

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-434-03-001**

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

Item 1a was superseded by DAA-0434-2015-0005-0001

Item 1b was superseded by DAA-0434-2015-0005-0002

Item 1c was superseded by DAA-0434-2015-0005-0003 (but not mentioned specifically as superseded in the DAA

Item 1d was superseded by DAA-0434-2015-0005-0003 (but not mentioned specifically as superseded in the DAA

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-434-03-1</i>
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>1-27-2003</i>
1. FROM (Agency or establishment)		NOTIFICATION TO AGENCY
<b>U.S. DEPARTMENT OF ENERGY</b>		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
MAJOR SUBDIVISION <b>Office of the Chief Information Officer</b>		
MINOR SUBDIVISION <b>Records Management Division, IM-11</b>		

4. NAME OF PERSON WITH WHOM TO CONFER <b>Sharon Evelin</b>	TELEPHONE NUMBER <b>301-903-3455</b>	DATE <i>8/6/2003</i>	ARCHIVIST OF THE UNITED STATES <i>Howard Lower</i>
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**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 on the attached \_\_\_\_ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required       is attached;    or       has been requested.

DATE <b>January 23, 2003</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan L. Frey</i> <b>Susan L. Frey</b>	TITLE <b>Departmental Records Officer</b>
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION <b>Revision to DOE Administrative Schedule 18, Item 22 (N1-434-98-21) (Attached). Previous editions of this schedule item are obsolete.</b>	9. GRS OR SUPERSEDED JOB	10. ACTION TAKEN (NARA USE ONLY)
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*SA* Copies sent to Agency, NAWMA, NR

**REVISION OF SCHEDULE 18, ITEM 22.**  
(Replace previous editions of this schedule item.)

**22. Security Clearance/Access Authorization Case Records. (EXCEPTION TO GRS 18, ITEM 22)**

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

a. **Personnel Security Files** document the processing of individuals for DOE access authorizations (security clearances), regardless of whether access authorizations are granted. These files may include copies of the following: pre-employment investigations; requests and justifications for access authorizations; security forms; reports of background investigation(s); personnel security interview transcripts and/or summaries (including audio cassettes); case evaluation sheets; security incident/infracton 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. (SF-312s are related to "access" and should not be maintained in the individual's Security File.)

**Cut off file upon termination of authorization processing, when access authorization is terminated, or when the contract relationship expires. Retire inactive records 5 years after cutoff. Destroy not later than 10 years after date the individual's authorization is terminated or upon notification of death of the individual. (NOTE: Prior to destruction, remove the individual's Personnel Security Questionnaire or equivalent document and retain it for 75 years after the date the individual's authorization is terminated. These documents will be used for the Health and Mortality Study.)** per Sharon Euelin add whichever is sooner to disposition instructions 5/5/03 xl

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

**Cut off file upon termination of review or when access authorization is determined. Retire inactive records 5 years after cutoff. Destroy not later than 10 years after date the final decision is made on the authorization or upon notification of death of the individual.** per Sharon Euelin add whichever is sooner to disposition instructions. 5/5/03 xl

c. Indices consisting of file index cards maintained alphabetically in "active" and "inactive" files as back-up to the records maintained on the Central Personnel Clearance Index.

**Destroy when no longer needed.**

d. Other indices related to Personnel Security Records.

**Destroy with the related file(s) or when no longer needed.**