

## Request for Records Disposition Authority

Records Schedule Number      DAA-0434-2015-0005  
Schedule Status                 Approved  
  
Agency or Establishment        Department of Energy  
Record Group / Scheduling Group    General Records of the Department of Energy  
Records Schedule applies to        Department-wide  
Schedule Subject                 Security Clearance/Access Authorization Case Records  
Internal agency concurrences will be provided      No

Background Information              Personnel security and administrative review files created under Atomic Energy Act, Executive Order, Code of Federal Regulations, and DOE directive requirements and procedures, and related indices maintained by DOE personnel security offices at DOE Headquarters and Field Elements.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0434-2015-0005

Sequence Number	
1	Personnel Security Files
1.1	Personnel Security Files Disposition Authority Number: DAA-0434-2015-0005-0001
1.2	Administrative Review Files Disposition Authority Number: DAA-0434-2015-0005-0002
1.3	Finding Aids and Indices Disposition Authority Number: DAA-0434-2015-0005-0003

## Records Schedule Items

Sequence Number	
1	<p><b>Personnel Security Files</b> These records document the processing of individuals for DOE access authorizations (security clearances), regardless of whether access authorizations are granted. These files include but are not limited to copies of the following: pre-employment investigations; requests and justifications for access authorizations; security forms; reports of background investigation(s); personnel security interview transcripts and/or summaries (including audio cassettes); case evaluation sheets; security incident/infraction report forms; correspondence with the individuals, the individuals' employers, and other agencies; security badge information; medical evaluations; security termination statements; and other material relevant to the authorization process.</p>
1.1	<p><b>Personnel Security Files</b></p> <p>Disposition Authority Number      <b>DAA-0434-2015-0005-0001</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                          <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>N1-434-03-1, item a , Exception to GRS 18, item 22</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cutoff file upon termination of authorization processing, when access authorization is terminated, or when the contract relationship expires</b></p> <p>Transfer to Inactive Storage            <b>Retire inactive records 5 years after cutoff</b></p> <p>Retention Period                         <b>Destroy 10 year(s) after after date the individual's authorization is terminated or upon notification of death of the individual or whichever is sooner.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>

1.2

**Administrative Review Files**

Disposition Authority Number      DAA-0434-2015-0005-0002

These records document the processing of individuals under Title 10, Code of Federal Regulations, Part 710 (10 CFR 710) for denial or revocation of their access authorizations, regardless of whether final determinations are rendered. Each file may include but is limited to a copy of the following: request/approval for administrative review processing; DOE Notification Letter and other correspondence to and from the individual and/or representative; correspondence to and from the DOE Hearing Officer; hearing transcript and exhibits; case consolidation memorandum; and other material relevant to the administrative review process.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data?                      Yes

GRS or Superseded Authority Citation      N1-434-03-1, item b, Exception to GRS 18, item 22

**Disposition Instruction**

Cutoff Instruction                      Cutoff file upon termination of review or when access authorization is determined.

Transfer to Inactive Storage          Retire inactive records 5 years after cutoff.

Retention Period                      Destroy 10 year(s) after date the final decision is made on the authorization or upon notification of death of the individual or whichever is sooner.

**Additional Information**

GAO Approval                              Not Required

1.3

**Finding Aids and Indices**

Disposition Authority Number      DAA-0434-2015-0005-0003

These consist of but are not limited to file index cards maintained alphabetically in "active" and "inactive" files as back-up to the records maintained on the Central Personnel Clearance Index.

Final Disposition                      Temporary

Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
<b>Disposition Instruction</b>	
Retention Period	Destroy/delete when no longer needed for business and/or when captured in or/by an automated process.
<b>Additional Information</b>	
GAO Approval	Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
05/15/2015	Certify	Ivan King	Program Analyst	Agency Wide - Agency Wide
12/08/2015	Submit for Concurrency	Steven Rhodes	Appraiser	National Archives and Records Administration - Records Management Services
12/09/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/10/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/11/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist