storage facility. **Note 2:** GRS 2.7, items 060, 061, 062 and 070, authorizes use of longer retention, as these records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time. **Note 3**: If non-occupational are maintained separately from occupational health records, utilize GRS 2.7, item 070, for non-occupational health records.		
030	**Deteriorating X-rays** X-rays that have deteriorated and become unidentifiable due to advanced states of decomposition that can neither be interpreted nor copied and may be hazardous to human health. **Note:** Requires notification to NARA, by the Department Records Officer (DRO) in accordance with 36 CFR 1229.10.	**Temporary.** Destroy immediately upon proper notification.	DAA-0434-2020-0015-0002

Item	Records Description	Disposition Instruction	Disposition Authority
040	**Individual Employee Medical X-rays** Film x-rays maintained separate from the Individual Medical Case File AND where the interpretation/report is documented and filed in the Individual Medical Case File (see DOE 2.7, item 020).	**Temporary**. Destroy 10 years after employee separation or transfer. **Retention will change to destroy 30 years after employee separation or transfer to meet 29 CFR 1910 Subpart D and 29 CFR 1904 Subpart Z requirements. PENDING NARA APPROVAL.**	DAA-0434-2020-0015-0003
Occupational Health			
100	**Occupational Injury and Illness Program Records** Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes: • miscellaneous reports, annual summaries, or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent • DOE Computerized Accident Incident Reporting System (CAIRS) **Exclusion:** Workers' Compensation (personnel injury compensation) records are covered in DOE 2.4, item 100 **Note:** GRS 2.7, item 020 authorizes use of longer retention; are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	**Temporary.** Destroy when 75 years old.	DAA-GRS-2017-0010-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	Citations: **29 CFR *Occupational Safety and Health Administration*** • 29 CFR 1904 Subpart C – *Recordkeeping Forms and Recording Criteria* • 29 CFR 1904 Subpart D – *Other OSHA Injury and Illness Recordkeeping Requirements* • 29 CFR 1904 Subpart E – *Reporting Fatality, Injury and Illness Information to the Government*		
110 **EPI**	**Individual Employee Occupational Injury/Illness Case File** Personal injury or illness case files, regardless if recordable or if worker's compensation claims was filed. Records can include, but are not limited to: • DOE forms and reporting systems, • OSHA forms/reports (also maintained in Occupational Injury and illness program records, DOE 2.7, item 100) • forms/reports related to accident, injuries, illnesses, etc. that occur during DOE Operations • correspondence **Exclusion 1:** Workers' Compensation (personnel injury compensation) records are covered under item 100 of DOE 2.4, Employee Compensation and Benefits Records. **Exclusion 2:** Copies filed in the Employee Medical Folder (See DOE 2.7, item 020, Employee Medical Folder) **Citations:** 29 CFR Occupational Safety and Health Administration • 29 CFR 1904 Subpart C – Recordkeeping Forms and Recording Criteria • 29 CFR 1904 Subpart D – Other OSHA Injury and Illness Recordkeeping Requirements • 29 CFR 1904 Subpart E – Reporting Fatality, Injury and Illness Information to the Government 10 CFR Worker Safety and Health Program • 10 CFR 851.26 – Recordkeeping and reporting	**Temporary.** Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0015-0004

Item	Records Description	Disposition Instruction	Disposition Authority
120 EPI	**Personnel Radiation Exposure Film Badge Records (LEGACY ONLY)** Film badges document the radiation-doses measured on DOE Federal, contractor and subcontractor employees and visitors. Film badges are not generally managed by "individual", but by year and must be stored appropriately to avoid outgassing of acetic acid (e.g., vinegar syndrome). **Note:** Individual exposure data is managed under DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).	**Temporary.** Destroy when 100 years old.	DAA-0434-2020-0015-0005

130
EPI
	Individual Employee Health Hazard Case File (Employee Exposure Records)
	
	Individual employee health hazard case file that include, but is not limited to:
	
	• radiation exposure history (both internal and external)
	• exposure to radionuclides and hazardous concentrations of toxic chemicals and other materials
	
	Records include, but are not limited to:
	
	• skin and nasal contamination incidents, including decontamination details
	• incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used
	• In vivo records
	• investigations of the following types:
	  ○ assimilation of radiation from the chest, specific organs, or whole body
	  ○ assimilations of radioactive materials in excess of standards and control guides
	  ○ missing or unusual data concerning exposure of personnel to radiation
	• bioassay data and results
	• investigations establishing the extent of employee(s) exposure to toxic chemicals and materials
		Temporary. Destroy 250 years after employee separation or transfer.
		
		Separation is defined as employment separation OR separation from the exposure program.
			DAA-0434-2020-0015-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	Citations: 10 CFR Worker Safety and Health Program • 10 CFR 835.701-740 (Subpart H) – Occupational Radiation Protection • 10 CFR 851.26 – Recordkeeping and reporting		
140 **EPI**	**Radiation, Industrial Hygiene and Bioassay Summaries and Investigations** Records include, but are not limited to: • statistical summaries, monthly, quarterly, yearly reports, worksheets, data packages and other related papers pertaining to employee exposure to radiation, toxic chemicals, etc. (not maintained by individual employees) • worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, other information used in interim calculations or to verify that recorded data is correct (such as check sheets), and statistical summaries duplicating exposure data • records and investigations establishing the extent of employee(s) exposure to toxic chemicals and materials by area or facility (not maintained by individual employees) **Exclusions:** • Records organized or sorted by "individual employee" - see DOE 2.7, Item 130 for the Individual Employee Health Hazard Case File (Employee Exposure Records).	**Temporary.** Destroy when 75 years old.	DAA-0434-2020-0015-0007

GENERAL RECORDS SCHEDULE (GRS) 2.7: Employee Health and Safety Records

This schedule covers records about employee health and safety functions within federal agencies.

Conditions and Exclusions

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

1. 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.
2. This schedule does not apply to mission-related federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health. Such records are covered by agency-specific schedules.
3. The terms "non-occupational" and "patient" are used in this schedule to refer to nonwork-required health services and to health conditions not causally connected to the employee's work or workplace. The terms "workplace" and "safety" refer to occupational records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Clinic scheduling records.** ~~Scheduling records of clinic visits, both occupational and non-occupational. Includes:~~ ~~• patient's name, time of appointment, and type of work to be performed~~ ~~• details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit~~ ~~• notifications about appointment updates~~ ~~• patient visit and other scheduling-related statistics~~	**Temporary.** ~~Destroy when 3 years old, but longer retention is authorized if needed for business use~~. **Utilize DOE 2.7, Item 010, Clinical Scheduling Records (Occupational and Non-Occupational).**	DAA-GRS-2017-0010-0001
Occupational Health Records			
020	**Occupational injury and illness program records.** ~~Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:~~ ~~• miscellaneous reports, annual summaries or reports to the Secretary of Labor~~ ~~• correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA)~~ ~~• OSHA 300 Log~~	**Temporary**. ~~Destroy when 6 years old, but longer retention is authorized if needed for business use.~~	~~DAA-GRS-2017-0010-0002~~

Item	Records Description		Disposition Instruction	Disposition Authority
	~~• OSHA 301 Incident Report~~ ~~• OSHA 300A Summary or equivalent~~ ~~**Exclusion:** Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.~~ ~~**Legal Citations:** 29 CFR Part 1904.33 and 29 CFR Part 1960.69.~~		**Utilize DOE 2.7, Item 100, Occupational Injury and Illness Program Records.**	
030	**Occupational health and safety training records.** Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures. **Exclusion 1:** Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these. **Exclusion 2:** Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these. **Legal Citation:** 29 CFR Part 1910.120 App E(9)		**Exclusion 2: Utilize current schedules for Individual Mission Related Employee Training Records until superseded.**	**Temporary.** Destroy 5 years after training participation or when superseded, whichever is applicable~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2017-0010-0003
040	**Workplace environmental monitoring and exposure records.** ~~Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.~~	**OSHA-regulated substance monitoring and exposure records.** ~~Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.~~ ~~**Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.~~ ~~**Legal Citations:** 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)~~	**Utilize DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).**	**Temporary.** ~~Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.~~	~~DAA-GRS-2017-0010-0004~~

Item	Records Description		Disposition Instruction	Disposition Authority
041	~~**Note 1:** Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).~~ ~~**Note 2:** These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.~~	**Occupational noise monitoring and exposure records.** ~~**Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.~~ ~~**Legal Citation:** 29 CFR Part 1910.95(m)(3)(i)~~	**Temporary.** ~~Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.~~ **Utilize DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).**	~~DAA-GRS-2017-0010-0005~~
042		**Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.** ~~**Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.~~ ~~**Legal Citation:** 29 CFR Part 1910.1045 App A(vi)(C)~~	**Temporary.** ~~Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.~~ **Utilize DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).**	~~DAA-GRS-2017-0010-0006~~
043		**Background data.** ~~Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.~~ ~~**Note:** Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other~~	**Temporary.** ~~Destroy no sooner than 1 year after monitoring is conducted, but longer retention is~~	~~DAA-GRS-2017-0010-0007~~

Item	Records Description		Disposition Instruction	Disposition Authority
		~~background data relevant to interpretation of the results obtained, for at least thirty (30) years.~~ ~~**Legal Citation:** 29 CFR Part 1910.1020(d)(1)(ii)(A)~~	~~authorized if needed for business use.~~ **Utilize DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).**	
050	**Safety Data Sheets (SDS).** Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS). **Exclusion:** Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule. **Exclusion: Utilize DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).** **Note:** Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if "some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years." Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained. **Legal citation:** 29 CFR Part 1910.1020(d)(1)(ii)(B)		**Temporary.** ~~Destroy when business use ceases.~~ **DOE Business Use:** **Destroy 75 years after substance removed from service.**	DAA-GRS-2017-0010-0008
060	**Occupational individual medical case files.** ~~These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:~~ ~~• personal and occupational health histories~~	**Long-term records.** ~~**Exclusion**: Individual non-occupational medical records are covered by item 070.~~ ~~**Note 1:** While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under~~	**Temporary**. ~~Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.~~	~~DAA-GRS-2017-0010-0009~~

Item	Records Description		Disposition Instruction	Disposition Authority
	~~• opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians~~ ~~• employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise)~~ ~~• employee audiometric testing records~~ ~~**Note:** For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.~~ ~~**Exclusion:** Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.~~	~~certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504)~~ ~~**Note 2:** For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.~~ ~~**Note 3:** For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.~~ ~~**Legal Citations:** 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).~~	**Utilize DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor).**	
061		**Short-term records.**	**Temporary.** ~~Destroy 1 year after employee separation or transfer.~~ **Utilize DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor).**	~~DAA-GRS-2017-0010-0010~~

Item	Records Description		Disposition Instruction	Disposition Authority
062		**Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.**	**Temporary.** ~~Destroy 60 years after retirement to the NARA records storage facility~~. **Utilize DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor).**	~~DAA-GRS-2017-0010-0011~~
063 EPI	**Vaccination attestations and proof of vaccination records.** Records attesting to an individuals' current vaccination status and providing proof or certification of vaccination.	**Federal employees and contractors.** Applies only to records related to federal employees and contractors of the agency collecting the records. **Note:** If agencies file these records in occupational health files, use the disposition authority for occupational health files instead.	**Temporary.** Destroy when 3 years old.	DAA-GRS-2021-0003-0001
064		**Visitors.** Includes federal employees and contractors visiting from other agencies.	**Temporary.** Destroy when 30 days old.	DAA-GRS-2021-0003-0002
065	**Symptom screening and testing records.** Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected. Includes:	**Federal Employees.** Applies only to records related to federal employees of the agency collecting the records.	**Temporary.** Destroy when 1 year old.	DAA-GRS-2021-0003-0003

Item	Records Description		Disposition Instruction	Disposition Authority
066	• symptom check/screening data • testing records/results	**Contractors and visitors.** Includes federal employees that are visiting from another agency.	**Temporary.** Destroy when 30 days old.	DAA-GRS-2021-0003-0004
Non-Occupational Health Records				
070	**Non-occupational individual medical case files.** Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as "patient records" in Title 5 Part 293 Subpart E. **Legal Citations:** American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.		**Temporary**. Destroy 10 years after the most recent encounter~~, but longer retention is authorized if needed for business use.~~ **If occupational are maintained with non-occupational health records, utilize DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor).**	DAA-GRS-2017-0010-0012
080	**Non-occupational health and wellness program records.** Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes: • health risk appraisals • biometric testing • health coaching • disease management • behavioral management		**Temporary**. Destroy 3 years after the project/activity/ or transaction is completed or superseded~~, but longer retention is authorized if needed for business use~~.	DAA-GRS-2017-0010-0013

Item	Records Description		Disposition Instruction	Disposition Authority
	• preventive services • fitness programs			

090	**Employee Assistance Program (EAP) counseling records.**
	Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.
		Records related to employee performance or conduct.
		Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:
		• leave and attendance
		• performance
		• alleged inappropriate behavior or workplace violence
		• reason for referral
		• management interventions
		• illegal drug or alcohol use
		  ○ test results for use of illegal drugs
		  ○ test results for alcohol consumption on the job
		  ○ substance abuse assessment, treatment, aftercare, and monitoring records
		
		Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.
			Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.	DAA-GRS-2017-0010-0014

091 EPI		**Records not related to performance or conduct.** Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes: • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions • records of attendance at treatment, kinds of treatment, and counseling programs	**Temporary.** Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to	DAA-GRS-2017-0010-0015

Item	Records Description		Disposition Instruction	Disposition Authority
		• identity and contact information of treatment providers • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes	state requirements~~, but longer retention is authorized if needed for business use~~.	DAA-GRS-2017-0010-0015
Drug-free Workplace Program Records				
100	**Employee drug test plans, procedures, and scheduling records.** Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes: • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules **Exclusion 1:** Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules. **Exclusion 2:** 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), are covered in GRS 5.7, Agency Accountability Records. **Exclusion 3:** Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.		**Temporary.** Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016
110	**Employee drug test acknowledgment of notice forms.** Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.		**Temporary.** Destroy when employee separates from testing-designated position.	DAA-GRS-2017-0010-0017

Item	Records Description		Disposition Instruction	Disposition Authority
120	**Employee drug testing specimen records.** Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, *e.g.*, chain-of-custody records.		**Temporary.** Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0018
130	**Employee drug test results.** Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. **Exclusion:** Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	**Positive results.** **NARA is updating this schedule to align with the requirements of 49 CFR 40.333 with a 5-year retention. DO NOT DESTROY any records until published.**	**Temporary.** Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019
131		**Negative results.**	**Temporary.** Destroy when 3 years old.	DAA-GRS-2017-0010-0020

GENERAL RECORDS SCHEDULE (GRS) 2.8: Employee Ethics Records

This schedule covers records documenting the activities of executive branch agency ethics program offices.

Records *not* covered by this schedule: Records pertaining to legislative branch and judicial branch 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.

Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. 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 4.1, *Tracking and Control Records*. Master Lists that are used for purposes other than 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. For ethics training records, see GRS 2.6, *Employee Training Records*.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**General ethics program records.** Records created and maintained to coordinate and manage an agency's ethics program. Records relate 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. Includes: • 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.	**Temporary**. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee**,** making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0006-0001

Item	Records Description		Disposition Instruction	Disposition Authority
020	**Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files**. Referrals to Inspectors General or the Department of Justice 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, and copies of OGE Form 202, *Notification of Conflict of Interest Referral*. **Contractor referrals would fall under the Mandatory Disclosure Rule (FAR 52.203-13)**		**Temporary.** Destroy 6 years after final disposition of the referral to either the IG or DOJ~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2014-0005-0002
030	**Reports of payments accepted from non-Federal sources. (FEDERAL ONLY)**	**Agency reports.** Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). 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.	**Temporary.** Destroy 3 years following submission of the report to OGE~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2014-0005-0003
031		**Supporting documentation.** Documentation, such as statements and forms, used to complete the submitted reports.	**Temporary.** Destroy 1 year following submission of the report to OGE~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2014-0005-0004
040	**Office of Government Ethics program questionnaire records. (FEDERAL ONLY)** Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and		**Temporary.** Destroy 3 years after submission~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2014-0005-0005

Item	Records Description		Disposition Instruction	Disposition Authority
	surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.			
050	**Ethics program review records. (FEDERAL ONLY)** 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. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.		**Temporary.** Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. ~~Longer retention is authorized if needed for business use.~~	DAA-GRS-2014-0005-0006
060	**Public financial disclosure reports. (FEDERAL ONLY)** Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.	**Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.** **Legal Citation:** 5 U.S.C. app. section 105, 5 CFR 2634.603	**Temporary.** Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0007
061		**All other reports.** **Legal Citation:** 5 U.S.C. app. section 105, 5 CFR part 2634.603	**Temporary.** Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation,	DAA-GRS-2014-0005-0008

Item	Records Description		Disposition Instruction	Disposition Authority
			whichever is later. This disposition instruction is mandatory; deviations are not allowed.	
062		**Periodic transaction reports.** OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records. **Legal Citation:** STOCK Act, Pub. L. 112-105	**Temporary**. Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0009
063		**Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).** **Legal Citation:** 5 U.S.C. app. section 105(b)(2)	**Temporary.** Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0010
070	**Confidential financial disclosure reports.** **(FEDERAL ONLY)** Executive Branch Confidential Financial Disclosure	**Reports for individuals not subsequently confirmed by the U.S. Senate.** **Legal Citation:** 5 CFR 2634.604	**Temporary.** Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is	DAA-GRS-2014-0005-0011

Item	Records Description		Disposition Instruction	Disposition Authority
	Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records.		later. This disposition instruction is mandatory; deviations are not allowed.	
071		**All other reports.** **Legal Citation:** 5 CFR 2634.604	**Temporary.** Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0012
072		**OGE Optional Form 450-A reports.** **Legal Citation:** 5 CFR 2634.604, 5 CFR 2634.905 **Note**: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The "supporting OGE Form 450" cannot be destroyed until the last OGE Form 450-A report is ready for destruction.	**Temporary.** Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition	DAA-GRS-2014-0005-0013

Item	Records Description		Disposition Instruction	Disposition Authority
			instruction is mandatory; deviations are not allowed.	
080	**Alternative or additional financial disclosure reports and related records.** **(FEDERAL ONLY)**	**Reports for individuals not subsequently confirmed by the U.S. Senate.** **Legal Citation:** 5 U.S.C. app. section 105	**Temporary.** Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0014
081		**All other reports.** **Legal Citation:** 5 U.S.C. app. section 105	**Temporary.** Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0015
090	**Financial disclosure supporting documentation.** Supporting documentation used to review and verify the filer's report submission. Includes records such as: • reviewer's notes • background research reports		**Temporary.** Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has	DAA-GRS-2014-0005-0016

Item	Records Description		Disposition Instruction	Disposition Authority
	• memorialized verbal comments of filer in response to reviewer questions		submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.	
100	**Ethics agreements records. (FEDERAL ONLY)** Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes: • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications **Note**: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): *Prescribing Standards of Ethical Conduct for Government Officers and Employees*.	**Agreements for employees who do not file financial disclosure reports.**	**Temporary.** Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. ~~Longer retention is authorized if needed for business use~~.	DAA-GRS-2014-0005-0017
101		**Agreements for employees who file financial disclosure reports.**	**Temporary.** Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. ~~Longer retention is authorized if needed for business use~~.	DAA-GRS-2014-0005-0018

GENERAL RECORDS SCHEDULE (GRS) 3.1: General Technology Management Records

This schedule covers records created and maintained by Federal agencies related to the general management of technology. It includes records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.

This schedule does not apply to system data or content. This schedule does not apply to records documenting the Office of Management and Budget and the US Federal Chief Information Officers Council government-wide information management planning and programming. There may be copies of the Exhibit 300 records within these case files. However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records. Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

Item	Records Title/Description		Disposition Instruction	Disposition Authority
001	**Technology management administrative records.** Records on day-to-day, routine information technology management. Records include: • correspondence • subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making • data calls • operational and managerial guidance to organizational segments of the agency **Exclusion:** This item does not apply to the records of the Chief Information Officer. These records must be scheduled by the agency on an agency-specific schedule. **Note for Exclusion: Utilize ADM 16.1.1, ADM 16.1.1.1a or ADM 23.5.1 until superseded by a DOE mission related records disposition schedule.**		**Temporary.** Destroy when 5 years old~~, but longer retention is authorized if needed for business use~~.	DAA-GRS-2016-0013-0002
010	**Information technology development**	**Infrastructure project records.**	**Temporary.** Destroy 5 years after project is	DAA-GRS-2013-0005-0006

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	project records.	Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes 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; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. Includes records such as: • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation **Exclusion**: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA. **Note**: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.	terminated~~, but longer retention is authorized if required for business use~~.	

Item	Records Title/Description		Disposition Instruction	Disposition Authority

011		**System development records.**
		These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:
		• project plans
		• feasibility studies
		• cost analyses
		• requirements documents
		• compliance documents including:
		  ○ Privacy Threshold Analyses (PTAs)
		  ○ Privacy Impact Assessments (PIAs)
		  ○ Security Plan
		  ○ Information Protection Plan
		• change control records
		• Project Schedule
		• Plan of Action and Milestones (POA&M)
		• Configuration Management Plan
		• Resource Management Plan
		• Risk Assessment/Mitigation Plan
		• Security Plan
		• Disaster Recovery Plan
		• Test /Acceptance Plan
		• Quality Control Plan
		• Deployment Guide
		• User Guide
		• Training Guide
			Temporary.
			Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes~~, but longer retention is authorized if required for business use~~.
				DAA-GRS-2013-0005-0007

Item	Records Title/Description		Disposition Instruction	Disposition Authority
		Exclusion: This item does not apply to system data or content. **Note 1**: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records. **Note 2**: This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.		
012		**Special purpose computer programs and applications.** Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule. **Exclusion 1**: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. **Exclusion 2**: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function. **Note:** Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.	**Temporary.** Delete when related master file or database has been deleted~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0005-0008

Item	Records Title/Description	Disposition Instruction	Disposition Authority
020	**Information technology operations and maintenance records.** Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Includes records such as: • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites: ○ reviews ○ site visit reports ○ trouble reports ○ equipment service histories ○ reports of follow-up actions ○ related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices • requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities • problem reports and related decision documents relating to the software infrastructure of the network or system • reports on operations	**Temporary.** Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0005-0004

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	○ measures of benchmarks ○ performance indicators ○ critical success factors ○ error and exception reporting ○ self-assessments ○ performance monitoring ○ management reports • website administration ○ frames ○ templates ○ style sheets ○ site maps ○ codes that determine site architecture ○ change requests ○ site posting logs ○ clearance records ○ requests for correction of incorrect links or content posted ○ requests for removal of duplicate information ○ user logs ○ search engine logs ○ audit logs • records to allocate charges and track payment for software and services **Note 1**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2**: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.		

Item	Records Title/Description	Disposition Instruction	Disposition Authority
030	**Configuration and Change Management Records.** 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 records such as: • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution (including COTS software license management files) and release or version management **Note 1**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. **Note 2**: Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. **Note 3**: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	**Temporary.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0005-0005
040	**Information technology oversight and compliance records.** Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as: • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data	**Temporary.** Destroy 5 years after the project/activity/ transaction is completed or superseded~~, but longer retention~~	DAA-GRS-2013-0005-0010

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	• metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • vulnerability assessment reports • assessment and authorization of equipment • Independent Verification and Validation (IV&V) reports • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys • benefit-cost analyses • make vs. buy analysis • reports on implementation of plans • compliance reviews • data measuring or estimating impact and compliance **Note 1**: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series. **Note 2:** SORNs are scheduled under GRS 4.2, item 150.	~~is authorized if required for business use~~.	

Item	Records Title/Description		Disposition Instruction	Disposition Authority
050	**Data administration records.** Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This Schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any	**Documentation necessary for preservation of permanent electronic records.** Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including: • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications **Note 1**: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. **Note 2**: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	**Permanent.** Transfer to the National Archives with the permanent electronic records to which the document-tation relates.	DAA-GRS-2013-0005-0002
051		**All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.** Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications and also the following records for all electronic records whether scheduled as temporary or permanent	**Temporary.** Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated	DAA-GRS-2013-0005-0003

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.	• software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model	to a successor system~~, but longer retention is authorized if required for business use~~.	

GENERAL RECORDS SCHEDULE (GRS) 3.2: Information Systems Security Records

This schedule covers records created and maintained by Federal agencies related to protecting the security of information technology systems and data, and responding to computer security incidents. This schedule does not apply to system data or content.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	**Systems and data security records.** These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as: • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data	**Temporary.** Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.	DAA-GRS-2013-0006-0001
020	**Computer security incident handling, reporting and follow-up records.** A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Includes records such as: • reporting forms	**Temporary.** Destroy 3 year(s) after all necessary follow-up actions have been completed~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0006-0002

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	• reporting tools • narrative reports • background documentation **Note:** Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.		**Utilize GRS 5.6, item 200 for investigations related to national security or privacy.**	
030	**System access records.** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users. Includes records such as: • user profiles • log-in files • password files • audit trail files and extracts	**Systems not requiring special accountability for access.** These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	**Temporary.** ~~Destroy when business use ceases.~~ **DOE Business Use: Destroy 1 year after system access terminated.**	DAA-GRS-2013-0006-0003
031	• system usage files • cost-back files used to assess charges for system use **Exclusion 1.** Excludes records relating to electronic signatures. **Exclusion 2.** Does not include monitoring for agency mission activities such as law enforcement.	**Systems requiring special accountability for access.** These are user identification records associated with systems which are highly sensitive and potentially vulnerable.	**Temporary.** Destroy 6 years after password is altered or user account is terminated~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0006-0004
035	**Cybersecurity logging records.**	**Full packet capture data.**	**Temporary.** Destroy when 72 hours old. ~~Longer retention is~~	DAA-GRS-2022-0005-0001

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	For additional information about these records, see OMB Memo M-21-31. **Note:** The requirements in OMB Memo M-21-31 do not apply to national security systems. Agencies may use this GRS for national security systems or submit an agency-specific schedule.	Packet capture (PCAP) results from the interception and copying of a data packet that is crossing or moving over a specific computer network. **Legal citation:** OMB Memo M-21-31 **Not media neutral.** Applies to electronic records only.	~~authorized for business use.~~	
036		**Cybersecurity event logs.** Logs required by OMB Memo M-21-31 to capture data used in the detection, investigation, and remediation of cyber threats. **Legal citation:** OMB Memo M-21-31 **Not media neutral.** Applies to electronic records only.	**Temporary.** Destroy when 30 months old. ~~Longer retention is authorized for business use.~~	DAA-GRS-2022-0005-0002
040	**System backups and tape library records.** Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	**Incremental backup files.**	**Temporary.** Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0005
041		**Full backup files.**	**Temporary.** Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0006

Item	Records Title/Description		Disposition Instruction	Disposition Authority
050	**Backups of master files and databases.** 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 database is damaged or inadvertently erased.	**File identical to permanent records scheduled for transfer to the National Archives.**	**Temporary.** Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0006-0007
051		**File identical to temporary records authorized for destruction by a NARA-approved records schedule.**	**Temporary.** Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2013-0006-0008
060	**PKI administrative records.** Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating	**FBCA CAs.**	**Temporary.** ~~Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer~~	N1-GRS-07-3, item 13a1

Item	Records Title/Description		Disposition Instruction	Disposition Authority
	project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency's oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating		~~needed for business, whichever is later.~~ **DOE Business Use: Destroy when 7 years and 6 months old.**	
061	certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software. **Note:** Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.	**Other (non-FBCA *et. al.*) CAs.**	**Temporary.** ~~Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later.~~ **DOE Business Use: Destroy when 7 years and 6 months old.**	N1-GRS-07-3 , item 13a2

Item	Records Title/Description	Disposition Instruction	Disposition Authority
062	**PKI transaction-specific records.** Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to- transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records. **Note:** Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.	**Temporary.** ~~Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period~~. **DOE Business Use: Destroy when 7 years and 6 months old.**	N1-GRS-07-3, item 13b

GENERAL RECORDS SCHEDULE (GRS) 4.1: Records Management Records

This schedule covers records created and maintained by Federal agencies that relate to the management of records and information. It includes records related to tracking and controlling agency records and documents, records management, forms management, and managing vital or essential records.

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 Title/Description	Disposition Instruction	Disposition Authority
010	**Tracking and control records.** Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes: • indexes • lists • registers • inventories • logs **Exclusion 1:** This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records. **Exclusion 2:** This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.	**Temporary.** ~~Destroy when no longer needed.~~ **DOE Business Use:** **Destroy when 2 years old.**	DAA-GRS-2013-0002-0016
020	**Records management program records.** Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include: • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventorying records and conducting records surveys	**Temporary.** Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, ~~but longer retention is authorized if needed for business use.~~	DAA-GRS-2013-0002-0007

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	• scheduling records • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions) • conducting records "clean out" days • conducting special projects Records include: • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States **Exclusion**: This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.		
030	**Vital or essential records program records.** Records involved in planning, operating, and managing the agency's vital or essential records program. Includes: • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests	**Temporary.** Destroy 3 years after project, activity, or transaction is completed or superseded, ~~but longer retention is authorized if needed for business use.~~	DAA-GRS-2013-0002-0008
031	**Copies of vital records.** Copies of agency records deemed essential to restore agency functions in case of emergency.	**Temporary.** Destroy when superseded by the next cycle.	DAA-GRS-2013-0002-0015

Item	Records Title/Description	Disposition Instruction	Disposition Authority
040	**Forms management records.** Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form • background materials and specifications	**Temporary.** Destroy 3 years after form is discontinued, superseded, or cancelled~~, but longer retention is authorized if needed for business use.~~	DAA-GRS-2013-0002-0009

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	**Records analyzing Personally Identifiable Information (PII)** 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. Records include Privacy Threshold Assessments (PTAs), Privacy Impact Assessments (PIAs), and Annual Review Summaries.	**Temporary.** Destroy 3 years after final action. Final action can be defined as one of the following: • 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)	DAA-GRS-2016-0003-0003 DAA-GRS-2016-0003-0004

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	**FOIA, Privacy Act, and classified documents administrative records.** Records on managing information access and protection activities. Records include: • correspondence related to routine implementation of the FOIA and Privacy Act and administration of document security classification • associated subject files • feeder and statistical reports **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. **Utilize current schedules for Information Access and Protection Program Records until superseded.**	**Temporary.** Destroy when 3 years old~~, but longer retention is authorized if needed for business use.~~	DAA-GRS-2019-0001-0001

020	**Access and disclosure request files**.
	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:
	• granting the request in full
	• granting the request in part
	• denying the request for any reason including:
	  ○ inability to fulfill request because records do not exist
	  ○ inability to fulfill request because request inadequately describes records
		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.~~	DAA-GRS-2016-0002-0001

Item	Records Description		Disposition Instruction	Disposition Authority
	○ 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: • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions) **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. **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.			
030	**Information access and protection operational records**.	**Records tracking and controlling access to protected information.** Includes: • 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 **Note**: Records documenting individuals' security clearances are covered under GRS 5.6, items 180 and 181.	**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		**Access control records.** Includes: • safe and padlock combinations • names or other personal identifiers of individuals who know combinations • comparable data used to control access into classified document containers	**Temporary**. Destroy when superseded or obsolete,~~ but longer retention is authorized if required for business use.~~	DAA-GRS-2013-0007-0020
032		**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. **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.	**Temporary**. Destroy 90 days after last entry on form~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2016-0002-0003
040	**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: • 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		**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.~~	DAA-GRS-2019-0001-0003
050	**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: • 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		**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~~.	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: • requests for information • copies of replies • all related supporting documents May include: • official copy of records requested or copies	**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		**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: • 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
	Protection and Statistical Efficiency Act), as codified in 44 U.S.C. §101.			
081		**All other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).**	**Temporary**. Destroy 2 years after submission of report, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2013-0007-0023
090	**Privacy Act amendment request files.** 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: • 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		**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.~~	DAA-GRS-2013-0007-0007
100	**Automatic and systematic declassification review program records**. 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.		**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.~~	DAA-GRS-2020-0002-0001
110	**Fundamental classification guidance review files.** Reports, significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9.		**Temporary**. Destroy 5 years after report is submitted to ISOO, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2013-0007-0011

Item	Records Description		Disposition Instruction	Disposition Authority
	Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).			
120	**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.	**Records maintained in the individual's official personnel folder.**	Apply the disposition for the official personnel folder.	
121		**Records maintained separately from the individual's official personnel folder.** **Legal citations:** ICD 703, Protection of Classified National Intelligence; 32 CFR 2001.80(d)(2)(vii).	**Temporary**. Destroy when 50 years old.	DAA-GRS-2015-0002-0003
140	**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.		**Temporary**. ~~Destroy when business use ceases.~~ **DOE Business Use:** Destroy when one year old.	DAA-GRS-2013-0007-0013
150	**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).		**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.~~	DAA-GRS-2016-0003-0002

Item	Records Description		Disposition Instruction	Disposition Authority
160	~~**Records analyzing Personally Identifiable Information (PII).**~~ ~~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.~~	~~**Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs).**~~ ~~Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).~~	**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.~~	~~DAA-GRS-2016-0003-0003~~
161		~~**Records of Privacy Impact Assessments (PIAs).**~~	~~**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.~~	~~DAA-GRS-2016-0003-0004~~
170	**Computer matching program notices and agreements.** 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.		**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.~~	DAA-GRS-2016-0003-0005

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

Item	Records Description	Disposition Instruction	Disposition Authority
180	**Virtual public access library records.** 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: • ~~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 *Federal Register*~~ • 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 **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. Not media neutral. Applies to electronic records only.	**Temporary**. ~~Destroy when no longer needed.~~ **DOE Business Use:** Destroy when one year old. **Note:** A DOE Virtual public access library records Schedule is being written to cover the items struck out. These are currently unscheduled until NARA approves.	DAA-GRS-2016-0008-0001
Controlled Unclassified Information (CUI) program records. **Exclusion:** Records of the Controlled Unclassified Information Executive Agent office at the National Archives (NARA must schedule these records separately).			
190	**CUI program implementation records.** Records of overall program management. Includes: • records documenting the process of planning agency policy and procedure	**Temporary**. Destroy when 7 years old, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2019-0001-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	• 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 **Exclusion 1**: CUI directives and formal policy documents (agencies must schedule these separately). **Utilize current schedules for Information Access and Protection Program Records until superseded.** **Exclusion 2**: Records of CUI self-inspections (GRS 5.7, item 020 covers these). **Exclusion 3**: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).		
191	**CUI information sharing agreements.** Agreements in which agencies agree to share CUI with non-executive branch entities (*e.g.*, state and local police) and foreign entities that agree to protect the CUI. **Exclusion**: Contracts involving CUI and contractor access to CUI; GRS 1.1, item 010 covers contracts.	**Temporary**. Destroy 7 years after canceled or superseded, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2019-0001-0006
192	**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.	**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.~~	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

GENERAL RECORDS SCHEDULE (GRS) 4.4: Library Records

Agency library and information centers collect material related to their agency's mission or focus. This schedule only applies to library or information centers within agencies, not agencies that are themselves libraries. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document agency library and information center administration and daily operations.

Exclusions:

1. Records of standalone libraries such as the Presidential libraries, the Library of Congress, the National Agricultural Library, the National Library of Education, the National Library of Medicine, and the National Transportation Library.
2. Non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserve only for convenient reference, and stocks of publications and processed documents.
3. Unique or special collections of data, technical information, or other records, which agencies must schedule based on their content.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Library administrative records.** Records documenting a library's planning and management. Records may document library policies, procedures, and statistics. Includes records such as: • strategic plans, project plans • policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material • promotional material describing library services and resources • correspondence and records on library staffing and relations with other libraries • quick guides to library databases and resources, topical or customized reading lists, and bibliographies **Note:** For records on purchasing licenses, subscriptions, vendor services, or interagency agreements, see GRS 1.1, Financial Management and Reporting Records.	**Temporary.** Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable. ~~Longer retention is authorized for business use.~~	DAA-GRS-2015-0003-0001
020	**Library operations records.** Records documenting the daily activities of running a library. Includes: • reference inquiries and responses • correspondence and records about normal cataloging, circulation, and document delivery activities • visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms photocopying and digitization requests	**Temporary.** ~~Destroy when business use ceases.~~ **DOE Business Use:** Destroy when 1 year old.	DAA-GRS-2015-0003-0002

Item	Records Description	Disposition Instruction	Disposition Authority
030	**Inter Library-Loan (ILL) requests.**	**Temporary.** Destroy 5 years after completing the transaction.	DAA-GRS-2015-0003-0003

GENERAL RECORDS SCHEDULE (GRS) 4.5: Digitizing Records

This schedule covers source records that have been digitized and documentation related to digitization projects and processes.

Exclusions:

1. Final digitized versions of records. These records must be scheduled on an agency-specific schedule or an applicable General Records Schedule.
2. Input/source records for non-digitized records. GRS 5.2, item 020, covers these records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Source Records.** Records from which a digitized version or digitized record is created that are: ● Scheduled as temporary in an approved records schedule; or ● Scheduled as permanent and that were created on or after 1 January 1950. **Exclusions** The following records are not covered by this authority. For additional information on how to proceed for excluded records see the Frequently Asked Questions (FAQs) for GRS 4.5, Digitizing Records. 1. Source records when the digitized versions do not meet the standards established in 36 CFR 1236 Subpart D - Digitizing Temporary Federal Records or Subpart E - Digitizing Permanent Federal Records. 2. Formats not covered by 36 CFR 1236 Subpart E - Digitizing Permanent Federal Records. Agencies must use agency-specific schedules for these records. 3. Source records that were created before 1 January 1950 that have been scheduled as permanent or are unscheduled. 4. Source records that have intrinsic value in the original medium that would be lost if the content were converted to another medium. **Notes** 1. The regulations for digitizing records and this disposition authority do not address other business needs or legal constraints that may make it necessary for an agency to retain source	**Temporary.** Destroy after validating the digitization process meets NARA's digitization standards in regulation (36 CFR 1236 Subpart D and Subpart E). ~~Longer retention is authorized for business use.~~	DAA-GRS-2022-0010-0001

Item	Records Description		Disposition Instruction	Disposition Authority
	records for a period of time after digitizing. Consult with legal counsel prior to disposal to ensure there are no concerns associated with rights and interests, appeal rights, benefits, national security, litigation holds, or other similar issues. 2. Agencies must schedule digitized records prior to disposing of any source records if they are unscheduled. **Media limitation:** Applies to paper/analog records only. **Legal citations:** 44 U.S.C. 3302 and 3312, 36 CFR 1236.36(a), 36 CFR 1236.56 (d),(f) and (g)			
020	**Digitization Project Records.** Records used to manage digitizing projects and document (validate) that the digitized versions of records are of suitable quality to replace source records. **Exclusion:** Digitized records and associated metadata; the appropriate current, approved agency-specific records schedule or applicable GRS item covers these.	**Documentation for digitizing permanent records.** Specific documentation requirements for digitizing permanent records are listed in 36 CFR 1236.44, Documenting digitization projects. **Exclusion:** Administrative, technical, and descriptive metadata captured during the digitization project must be transferred to NARA with the digitized records (36 CFR 1236.56(j)). **Legal citation:** 36 CFR 1236.56	**Temporary.** Destroy when the digitized records are transferred to the National Archives and NARA confirms legal custody has been accepted. ~~Longer retention is authorized if required for business use.~~	DAA-GRS-2022-0010-0002

Item	Records Description		Disposition Instruction	Disposition Authority
021		**Documentation for digitizing temporary records.** Specific documentation requirements for digitizing temporary records are listed in 36 CFR 1236.34. **Legal Citation:** 36 CFR 1236.34(c)	**Temporary.** Destroy when the records digitized using the validation process are destroyed~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2022-0010-0003

DEPARTMENT OF ENERGY (DOE) 5.1: Common Office Records

This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established.

This schedule does not apply to transitory records, which are scheduled in GRS 5.2.

See GRS 5.1 Common Office Records for all other common office records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Non-recordkeeping copies of electronic records - Copies maintained for reference** Non-recordkeeping copies of electronic records maintained on OneDrive, Home Drives, or personal drives, after the records are copied to a recordkeeping system. This includes: • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications (e.g., Microsoft Office, Portable Document Format (PDF), other applications or their equivalents) • electronic spreadsheets • digital still pictures or posters • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves **Note 1**: Final copies of federal records are not authorized for storage in OneDrive, Home Drives, or personal drives. These records must be managed in an electronic recordkeeping environment.	**Temporary.** Destroy when 7 years old, when no longer needed, or at employee termination, whichever is earlier. **Utilize GRS 5.1, item 020 for non-recordkeeping copies of electronic records NOT maintained on OneDrive, Home Drive or Personal Drive**	DAA-GRS-2016-0016-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	Note 2: Home Drives/OneDrive and personal drives can be internet-based, cloud based or on a local network drive containing working files, drafts and documents used for reference purposes. **Note 3:** Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes but are not recordkeeping copies of those records.		

GENERAL RECORDS SCHEDULE (GRS) 5.1: Common Office Records

This schedule covers certain records common to most offices in Federal agencies, whether those offices are involved in administrative or mission-related activities. Most of these records are administrative housekeeping records. Agencies create and maintain administrative records when carrying out general, non-mission-related activities that keep an office operating. In contrast, agencies create mission records when carrying out the unique activities for which the agency was established. The only mission-related records this schedule covers are non-recordkeeping copies of electronic records (item 020) that are maintained for decision-making purposes or taking action. Copies maintained solely for convenience of reference are considered non-record materials. This schedule may be applied to records in offices that carry out mission-related activities, but only those records that are described here.

This schedule does not apply to transitory records, which are scheduled in GRS 5.2. The distinction between transitory and the records covered in this schedule is that the records here generally have a longer period of business use than transitory records. This schedule also does not cover materials an agency determines to be non-record or personal.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Administrative records maintained in any agency office.** Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include: • staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1) • office-level administrative policies and procedures and files related to their development (see Note 1) • calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level) • informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182) • internal office activity and workload reports • studies and analyses of office administrative functions and activities • non-mission related management reviews and surveys • minutes of meetings related to administrative activities	**Temporary.** ~~Destroy when business use ceases.~~ **DOE Business Use:** **Destroy when 2 years old.**	DAA-GRS-2016-0016-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule. **Exclusion 1: Continue to utilize ADM 23.1b until superseded.** **Note 1:** This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.		
020	**Non-recordkeeping copies of electronic records.** Non-recordkeeping copies of electronic records agencies maintain in email systems, ~~computer hard drives~~ or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes: • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments • electronic spreadsheets • digital still pictures or posters • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves Includes copies of records uploaded and stored in electronic systems for the sole purpose of transferring to another entity (agencies, offices, sites, etc.). **Note 1:** Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records.	~~**Temporary.** Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use~~. **DOE Business Use:** **Temporary.** Destroy immediately after copying to a recordkeeping system or otherwise preserving, but no later than 30 days. Utilize DOE 5.1, item 010 for non-recordkeeping copies of electronic records maintained on OneDrive, Home Drive or Personal Drive.	DAA-GRS-2016-0016-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	Note 2: For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.		
030	**Records of non-mission related internal agency committees.** Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include: • meeting minutes, summaries, agendas, and transcripts • reports and studies • membership records • correspondence, mailing, and distribution records **Exclusion:** These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records. **Note:** Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule. **Note: If GRS 6.2 or a current DOE records disposition schedule doesn't cover the committee records then schedule based on subject/topic of the committee.**	**Temporary.** ~~Destroy when business use ceases.~~ **DOE Business Use: Destroy 1 year after committee dissolved.**	DAA-GRS-2016-0016-0003

DEPARTMENT OF ENERGY (DOE) 5.2: Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short-term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

Exclusions: 1. Source records that have been digitized. GRS 4.5, Digitizing Records, covers these records

See GRS 5.2 for items not covered within this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Data Marts and Warehouses** Repositories of data copied or downloaded from other information systems at specific intervals or on an ad hoc basis into another system to facilitate analysis and reporting. They may contain data from databases as well as geographic information allowing data to be mapped. **Exclusion:** Excludes any reports or analyses produced from imported data. Data owners are responsible for scheduling these based on their content.	**Temporary.** Destroy when superseded or obsolete.	DAA-GRS-2022-0009-0002

GENERAL RECORDS SCHEDULE (GRS) 5.2: Transitory and Intermediary Records

This schedule covers records of a transitory or intermediary nature. Transitory records are routine records of short term value (generally less than 180 days). Intermediary records are those involved in creating a subsequent record. These records do not document significant decisions or actions an agency takes.

Exclusions:

1. Source records that have been digitized. GRS 4.5, Digitizing Records, covers these records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Transitory records.** Records that meet the following conditions: ● They are required for only a short time (generally less than 180 days) **and** ● They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. For specific examples, see the GRS 5.2 Frequently Asked Questions (FAQs). **Exclusion:** This item does not include the following data output files, which must be scheduled on an agency-specific schedule: ● files created specifically for public access purposes ● summarized information from unscheduled electronic records or inaccessible permanent records ● data extracts produced by a process that significantly changes the content of the file from the source records' content, effectively creating a new data file	**Temporary.** ~~Destroy when no longer needed for business use, or according to agency predetermined time period or business rule.~~ **DOE NOTE:** Destroy no later than 180 days old.	DAA-GRS-2022-0009-0001
020	**Intermediary records.** Records that meet the following conditions: ● They exist for the sole purpose of creating a subsequent record **and** ● They are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.	**Temporary.** ~~Destroy upon creation or update of the final record, or when no longer needed for business use, whichever is later.~~	DAA-GRS-2022-0009-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	This includes certain analog and electronic source records for electronic systems that are not otherwise excluded. For specific examples, see the GRS 5.2 Frequently Asked Questions (FAQs). **Exclusion:** Source records that have been digitized. GRS 4.5, item 010, covers these records. **Note:** The GRS provides disposition authority for copies of electronic records from one system that are used as source records to another system, for example an extracted data set. The GRS does not apply to either the originating system or the final system in which the final records reside. These systems must be disposed of per an agency-specific schedule, or if appropriate, another GRS. It is possible that sometimes information is moved from one system to another without the creation of an intermediary copy.	**DOE NOTE:** Destroy when 180 days old (electronic) or 180 days after verification (source documents).	

DEPARTMENT OF ENERGY (DOE) 5.3: Continuity and Emergency Planning Records

This schedule covers records related to DOE internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or controlled unclassified information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

This schedule also covers records related to the DOE Continuity and Emergency Response and Recovery records, as well as a select group of planning records. The Continuity and Emergency Response and Recovery records ensure continuity of agency operations in the face of a natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

Note: Refer to GRS 5.3 for all other Continuity and Emergency Planning records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority

010	**Continuity planning and related emergency planning files.**
	
	Records related to continuity and emergency planning, including:
	
	• continuity and emergency planning operational activities
	  ○ status reports
	• records on continuity or emergency tests or exercises, such as:
	  ○ instructions to members participating in tests
	  ○ staffing assignments
	  ○ records of tests of communications and facilities
	• evaluative reports on continuity or emergency tests or exercises, such as:
	  ○ result reports
	  ○ readiness reports
	  ○ risk and vulnerability assessments
	  ○ site evaluations and inspections
	  ○ corrective action plans
	  ○ after action reports/improvement plans
	
	Exclusion: All other continuity and emergency planning records are covered by GRS 5.3, item 010.
		Temporary. Destroy when 75 years old.	DAA-GRS-2016-0004-0001

GENERAL RECORDS SCHEDULE (GRS) 5.3: Continuity and Emergency Planning Records

This schedule covers records related to federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or controlled unclassified information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

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.

This schedule does not include the following:

- external emergency planning records related to providing emergency response and recovery services to the public
- records related to high-level Government-wide Continuity of Government (COG) planning
- emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes
- records related to a national disaster or incident response

These records may be of permanent value and must be scheduled on an agency-specific records schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Continuity planning and related emergency planning files.** Records may include: • records on continuity and emergency planning administrative and operational activities: ○ briefing materials and presentations ~~○ status reports~~ ○ informational papers ○ files documenting policy or plan development, including policy studies ○ procedures, operational manuals, and related development records ○ implementation guidance ○ related correspondence ○ Memorandum (s) of Understanding ○ Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to:	**Temporary.** Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable~~, but longer retention is authorized if required for business use~~. **See DOE 5.3, item 010 for emergency planning records removed from this schedule.**	DAA-GRS-2016-0004-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	○ Continuity of Operations (COOP) plans ○ Devolution Plans ○ Occupant Emergency Plans (OEP) ○ Emergency Action Plans (EAP) ○ Facility Emergency Action Plans (FEAPS) ○ Records Emergency Plans (REMT) ○ Disaster Recovery Plans (DRP) ○ Pandemic Influenza Plans • ~~records on continuity or emergency tests or exercises, such as:~~ ○ ~~instructions to members participating in tests~~ ○ ~~staffing assignments~~ ○ ~~records of tests of communications and facilities~~ • ~~evaluative reports on continuity or emergency tests or exercises, such as:~~ ○ ~~result reports~~ ○ ~~readiness reports~~ ○ ~~risk and vulnerability assessments~~ ○ ~~site evaluations and inspections~~ ○ ~~corrective action plans~~ ○ ~~after action reports/improvement plans~~ **Note 1:** Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records. **Note 2:** Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1. **Exclusion 1:** This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.	**Exclusion 1 and 2: New DOE records disposition schedules are being created to cover these records.**	

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records. **Exclusion 3:** This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.		
020	**Employee emergency contact information.** Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation. **Exclusion:** This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020). **DOE Privacy Act System of Record – DOE-11 – Emergency Operations Notification Call List: Department of Energy and National Nuclear Security Administration senior officials, office directors, managers, key support staff, and DOE contractors involved in DOE emergency management and operations activities, Continuity of Government activities and Continuity of Operations activities.**	**Temporary.** Destroy when superseded or obsolete, or upon separation or transfer of employee.	DAA-GRS-2016-0004-0002

GENERAL RECORDS SCHEDULE (GRS) 5.4: Facility, Equipment, Vehicle, Property, and Supply Records

This schedule covers records Federal agencies create and receive while managing, operating, and maintaining Government-owned and -leased real property, facilities, equipment, vehicles (land, water and air), personal property, and supplies. This includes allocating space and managing supply stock.

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
010	**Facility, space, vehicle, equipment, stock, and supply administrative and operational records.** Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes: • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories* • inventories of-property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence *Space Assignments for nuclear facilities or facilities that produce or store hazardous materials utilize ADM 17.6 until superseded. **Exclusion 1:** Records of aircraft operations (item 110 in this schedule covers these). **Exclusion 2**: Records of supply and property procurement (GRS 1.1, item 010 covers these).	**Temporary.** Destroy when 3 years old or 3 years after superseded, as appropriate~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0011-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion 3: Requisition and supply records of the General Services Administration's GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies' mission so they must schedule the records separately).		
Ownership			
020	**Real property ownership records.** Abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise. **Note:** Ownership records may be transferred to a new owner, if applicable. **Exclusions:** 1: Records relating to property acquired prior to January 1, 1921. Agencies must schedule these separately. 2: Reports of Excess Real Property (Standard Form 118) and associated real property case files. Agencies must schedule these separately. **Exclusion 2: Utilize ADM 4.3d until superseded.**	**Temporary.** Destroy after final action. ~~Longer retention is authorized if needed for business use.~~ **Utilize ADM 3.1a for records relating to property acquired after 12/31/1920, other than abstract or certificate of title until superseded.**	DAA-GRS-2023-0006-0001
030	**Vehicle and equipment ownership records and operation manuals**. Vehicle and equipment identification, registration, and warranty records, manuals and similar documentation, whether produced locally or by the manufacturer. **Note:** Ownership records may be transferred to a new owner, if applicable.	**Temporary.** Destroy after final action. ~~Longer retention is authorized if needed for business use~~.	DAA-GRS-2023-0006-0002
040	**Excess personal property, equipment, and vehicle records.** Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes: • excess property inventories and lists • lists and other records identifying approved receivers of excess property • donation receipts • destruction certificates	**Temporary.** Destroy when 3 years old~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0011-0004

Item	Records Description		Disposition Instruction	Disposition Authority
	• documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence **Exclusion**: Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).			
Facilities and equipment				
050	**Facility design, engineering, and construction records.** Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes: • site maps and surveys • plot plans • structural drawings • architectural renderings • electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings • exterior delivery of utilities drawings • materials plans and drawings • minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams • construction progress photographs • construction inspection reports • equipment location plans	**Draft, preliminary, intermediate, working, and contract negotiation drawings.** **Continue to utilize schedules under ADM 17.30.c for draft preliminary, intermediate, working and contract negotiation drawings until superseded.**	**Temporary.** ~~Destroy when superseded, or when project terminates, as appropriate.~~	DAA-GRS-2016-0011-0005
051		**Final and as-built drawings, plans, and designs; and all other records.** **Continue to utilize schedules under ADM 17.31 (a-c) for Project planning, design, and construction records until superseded.**	**Temporary.** Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate.	DAA-GRS-2016-0011-0006

Item	Records Description		Disposition Instruction	Disposition Authority
	• paint plans and samples • furniture design and layout drawings and plans • space occupancy plans* *Utilize ADM 11.2a for Building plan files, surveys, and other records until superseded. **Exclusion 1**: Records documenting financial management of construction contracts (GRS 1.1, item 010 covers these). **Exclusion 2:** Records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value).			
060	**Facility design, engineering, and construction operations records.** ~~Records documenting operational support of facility design, engineering, and construction projects. Includes:~~ ~~• project requests and approvals~~ ~~• meeting agendas, minutes, and other records~~ ~~• budget and cost working files~~ ~~• task, punch, and action item lists~~ ~~• work logs~~ ~~• progress reports and presentation materials~~ ~~• related correspondence and notes~~ **Continue to utilize schedule items under ADM 17.30 and ADM 17.31 for Project planning, design, and construction records until superseded.**		**Temporary.** ~~Destroy 5 years after project completion or termination, but longer retention is authorized if required for business use.~~	~~DAA-GRS-2016-0011-0007~~
070	**Facility, space, and equipment inspection, maintenance, and service records.** Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, Federally owned and operated housing, equipment, and personal property. Includes:	**Records documenting facility structure and long-term maintenance.**	**Temporary.** Destroy when 3 years old~~, but longer retention is~~	DAA-GRS-2016-0011-0008

Item	Records Description	Disposition Instruction	Disposition Authority
	• repair and maintenance work orders, requisitions, and related papers • maintenance and inspection logs and reports	~~authorized if required for business use~~.	
	• job orders, service call records, action sheets, and repair logs • work, shop, or job schedules **Note 1**: Agencies that contract out facility management may wish to retain records longer than this item's disposition instruction to document contract performance. **Note 2:** Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority. **Exclusion**: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).		
080	**Housing rental and lease records.** Applications, leases, renewals, assignments, termination notices, and related documents regarding Federally owned and operated housing facilities.	**Temporary.** Destroy 3 years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.	DAA-GRS-2016-0011-0010
Vehicle maintenance and inspection records			
090	**Land vehicle and water vessel inspection, maintenance, and service records.** Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes: • work orders, service and repair requisitions, and logs • descriptions of provided service and repair, and related papers	**Temporary.** Destroy when 3 years old~~, but longer retention is authorized if required for business use~~. Transfer of extant records to new	DAA-GRS-2016-0011-0011

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Records agencies hold to document expenditure of appropriated or non-appropriated funds (GRS 1.1, item 010 covers these).	owner at sale or donation is authorized.	
100	**Aircraft inspection, maintenance, and modification records.** Records documenting general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding: • servicing, manufacturing, rebuilding and testing equipment • classifying material's condition status • preventive maintenance • aircraft or equipment configuration and material alteration • logistics services Includes records such as: • technical and non-technical correspondence • maintenance manuals • documentation of mechanical defects and evidence of repair • annotated manuals or manuals different from those the manufacturer issued • bulletins directing specific inspections and records of action • logbooks • diagnostic checkouts • spot check inspections • maintenance requests **Exclusion 1:** Maintenance manuals of unique or customized aircraft must be scheduled by the agency. **Exclusion 2**: Records of the Air Force, Navy, Army, and Federal Aviation Administration must be scheduled by those agencies.	**Temporary.** Destroy 6 years after disposing of aircraft or removing equipment from inventory~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0011-0013
Vehicle and equipment operations and use records			
110	**Vehicle and heavy equipment operator records**. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records.	**Temporary.** Destroy 3 years after separation of employee or 3 years after rescission of	DAA-GRS-2016-0011-0014

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).	authorization to operate vehicles or equipment, whichever is sooner.	
120	**Aircraft flight operations records.** Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs, destinations, and passengers; flight orders; flight plans; load manifests; dispatch releases; flight logs; and similar records. **Exclusion**: Records of the Air Force, Navy, Army, and Federal Aviation Administration must be scheduled by those agencies.	**Temporary.** Destroy when 3 years old~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0011-0015
130	**Aircraft operational support records.** Records documenting logistical support to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes: • comments on regulations • directives and other records regarding logistics • management improvement reports • cost reduction reports • requests for substantive information regarding logistics • aircraft inventories	**Temporary.** Destroy when 6 years old~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0011-0016
140	**Vehicle and vessel accident and incident records.** Records about vehicle and vessel accidents—land, water, and air—that vehicle management offices maintain, including: • Standard Form 91, Motor Vehicle Accident Report • Standard Form 94, Statement of Witness • Standard Form 95, Claim for Damage, Injury, or Death • *copies* of investigative reports (see Exclusion for original investigative reports) **Exclusion**: Original formal accident and incident investigation records (covered under GRS 5.6).	**Temporary.** Destroy 3 years after case is closed.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2016-0011-0017

DEPARTMENT OF ENERGY (DOE) 5.5: Mail, Printing and Telecommunication Service Management Records

This schedule covers records related to:

- organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service
- administration and usage of landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies
- administering printing/binding/duplicating services

Note: Refer to GRS 5.5 for all other Mail, Printing, and Telecommunication Service Management records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Directories/Phone Listing/Locator Cards/Indexes** Record set directories, locator cards, indexes of personnel listing identifying location, organization, phone number, assigned employee number, mail stop, or other information used for communication purposes.	**Temporary.** Destroy when 75 years old.	DAA-GRS-2016-0012-0002

GENERAL RECORDS SCHEDULE (GRS) 5.5: Mail, Printing and Telecommunication Service Management Records

This schedule covers records related to:

- organizing, planning, administering, controlling, and overseeing agency communications it sends and receives through any mail, messenger, courier, or shipping service
- administering and using all landline and mobile telecommunication equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies
- administering printing/binding/duplicating services

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.

This schedule specifically excludes certain records from coverage:

- objects relayed by any delivery system: hard copy mail, packages, and messages the agency sends or receives by telephone, email, text, or radio (the agency must schedule these according to the item's subject matter content)
- records documenting agency contracts with shipping, delivery, and telecommunication services (covered under GRS 1.1, item 010)
- information technology (IT) records (covered under GRS 3.1)
- unique agency publications produced by a printing service (the publishing agency must schedule these records)
- records documenting agency programs that provide printing services (*e.g*. the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (*e.g*. the Armed Forces Radio and Television Service) (those agencies must schedule these records)

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Mail, printing, and telecommunication services administrative and operational records.** Records of internal mail room, printing/duplication services, and radio/telecommunication services administration and operation. Includes: • agreements and related background data and other records regarding mail, printing, telecommunication, and radio services, the agency retains for administrative (not fiscal) use • records that document acquiring, installing, changing, removing, and servicing mail, printing, telecommunication, and radio service equipment	**Temporary.** Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate~~, but longer retention is~~	DAA-GRS-2016-0012-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	• telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data • records documenting allocation, distribution, and use of telephone calling cards • statistical reports on mail and package shipment volume and costs • related correspondence **Exclusion**: Agreements used to support payment vouchers (GRS 1.1, item 010 covers these)	~~authorized if required for business use~~.	
020	**Mail, printing, and telecommunication services control records**. Records of general day-to-day communication service administration and specific transmission tracking. Includes: • records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages • messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity • reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment • records that document requisitioning and receiving stamps and postage meter balances • documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger ~~• staff and office directories the agency uses to ensure correct mail and package delivery~~ • printing requisitions, work orders, samples, manuscript clearances, and related documents ~~• mailing and contact lists a mailroom or similar office manages~~ • telephone message registers and logs **Exclusion 1**: United States Postal Service records tracking shipment, *etc*. (first bullet) and reports of loss, *etc*. (third bullet). USPS must schedule these separately. **Exclusion 2**: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these). **Exclusion 3:** Mailing lists for public distribution of material (GRS 6.5, item 020 covers these).	**Temporary.** Destroy when 1 year old or when superseded or obsolete, whichever is applicable~~, but longer retention is authorized if required for business use~~. **Utilize DOE 5.5, Item 010 for staff and office directories, contact lists, and locators for mail deliveries.**	DAA-GRS-2016-0012-0002

Item	Records Description	Disposition Instruction	Disposition Authority
030	**Metered mail records.** Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.	**Temporary.** Destroy when 6 years old~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0012-0003
040	**Lost, destroyed, or damaged shipment records.** Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.	**Temporary**. Destroy when 6 years old~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2016-0012-0004

DEPARTMENT OF ENERGY (DOE) 5.6: Security Management Records

This schedule covers records relating to the Safeguard and Security interests to protect Departmental facilities from unauthorized entry, sabotage, or loss and to ensure the adequacy of protective measures and to determine eligibility for access authorization of individuals employed by DOE or its contractors.

Note: See GRS 5.6 for all other Security records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Physical Security Program			
100 **EPI**	**Records of routine security operations.** Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes: • control center key or code records • emergency alarm contact call lists • temporary identification cards **Utilize GRS 5.6, item 090 for all other Records of routine security operations.**	**Temporary.** Destroy 30 days after superseded/obsolete.	DAA-GRS-2021-0001-0003

GENERAL RECORDS SCHEDULE (GRS) 5.6: Security Management Records

Security Management involves the physical protection of an organization's personnel, assets, and facilities (including security clearance management). Activities include: security operations for protecting agency facilities, staff, and property; managing personnel security; and insider threat protection.

Conditions and Exclusions

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

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

Item	Records Description		Disposition Instruction	Disposition Authority
010	**Security management administrative records.** Records about routine facility security, protective services, and personnel security program administration not covered elsewhere in this schedule. Includes: • administrative correspondence • reports, including status reports on cleared individuals • staffing level and work planning assessments, such as guard assignment records • administrative subject files		**Temporary.** Destroy when 3 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2021-0001-0001
020	**Key and card access accountability records.** Records accounting for keys and electronic access cards.	**Areas requiring highest level security awareness.**	**Temporary.** Destroy 3 years after return of key.~~, but longer~~	DAA-GRS-2017-0006-0002

Item	Records Description		Disposition Instruction	Disposition Authority
		Includes areas designated by the Interagency Security Committee as Facility Security Level V.	~~retention is authorized if required for business use.~~	
021		**All other facility security areas.** Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	**Temporary.** Destroy 6 months after return of key.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0003
030	**Security uniform and equipment tracking records.** Records tracking uniforms and equipment issued to security personnel, including: • firearms (type, serial number, manufacturer, caliber, firearm registration date, storage location data, etc.) • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests • police baton and holder • handcuffs and keys **Exclusion:** Does not apply to uniform and equipment tracking records for federal law enforcement and correctional officers. federal law enforcement includes border and transportation security and immigration and naturalization services.		**Temporary.** Destroy 3 months after return of equipment.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2021-0001-0002
040	**Property pass records.** Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.		**Temporary.** Destroy 3 months after expiration or revocation.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0005
050	**Misuse or irregularities investigation records.** Records about irregularities in handling mail and improper use or misuse of telephone calling cards and government charge or purchase cards. Includes, but is not limited to, postal irregularities reports and semi-annual reports on government charge card violations.		**Temporary.** Destroy 3 years after final action. ~~Longer retention is authorized for business use.~~	DAA-GRS-2023-0007-0001

Item	Records Description		Disposition Instruction	Disposition Authority
	Exclusions: 1. Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020.			
060	**Unclaimed personal property records.** Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes: • lost-and-found logs and release forms • loss statements • receipts • reports	**Records for property valued over $500.** **Legal Citation:** 41 CFR 102-41.130	**Temporary.** Destroy when 3 years old or 3 years after the date title to the property vests in the Government.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0007
061		**Records for property valued at $500 or less.** **Legal citation:** 41 CFR 102-41.130	**Temporary.** Destroy 30 days after the property is found.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0008
Facility and physical security records.				
070	**Interagency Security Committee member records.** Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes: • agendas • meeting minutes • best practice and standards documents • funding documents for security countermeasures **Exclusion:** Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.		**Temporary.** Destroy when 10 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0009
080	**Facility security assessment records.** ~~Surveys and inspections of security and safety measures at Government or privately owned~~	**Areas requiring highest level security awareness.**	~~**Temporary.** Destroy 5 years after updating the security assessment or terminating the~~	DAA-GRS-2017-0006-0010

Item	Records Description		Disposition Instruction	Disposition Authority
	~~facilities assigned a security awareness status by Government agencies. Includes:~~ ~~• facility notes~~ ~~• inspector notes and reports~~ ~~• vulnerability assessments~~	~~Includes areas designated by the Interagency Security Committee as Facility Security Level V.~~ **Continue to utilize ADM 18.9 and ADM 18.10 for Survey and Inspection files until superseded.**	~~security awareness status, whichever is sooner., but longer retention is authorized if required for business use.~~	
081		**All other facility security areas.** ~~Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.~~ **Continue to utilize ADM 18.9 and ADM 18.10 for Survey and Inspection files until superseded.**	~~**Temporary.** Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner., but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0011

090	**Facility security management operations records.**
	Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:
	~~• control center key or code records~~
	• registers of patrol and alarm services
	• service reports on interruptions and tests
	~~• emergency alarm contact call lists~~
	~~• temporary identification cards~~
	• correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date
	• round and perimeter check reports, including facility patrol tour data
	• surveillance records
	  ○ recordings of protective mobile radio transmissions
	  ○ video surveillance recordings
	  ○ closed circuit television (CCTV) records
	• door slip summaries
		Utilize DOE 5.6, item 100 for Records of routine security operations under EPI Moratorium (struck out items).	**Temporary.** Destroy when 30 days old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2021-0001-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusions: The following records are excluded and must be scheduled on agency-specific schedules: 1. Records related to federal law enforcement and federal correctional activities, such as body camera recordings and criminal surveillance records. federal law enforcement includes border and transportation security and immigration and naturalization services. 2. Records related to accident or incident investigations (see note 1 below). Surveillance recordings that include accidents or incidents may be destroyed using this disposition authority provided a copy is retained in the accident or incident investigation records. **Notes:** 1. Item 100 covers records of accidents and incidents. 2. Items 110 and 111 cover records of visitor processing.		
100 **EPI**	**Accident and incident records.** Records documenting accidents and incidents occurring on, in, or at government-owned or -leased facilities, vehicles (land, water, and air), and property used by Federal agencies. **Exclusions:** 1. Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by federal agencies, including leased aircraft used by federal agencies. The FAA and NTSB cover these records under agency-specific schedules. 2. Records related to federal law enforcement and federal correctional activities. Federal law enforcement includes border and transportation security and immigration and naturalization services. Agencies that create these records must schedule them on agency-specific schedules. 3. Records of accidents or incidents in federal facilities involved in incarcerating or detaining individuals. Agencies that create these records must schedule them on agency-specific schedules. **NOTE: Only use this schedule in the event of MINOR accidents and incidents that do not require additional reporting.**	**Temporary.** Destroy 3 years after final action. ~~Longer retention is authorized for business use.~~ **Continue to utilize current DOE schedules for Event Reporting (Occurrence Reporting) until superseded.** **Utilize DOE 2.4, item 100, for Worker's Compensation Records.** **Utilize DOE 2.7, item 110 for Personal Injury Records until superseded.**	DAA-GRS-2023-0007-0002

Item	Records Description		Disposition Instruction	Disposition Authority
	4. Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100 and 101, covers these records. 5. Records that vehicle management offices maintain about vehicle and vessel accidents—land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, covers these records.			
110	**Visitor processing records.** Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers. **Note:** GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files. **NOTE: Continue to utilize ADM 18.17.1a for visitor access records for visitors with potential for exposure to hazardous material until superseded.**	**Areas requiring highest level security awareness.** Includes areas designated by the Interagency Security Committee as Facility Security Level V.	**Temporary.** Destroy when 5 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0014
111		**All other facility security areas.** Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	**Temporary.** Destroy when 2 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0015
120	**Personal identification credentials and cards.** Records about credential badges (such as smart cards) that are (1) based on the HSPD-12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information	**Application and activation records.** Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes: • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected	**Temporary.** Destroy 6 years after the end of an employee or contractor's tenure.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2021-0001-0005

Item	Records Description		Disposition Instruction	Disposition Authority
	systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials. **Exclusion:** Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.	• lost or stolen credential documentation or police report **Note 1:** Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority. **Note 2:** GRS 3.2, Information Systems Security Records, covers applications for access to information systems.		
		<u>DOE Privacy Act System of Record</u> – DOE-63– Personal Identity Verification (PIV) Files: Individuals who have applied for a DOE PIV credential under the PIV process.		
121		**Cards.**	**Temporary.** Destroy after expiration, confiscation, or return.	DAA-GRS-2017-0006-0017
130	**Temporary and local facility identification and card access records.** Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes: • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance • parking permits		**Temporary.** Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2021-0001-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.		
140	**Sensitive Compartmented Information Facility (SCIF) accreditation records.** Physical security plans for SCIF construction, expansion, or modification. Includes: • initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist	**Temporary.** Destroy when SCIF receives final accreditation.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0019
150	**Sensitive Compartmented Information Facility (SCIF) inspection records**. Inspection records required by Intelligence Community Directive (ICD) 705. Includes: • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals	**Temporary.** Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0020
160	**Canine (K-9) service records.** Records documenting acquisition, training, activities, care, retirement or death of canine partners.	**Temporary.** Destroy 3 years after the end of the canine's service. ~~Longer retention is authorized for business use.~~	DAA-GRS-2023-0007-0003
Personnel security records.			
170	**Personnel security investigative reports.** Investigative reports and related documents agencies create or use to support initial **Personnel suitability and eligibility investigative reports.**	**Temporary.** Destroy in accordance with the investigating agency instruction.	DAA-GRS-2017-0006-0022

Item	Records Description		Disposition Instruction	Disposition Authority
171	favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.	**Reports and records created by agencies conducting investigations under delegated investigative authority.**	**Temporary.** Destroy in accordance with delegated authority agreement or memorandum of understanding.	DAA-GRS-2017-0006-0023
180	**Personnel security and access clearance records.** Records about security clearances, and other clearances for access to Government facilities or to controlled unclassified information, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination **Note:** GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records.	**Records of people not issued clearances.** Includes case files of applicants not hired. **Exclusion:** Copies of investigative reports covered in items 170 and 171.	**Temporary.** Destroy 1 year after consideration of the candidate ends.~~, but longer retention is authorized if required for business use.~~ **Continue to utilize current DOE schedules until superseded.**	DAA-GRS-2021-0001-0007
181		**Records of people issued clearances.** **Exclusion:** Copies of investigative reports covered in items 170 and 171.	**Temporary.** Destroy 5 years after employee or contractor relationship ends.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2021-0001-0008
190	**Index to the personnel security case files.** Lists or reports showing the current security clearance status of individuals.		**Temporary.** Destroy when superseded or obsolete. **Continue to utilize current DOE schedules until superseded.**	DAA-GRS-2017-0006-0026

Item	Records Description	Disposition Instruction	Disposition Authority
200	**Information security violations records.** Case files about investigating alleged violations of executive orders, laws, or agency regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products. **Exclusion 1:** Documents placed in Official Personnel Folders. GRS 2.2, Employee Management Records covers these records. **Exclusion 2:** Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules. **DOE Privacy Act System of Record – DOE-48– Security Education and/or Infraction Reports: DOE including National Nuclear Security Administration employees and DOE contractor employees possessing DOE access authorizations.**	**Temporary.** Destroy 5 years after close of case or final action, whichever occurs sooner.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0027
Insider threat records.			

210	**Insider threat administrative and operations records.**
	Records about insider threat program and program activities. Includes:
	• correspondence related to data gathering
	• briefing materials and presentations
	• status reports
	• procedures, operational manuals, and related development records
	• implementation guidance
	• periodic inventory of all information, files, and systems owned
	• plans or directives and supporting documentation, such as:
	  ○ independent and self-assessments
	  ○ corrective action plans
	  ○ evaluative reports
		Temporary. Destroy when 7 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0028

Item	Records Description	Disposition Instruction	Disposition Authority
	Note: GRS 2.6, Employee Training Records, covers records on mandatory employee training about insider threats.		
220	**Insider threat inquiry records.** Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets. **Exclusion:** Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules. **Record series includes threats enacted by insiders; despite their origin (internal or external) and hazard and penetration records, as they are part of the overall DOE Insider Threat Program.**	**Temporary.** Destroy 25 years after close of inquiry.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0029

230	**Insider threat information.**
	Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:
	• Counterintelligence and security information
	  ○ personnel security files
	  ○ polygraph examination reports
	  ○ facility access records, including visitor records
	  ○ security violation files
	  ○ travel records
	  ○ foreign contact reports
	  ○ financial disclosure filings
	  ○ referral records
	  ○ intelligence records
	• Information assurance information
	
	Record series includes threats enacted by insiders; despite their origin (internal or external) and hazard and penetration records, as they are part of the overall DOE Insider Threat Program.
		Temporary. Destroy when 25 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0030

Item	Records Description	Disposition Instruction	Disposition Authority
	○ personnel usernames and aliases ○ levels of network access ○ levels of physical access ○ enterprise audit data which is user attributable ○ unauthorized use of removable media ○ print logs • Human resources information ○ personnel files ○ payroll and voucher files ○ outside work and activities requests ○ disciplinary files ○ personal contact records ○ medical records/data • Investigatory and law enforcement information ○ statements of complainants, informants, suspects, and witnesses ○ agency, bureau, or department data • Public information ○ court records ○ private industry data ○ personal biographical and identification data, including U.S. Government name check data ○ generic open source and social media data **Exclusion:** Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.		
240	**Insider threat user activity monitoring (UAM) data.** User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to: • identify and evaluate anomalous activity involving National Security Systems (NSS) • identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders • support authorized inquiries and investigations	**Temporary.** Destroy no sooner than 5 years after inquiry has been opened.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0006-0031

DOE Privacy Act System of Record – DOE-49 – Security Communications Files: For those records described in *Categories of Records in the System,* such records are maintained and used by DOE to maintain a database and profiles of all individuals who have made threats of any kind, and through any medium, against DOE officials, DOE employees, DOE contractor employees, DOE facilities and/or DOE buildings.

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules. **Legal authority:** CNSSD No. 504, 4 February 2014 **Record series includes threats enacted by insiders; despite their origin (internal or external) and hazard and penetration records, as they are part of the overall DOE Insider Threat Program.**		

GENERAL RECORDS SCHEDULE (GRS) 5.7: Administrative Management and Oversight Records

This schedule covers records about administrative management activities in Federal agencies. It includes activities such as internal controls oversight and reporting, policies and procedures, and results management and reporting, but only when they relate to administrative functions. It also includes some records related to the Federal Register.

Exclusions and Conditions:

1. Excluded from this schedule are records about management and oversight of non-administrative activities, including agency mission-related performance management records, strategic plans, risk management records, audit records, organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories.
2. 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
Administrative Internal Controls			
010	**Administrative internal control management records.** Records related to internal evaluations of accounting and administrative controls, mandated or governed by: OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes: ● copies of internal and external directives outlining management control policy ● management control plans and records of the planning process ● comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements ● 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 ● feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) ● records tracking assignments, tasks, and responsibilities ● related correspondence	**Temporary**. Destroy 1 year after submission or when superseded, as appropriate.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2020-0001-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion 1: Reports related to agency mission activities (agencies schedule these separately). **Exclusion 2:** Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately). **Exclusion 3:** Reports that mandating agencies receive (these agencies must schedule them separately).		
020	**Internal control review, response, and mitigation management records.** Copies of reports and audits identifying internal administrative program weaknesses, mitigation action plans, corrective actions, tracking records, correspondence, and other records held by the office responsible for coordinating internal control functions. **Exclusion:** Records held by offices contributing to internal control review, response, and mitigation—but not responsible for overseeing it (GRS 5.1, item 010 covers these).	**Temporary.** Destroy 5 years after no further corrective action is needed.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0008-0002
Administrative Policy, Standards, and Guidelines			
030	**Administrative directives and notices.** Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development. **Exclusion**: Documents related to mission activities (agencies schedule these separately). **Note: Continue to utilize current schedules for Issuance Documenting Substantive Functions.**	**Temporary.** Destroy when superseded, obsolete.~~, or no longer needed for business, whichever is later.~~	DAA-GRS-2017-0008-0003
Administrative Results Management and Reporting			
040	**Administrative management report requirements records.** Processing and submission files on mandatory management reports an agency creates or proposes. Includes: • copies of authorizing directives • preparation instructions	**Temporary**. Destroy 2 years after the report is discontinued.~~, but longer retention is~~	DAA-GRS-2020-0001-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• descriptions of required or standardized formats • clearance forms • documents on evaluating, continuing, revising, and discontinuing reporting requirements. This item applies only to management reports related to administrative activities. **Exclusion:** Final reports created using these requirements. Use GRS 5.7, item 050, for mandatory reports related to administrative matters.	~~authorized if required for business use.~~	
050	**Mandatory reports to external federal entities regarding administrative activities.** Agency-level reports that external federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA), require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements, and the FAIR Act. Examples include: ● Agency Financial Report (AFR) ● Statement of Assurance (per FMFIA), or equivalent ● information collection clearances ● report on financial management systems' compliance with requirements (per FMFIA), or equivalent ● report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA) ● EEOC reports ● Analysis and Action Plans and other reports required by EEOC's MD 715 ● No FEAR Act reports ● service organization auditor report, or equivalent ● improper payments report ● premium class travel report ● report on property provided to non-federal recipients, schools, and nonprofit educational institutions ● feeder reports to the Status of Telework in the Federal Government Report to Congress ● feeder reports to GSA fleet reports Includes ancillary records such as: ● background and research records ● submission packets and compilations	**Temporary**. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2020-0001-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	● related files **Exclusion 1**: Oversight entities mandating the reports must separately schedule reports they receive. **Exclusion 2:** Mandatory reports and records related to agency management and oversight that are not limited to administrative matters, such as agency Annual Performance Plans, Annual Performance Reports, Performance and Accountability Reports (PAR), and strategic planning records (agencies schedule these separately). **Exclusion 3**: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040, cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory external reports on information access and protection (GRS 4.2, item 080, covers these).		
060	**Records of allegations and claims that fall under U.S. Office of Special Counsel jurisdiction.** Case files of interactions with the Office of Special Counsel (OSC) responding to allegations of illegality, waste, corruption, or other misconduct per the Civil Service Reform Act, Whistleblower Protection Act, Hatch Act, and Uniformed Services Employment & Reemployment Rights Act (USERRA). Includes correspondence with and reports to and from the OSC; copies of testimony or hearing transcripts; copies of lists of corrective actions, orders or decisions, and appeals; and copies of final adjudications thereof. **Exclusion 1**: Records the Merit Systems Protection Board and the Office of Special Counsel create and hold (these entities schedule such records separately). **Exclusion 2**: Records of allegations of illegality, waste, corruption, or other misconduct reported to authorities within the whistleblower's own agency and handled without involving OSC (agencies must schedule such records separately). **Exclusion 2: Utilize current schedules for Office of Inspector General audits/investigation.**	**Temporary**. Destroy 3 years after final order or final adjudication of appeal, as appropriate.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0008-0006
Records Related to the *Federal Register*			
070	***Federal Register* notices other than proposed and final rules.** Records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency's seal,	**Temporary**. Destroy when 1 year old.~~, but longer retention is authorized if~~	DAA-GRS-2017-0012-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	guidance, System of Records Notices (SORNs), Paperwork Reduction Act Information Collection Requests (PRA ICRs), and other matters not codified in the Code of Federal Regulations. **Note 1**: SORNs *per se* are covered by GRS 4.2, item 150. **Note 2**: PRA Information Collection reports are covered by GRS 5.7, item 050. **Note 3**: Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are covered by GRS 6.2, item 050.	~~required for business use.~~	
080	**Agency input into the unified agenda.** Records that process agency input into the publication of: ● The Unified Agenda of Federal Regulatory and Deregulatory Actions (also known as the "unified agenda" or "semiannual regulatory agenda") published by General Services Administration (GSA) with input from the Office of Management and Budget (OMB) ● agency regulatory flexibility agendas ● The Regulatory Plan **Exclusion**: Compiled records received by GSA, OMB, and the Office of the Federal Register; those entities must schedule these records.	**Temporary**. Destroy when 2 years old.~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0012-0005

DEPARTMENT OF ENERGY (DOE) 5.8: Administrative Help Desk Records

Help desk services are provided by service centers to respond to Government and contract employees' technical and administrative questions. This schedule covers records on managing administrative, technical, and information technology (IT) help desks. It includes records on assistance provided both within the agency and through inter-agency service agreements on functions such as IT help, security, parking, payroll, timekeeping, human resources, etc.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Technical and Administrative Help Desk Operational Records** • records of incoming requests (and responses) made by phone, email, web portal, etc. • trouble tickets and tracking logs • quick guides and "Frequently Asked Questions" (FAQs) • evaluations and feedback about help desk services • analysis and reports generated from customer management data • customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports **Exclusion:** Public customer service records scheduled under GRS 6.5.	**Temporary.** Destroy when 3 years old.	DAA-GRS-2017-0001-0001

GENERAL RECORDS SCHEDULE (GRS) 5.8: Administrative Help Desk Records

Help desk services are provided by service centers to respond to Government and contract employees' technical and administrative questions. This schedule covers records on managing administrative, technical, and information technology (IT) help desks. It includes records on assistance provided both within the agency and through inter-agency service agreements on functions such as IT help, security, parking, payroll, timekeeping, human resources, etc.

Item	Records Description	Disposition Instruction	Disposition Authority
010	~~**Technical and administrative help desk operational records.**~~ ~~• records of incoming requests (and responses) made by phone, email, web portal, etc.~~ ~~• trouble tickets and tracking logs~~ ~~• quick guides and "Frequently Asked Questions" (FAQs)~~ ~~• evaluations and feedback about help desk services~~ ~~• analysis and reports generated from customer management data~~ ~~• customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports~~ ~~**Exclusion:** Public customer service records scheduled under GRS 6.5.~~	~~**Temporary.** Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate.~~ **Utilize DOE 5.8, item 010, Technical and Administrative Help Desk Operational Records.**	~~DAA-GRS-2017-0001-0001~~

GENERAL RECORDS SCHEDULE (GRS) 6.1:
Email and Other Electronic Messages Managed under a Capstone Approach

This schedule applies *only* to federal agencies that implement a Capstone approach as described in this GRS. When implementing this GRS, agencies should consult the FAQs about GRS 6.1, Email and Other Electronic Messages Managed under a Capstone Approach. Agencies are reminded that this GRS should not be implemented in isolation and should be supplemented with agency-wide policies and training. Agencies must also incorporate this GRS into agency records management implementation tools, such as manuals and file plans. Agencies adopting a Capstone approach should consult other resources related to email and electronic message management, specifically the Capstone approach available on NARA's email management page.

Agencies must not implement this GRS until obtaining approval of NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1*. Agencies are required to obtain approval of a resubmitted NA-1005 at least every four years. Additional information, including a link to the form, may be found in the FAQs and in the instructions accompanying the form.

GRS Scope

This GRS provides disposition authority for email records and certain types of electronic messages. Agencies using this GRS must apply it to email records, but may choose to also apply it to the other allowable types of electronic messages outlined below; this must be documented on the NA-1005. Agencies wishing to schedule electronic messages outside the scope of this GRS may submit an agency-specific schedule proposing a different scope.

Email

This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. This GRS may apply to records affiliated with other commonly available functions of email programs such as calendars/appointments and tasks.

Other Types of Electronic Messages

The GRS does not cover all types of electronic messages. Agencies may choose to use this GRS for instant messages, text messages, and chat messages that serve a similar purpose as email to facilitate communication and information sharing. This includes:

- messages affiliated with email system chat or messaging functions, and where the messages are managed independently from the email;
- messages from messaging services provided on mobile devices; and
- messages from messaging services on third-party applications.

Exclusions to all items below:

- messages affiliated with social media accounts/social media direct messaging services;
- messages affiliated with messaging services provided on video conferencing applications and services;
- voice mail (or similarly recorded) messages;
- messages affiliated with collaboration platforms; and
- messages from messaging systems that are ancillary to the purpose of a larger system (for example, a chat function built into a procurement system).

These records still require NARA-approved disposition authority but are not covered under this GRS. See the GRS 6.1 FAQ for specific examples of the inclusions and exclusions.

Additional Scope

Each agency is responsible for determining the scope of implementation when using Capstone, including, 1) whether implementation is to include only email, or to also include other types of electronic messages; 2) The range of implementation in an organization (agency-wide, specific office, etc.); and 3) the range of implementation regarding email and/or other types of electronic messaging technology and system platforms. Brief information on the scope of an agency's Capstone implementation is also required on the NA-1005.

Agencies are also responsible for defining (and documenting through policy) the official recordkeeping version of email and/or other types of electronic messages to be managed under a Capstone approach, especially when records are captured or retained in multiple locations (e.g., an email archive vs. the live system). Agencies will need to determine the appropriate disposition for other versions of email and other types of records, whether disposable under GRS 5.1, item 020, or as non-record.

Agencies are expected to apply documented selection criteria to cull the records of Capstone officials (permanent accounts) to the greatest extent possible before transfer to NARA. Culling refers to the removal – or otherwise excluding from capture – of nonrecord, personal, or transitory messages and attachments. Culling typically includes the removal of spam, message blasts received (such as agency-wide communications), and personal materials (such as emails or messages to family members not related to agency business). Culling may be manual, automated, or a hybrid of both. Agencies may develop their own policies and procedures for the culling of temporary accounts.

Applying this GRS

When applying this GRS in part, agencies must ensure that all other records are covered by another NARA-approved disposition authority. Agencies NOT managing any of their email or other types of electronic messages under the Capstone approach are still responsible for managing these records by applying NARA-approved records schedules.

If an agency is implementing a Capstone disposition approach different from what is provided in this GRS, the agency must submit a records schedule. For example, an agency may want to narrow the list of required positions in item 010, use shorter retention lengths for temporary records, or extend the time frame for transfer of permanent records. Agencies who wish to use Capstone for a broader range of electronic messages, specifically those excluded from this GRS, may also submit an agency-specific schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Email and other electronic messages of Capstone officials.** Capstone Officials are senior officials designated by account or position level. This may be by email addresses, whether the addresses are based on an individual's name, title, a group, or a specific program function, and/or by phone number or other identifier for other types of electronic messages. Capstone officials include all those listed on an approved NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1*, and *must* include, when applicable: 1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent; 2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s); 3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s); 4. Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides; 5. Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s); 6. Directors of significant program offices, and/or their equivalent(s); 7. Principal regional officials, such as Regional Administrators, and/or their equivalent(s); 8. Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including: General Counsels, Chiefs of Staff, Inspectors General, etc.; 9. Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions); and	**Permanent.** Cutoff and transfer in accordance with the agency's approved NA-1005, *Verification for Implementing GRS 6.1.* This will be between 15 and 30 years, or after declassification review (when applicable), whichever is later.	DAA-GRS-2022-0006-0001

	10. Additional roles and positions that predominantly create permanent records related to mission critical functions or policy decisions and/or are of historical significance. This item covers emails and/or other types of electronic messages of officials captured during their tenure as a Capstone official only. Therefore, records created prior to their designation as a Capstone official (e.g., prior to their promotion/rotation into a Capstone position) are excluded and should be disposed of with other NARA-approved disposition authorities, including - but not limited to - items 011 and 012 of this schedule. This also includes those officials in an acting capacity for any of the above positions longer than 60 days. Agencies may also include individual emails and/or other types of electronic messages from otherwise temporary accounts appropriate for permanent disposition in this category. This item *must* include all existing legacy email and/or other types of electronic messages that correlate to the roles and positions described above. If a Capstone official has more than one agency-administered account, this item applies to all accounts. If a Capstone official has an email account managed by other staff (such as personal assistants, confidential assistants, military assistants, or administrative assistants), this item applies to those accounts. This item applies to all email and/or other types of messages regardless of the address names and/or phone number(s) used by the Capstone official for agency business, such as nicknames or office title names. Email to or from personal or non-official email and/or other messaging accounts in which official agency business is conducted is also included – a complete copy of these records must be copied or forwarded to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record. Please consult the NA-1005 for more information on which positions are included within each category. Not media neutral; applies to records managed in an electronic format only. **Exclusions:** see exclusions under the GRS Scope section above. **Notes:** 1. Cabinet level agencies implementing a Capstone approach that includes their components/operatives must apply the above definition to each component individually. In these cases, each component/operative is considered a separate agency in terms of the above definition of Capstone		

Item	Records Description		Disposition Instruction	Disposition Authority
	Officials. A component/operative of a cabinet level agency can implement a Capstone approach independent of their department but must also conform to the entirety of this definition. 2. Smaller agencies, micro-agencies or Commissions implementing a Capstone approach may find that some of their Capstone positions fall into several of the categories above and/or that they do not have applicable roles or positions for all categories.			
011	**Email and other types of electronic messages of Non-Capstone officials.** Email and/or other types of electronic messages of all other officials, staff, and contractors not included in item 010. **Note**: Agencies *only* using item 011 and/or item 012 of this GRS may not dispose of any records of officials in item 010, Email and other electronic messages of Capstone Officials, of this GRS without authority from NARA in the form of another GRS or agency-specific schedule. Submission and approval of NA-1005 is still required in these instances to document those being exempted from Capstone. Agencies have discretion to designate individual email messages and/or other types of electronic messages, with their attachments as permanent, or as longer-term temporary records that should be cross-filed elsewhere pursuant to agency policies and business needs.	**All others except those in item 012.** Includes positions and records not covered by items 010 or 012 of this schedule. This item applies to the majority of email and other messaging accounts/users within an agency adopting a Capstone approach. Not media neutral; applies to records managed in an electronic format only. **Exclusions:** see exclusions under the GRS Scope section above.	**Temporary.** Delete when 7 years old~~, but longer retention is authorized if required for business use~~.	DAA-GRS-2022-0006-0002
012		~~**Support and/or administrative positions.**~~ ~~Includes non-supervisory positions carrying out routine and/or administrative duties. These duties comprise general office or program support activities and frequently facilitate the work of federal agencies and their programs. This includes, but is not limited to, roles and positions that: process routine transactions; provide customer service; involve mechanical crafts, or unskilled, semi-skilled, or skilled manual labor; respond to general requests for information; involve routine clerical work; and/or primarily receive nonrecord and/or duplicative email.~~ ~~Not media neutral; applies to records managed in an electronic format only.~~ ~~**Exclusions:** see exclusions under the GRS Scope section above.~~	~~**Temporary.**~~ ~~Delete when 3 years old, but longer retention is authorized if required for business use.~~ **Utilize item 011 for all employees other than approved Capstone Officials (item 010).**	~~DAA-GRS-2022-0006-0003~~

GENERAL RECORDS SCHEDULE (GRS) 6.2: Federal Advisory Committee Records

This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments.

If a committee is a Presidential advisory committee, check with the agency's General Counsel before applying this schedule. If records are determined to fall under the Presidential Records Act, this schedule does not apply.

For convenience, the term "committee" is used in this schedule to mean "advisory committee" pursuant to FACA.

Item	Records Description	Disposition Instruction	Disposition Authority
Committee Records			
010	**Substantive Committee Records (Non-Grant Review Committees)** **Exclusion**: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records. Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent. Not all records described below are necessarily created for all committees. Records may include: • records related to the establishment of the committee: ○ charters (original, renewal, re-establishment, and amended) ○ enacting legislation ○ explanation of committee need, when required ○ filing letters to Congress ○ organization charts ○ committee specific bylaws, standard operating procedures, or guidelines ○ any other materials that document the organization and functions of the committee and its components	**Permanent.** Transfer when records are 15 years old or upon termination of committee, whichever is sooner.	DAA-GRS-2015-0001-0001

Item	Records Description	Disposition Instruction	Disposition Authority

	• records related to committee membership:
	  ○ memos or similar documentation of how and/or why individual members were selected
	  ○ membership balance plans
	  ○ membership rosters
	  ○ appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, etc.
	  ○ Resignation or termination letters
	• records of committee meetings and hearings:
	  ○ agency head's determination that a meeting or portion of a meeting may be closed to the public
	  ○ agendas
	  ○ materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations
	  ○ meeting minutes
	  ○ public comments
	  ○ testimony received during hearings
	  ○ transcripts of meetings and hearings (NOTE: If transcripts do not exist, audio/visual recordings are permanent under item 020)
	• records related to committee findings and recommendations:
	  ○ one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee
	  ○ responses from agency to committee regarding recommendations
	  ○ committee presentations or briefings of findings
	• records created by committee members:
	  ○ correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer)
	• records related to research collected or created by the committee:
	  ○ records relating to research studies and other projects, including unpublished studies, reports, and research materials (may include electronic data)		

Item	Records Description	Disposition Instruction	Disposition Authority
	○ raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports, or studies • documentation of advisory committee subcommittees (i.e., working groups, or other subgroups): ○ records relating to the formation of the subcommittee or working group, if they exist ▪ decision documents ▪ membership ▪ statement of purpose or other documentation of duties and responsibilities ○ records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to: ▪ meeting minutes ▪ transcripts ▪ reports ▪ briefing materials ▪ substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the Designated Federal Officer) ▪ background materials • records related to committee termination (i.e., email, letter, memo, etc.). • other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records. **Note:** Sponsoring agencies need to designate the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records should be arranged by committee, not by the type of record (e.g. NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained).		
020	**Substantive Audiovisual Records (Non-Grant Review Committees)** **Exclusion**: This item does not include records of committees whose sole purpose is grant review. See item 030 for these records.	**Permanent.** Transfer when records are 3 years old or upon	DAA-GRS-2015-0001-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	Records include: • audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed • captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings • posters (2 copies) produced by or for the committee	termination of committee, whichever is sooner.	
030	**Grant Review Committee Records** Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals. (See item 010 for further definition of committee records.) This also includes digital and analog recordings of meetings, photographs, posters and other audiovisual materials. **Note**: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.	**Temporary.** Destroy upon termination of committee.	DAA-GRS-2015-0001-0003
040	**Committee Accountability Records** Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee and financial disclosure and conflict of interest documents. Records include: • travel costs • committee member payments • meeting room costs • contractor costs • Federal Register notice costs **Exclusion:** Forms filed under the Ethics in Government Act (see note). **Note:** Forms filed under the Ethics in Government Act are scheduled in GRS 2.8, Employee Ethics Records. These forms may apply to committee members designated as special Government employees (SGEs).	**Temporary.** Destroy when 6 years old. ~~Longer retention is authorized if required for business use.~~	DAA-GRS-2015-0001-0004

Item	Records Description	Disposition Instruction	Disposition Authority

050	**Non-substantive Committee Records**
	Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.
	• drafts and copies of Federal Register notices
	• audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)
	• photographs of committee social functions, routine award events, and other non-mission-related activities
	• records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.
	• routine correspondence:
	  ○ correspondence (including intra-agency, with committee members, or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues)
	  ○ public requests for information
	• Non-substantive committee membership records, including:
	  ○ Resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee
	  ○ Member credentials (resumes or biographies)
	  ○ Member files (personnel-type records)
	• Non-substantive web content
	
	Note 1: Consult with the appropriate agency staff (i.e., records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.
	
	Note 2: Records on agency websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed subject to GRS 5.1, item 020.
		Temporary. Destroy when superseded, obsolete~~, no longer needed~~, or upon termination of the committee, whichever is sooner.	DAA-GRS-2015-0001-0005

Committee Management Records			

Item	Records Description	Disposition Instruction	Disposition Authority

060	**Committee Management Records**
	Records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency. These records may pertain to specific committees or to the committee management function in general. Records include:
	• agency guidelines
	• correspondence
	• requests for approval of committee nominees
	• copies of records about committees maintained for reporting purposes, such as:
	  ○ information provided to GSA Secretariat for annual comprehensive reviews
	  ○ statistical data files and reports
	  ○ annual reports to the Library of Congress describing the agency's compliance with the Government in the Sunshine Act
	  ○ financial operating plans and final cost accountings
	
	Note: This item does not apply to the reporting database or records maintained by the General Services Administration (GSA) Committee Management Secretariat for oversight purposes.
		Temporary. Destroy when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate. ~~Longer retention is authorized if required for business use.~~	DAA-GRS-2015-0001-0006

GENERAL RECORDS SCHEDULE (GRS) 6.3: Information Technology Records

This schedule covers records about Federal agency Information Technology (IT) program planning, which includes designing and operating major IT management processes; acquiring and managing IT capital investments; monitoring IT program performance; and developing and maintaining an agency's IT architecture.

This schedule does not include records of the Office of Management and Budget (OMB) documenting OMB's oversight role relating to Government-wide information resources management and IT spending. These records are scheduled by an OMB-specific schedule.

Related records are covered elsewhere in the GRS. IT records are covered in GRS 3.1, General Technology Management, and 3.2, Information Systems Security Records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Information Technology program and capital investment planning records.** Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes: • strategic and tactical plans • records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications • records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities • reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting • portfolio management records, including clearance and review • Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions • business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets	**Temporary.** Destroy when 7 years old, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0009-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately). **Exclusion 2:** Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately). **Exclusion 3:** System data or content (agencies must schedule these separately). **Exclusion 4:** Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these). **Exclusion 5:** Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).		
020	**Enterprise architecture records.** Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives. **Exclusion:** Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).	**Temporary.** Destroy 7 years after creating a new iteration of the enterprise or information architecture, ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2017-0009-0002

GENERAL RECORDS SCHEDULE (GRS) 6.4: Public Affairs Records

This schedule covers records about public affairs functions within Federal agencies. Public affairs involves communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest.

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.

Agencies must schedule records that this GRS does not include. This GRS does not include many public affairs-related records because they either typically are permanent or are not temporary in every case. See the Public Affairs Records Scheduling Guidelines for additional information on how agencies might schedule records this GRS does not include.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Public affairs-related routine operational records.** Records related to the routine, day-to-day administration of public affairs activities, including but not limited to: • logistics, planning, and correspondence records for routine conferences and events • correspondence and records on speakers and speaking engagements, including biographies • case files and databases of public comments (related to public affairs activities only)	**Temporary.** Destroy when 3 years old~~, or no longer needed, whichever is later~~.	DAA-GRS-2016-0005-0001

020	**Public correspondence and communications not requiring formal action.**
	Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:
	• comments the agency receives but does not act upon or that do not require a response, such as:
	  ○ write-in campaigns
	  ○ personal opinions on current events or personal experiences
	  ○ routine complaints or commendations
	  ○ anonymous communications
	  ○ suggestion box comments
	  ○ public correspondence addressed to another entity and copied to the agency or that the agency receives in error
		Temporary. Destroy when 90 days old~~, but longer retention is authorized if required for business use.~~	DAA-GRS-2016-0005-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	○ comments posted by the public on an agency website that do not require response or that the agency does not collect for further use • communications from the public that the agency responds to but takes no formal action on • agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting **Note 1:** For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010. **Note 2:** The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials. **Exclusion 1:** Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file. **Exclusion 2:** Public comments that the agency takes action on or uses to take action are not covered by this GRS.		
030	**Public affairs product production files.** Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to: • news clippings • marketing research • copies of records used for reference in preparing products • research notes • printers galleys • drafts and working copies (see Exclusion 3) • preparatory or preliminary artwork or graphics • bibliographies, checklists, and indexes of agency publications and releases (see Exclusion 4) • clearances related to release of products (see Exclusion 5 and 6)	**Temporary.** ~~Destroy when no longer needed for business use.~~ **DOE Business Use: Destroy when 1 year old**.	DAA-GRS-2016-0005-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	Note 1: Agencies must offer any cartographic and aerial photographic records created before January 1, 1950, to the National Archives and Records Administration (NARA) before applying this disposition authority. **Note 2:** Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that may be found in older project files are temporary under this item. **Exclusion 1:** Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule. **Exclusion 2:** This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule. **Exclusion 3:** This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations. **Exclusion 4:** This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications. **Exclusion 5:** Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations, such as foreign governments, must be scheduled on an agency specific schedule. **Exclusion 6:** This item does not cover clearances for release of information related to declassification review.		

Item	Records Description	Disposition Instruction	Disposition Authority
040	**Routine media relations records.** Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as: • requests and responses for interviews • requests and responses for information or assistance for media stories • daily or spot news recordings or videos available to local radio and TV stations • notices or announcements of media events • public service announcements • copies or articles created by the agency for publication in news media **Exclusion:** Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.	**Temporary.** ~~Destroy when no longer needed for business use.~~ **DOE Retention: Destroy when 2 years old.**	DAA-GRS-2016-0005-0004
050	**Routine audiovisual records.** Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. **Note:** Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item. **Continue to utilize current DOE schedules for mission related photographs (permanent).**	**Temporary.** Destroy when 2 years old ~~but longer retention is authorized if required for business use.~~	DAA-GRS-2016-0005-0006

GENERAL RECORDS SCHEDULE (GRS) 6.5: Public Customer Service Records

This schedule covers records an agency creates or receives while providing customer service to the public. Federal agencies that provide direct services to the public operate customer call centers or service centers to assist external customers. They may provide customer support through telephone discussions (toll-free numbers), dialogue (via chat), and email.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Public customer service operations records.** Records from operating a customer call center or service center providing services to the public. Services may address a wide variety of topics such as understanding agency mission-specific functions or how to resolve technical difficulties with external-facing systems or programs. Includes: • incoming requests and responses • trouble tickets and tracking logs • recordings of call center phone conversations with customers used for quality control and customer service training • system data, including customer ticket numbers and visit tracking • evaluations and feedback about customer services • information about customer services, such as "Frequently Asked Questions" (FAQs) and user guides • reports generated from customer management data • complaints and commendation records; customer feedback and satisfaction surveys, including survey instruments, data, background materials, and reports. **Exclusion 1:** Records of call or service centers the public uses to provide tips or allegations to oversight and enforcement agencies/offices. Agencies must schedule these records on an agency-specific schedule. **Exclusion 2:** Reports that recommend changes or revisions to an agency's customer service operation; agencies must schedule these records on an agency-specific schedule.	**Temporary.** Destroy 1 year after resolved~~, or when no longer needed for business use, whichever is appropriate~~.	DAA-GRS-2017-0002-0001
020	**Customer/client records.** Distribution lists used by an agency to deliver specific goods or services. Records include: • contact information for customers or clients	**Temporary.** Delete when superseded, obsolete, or when customer requests	DAA-GRS-2017-0002-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• subscription databases for distributing information such as publications and data sets produced by the agency • files and databases related to constituent and community outreach or relations • sign-up, request, and opt-out forms	the agency to remove the records.	

GENERAL RECORDS SCHEDULE (GRS) 6.7: Special Collections Required by Statute

On occasion, Congress passes laws that require agencies to transfer special collections of records to the National Archives. This schedule provides disposition authority for agencies to transfer copies of these records to comply with the law. Examples of special record collections include The Civil Rights Cold Case Records Collection Act of 2018 (P.L. 115-426) and The 2024 National Defense Authorization Act: Unidentified Anomalous Phenomena Collection (Public Law 118-31, Sections 1841-1843).

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Special collections required by statute** Copies of records that an agency creates specifically for the purpose of transferring special collections of records to the National Archives as required by statute. Exclusion: 1. This item does not apply to the original records that remain in the agency and are subject to existing agency-specific authorities. Additionally, GRS 4.5 cannot be applied to the original record based solely on creation of this copy. **Legal Citations:** 44 U.S.C. 2107 note	**PERMANENT.** Transfer to the National Archives as required by statute.	DAA-GRS-2024-0002-0001