

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See instructions on reverse)

**TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408**

1. FROM (Agency or establishment) Department of Energy Washington, DC 20585

2. MAJOR SUBDIVISION Department-wide

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER Mary Ann Wallace
5. TELEPHONE 301 903 4353

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-434-98-17

DATE RECEIVED
3-30-98

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE 6-29-99 **ARCHIVIST OF THE UNITED STATES**
John W. Carl

6. 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 13 page(s) are not now needed for the business of 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 3/25/98 **SIGNATURE OF AGENCY REPRESENTATIVE** *Mary Ann Wallace*
Mary Ann Wallace **TITLE** Team Leader, Records Mgt.

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Administrative Schedule <u>14</u> , based upon GRS <u>14</u> ; See Attachment.		

JUL 22 1999
MNY

Copy to: agency
NWR ID

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DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 14:
INFORMATIONAL SERVICES RECORDS

This schedule covers certain records pertaining to informational services performed by the Department in its day-to-day affairs and in its relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located. Item 4 applies only to files maintained in offices responsible for the operation of the informational activities. Items 11 through 15 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal informational releases, and records relating to inappropriate release of information protected by the Privacy Act.. Other records closely related to the records covered by this schedule include those relating to budget presentation, and printing, duplicating, and distribution are covered in those schedules.

Other informational services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them.

All records described in this schedule are authorized for disposal in both hard copy and electronic formats. *Retirement of non-current records to inactive storage is authorized. per e/mail/ John Davenport 3/2/99*

1. **Information Requests Files.** (GRS 14, item 1)

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other informational literature.

Destroy when 3 months old, or when no longer needed, whichever is sooner.

2. **Acknowledgment Files.** (GRS 14, item 2)

Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

Destroy 3 months after acknowledgment and referral.

3. **Press Service Files. (GRS 14, item 3)**

Press service teletype and similar materials.

Destroy when 3 months old.

4. **Information Project Files. (GRS 14, item 4)**

Informational service project case files maintained in formally designated informational offices.

Destroy 1 year after close of file or 1 year after completion of project.

5. **Commendation/Complaint Correspondence Files. (GRS 14, item 5)**

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

Destroy when 3 months old.

6. **Indexes and Check Lists. (GRS 14, item 6)**

Bibliographies, check lists, and indexes of Department publications and releases, EXCLUDING those relating to record sets scheduled as permanent.

Destroy when superseded or obsolete.

7. through 10. Reserved.

11. **Freedom of Information Act (FOIA) Requests Files. (GRS 14, item 11)**

Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay Department reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

b. Official file copy of requested records.

Dispose of in accordance with approved Department disposition instruction for the related records, or with the related FOIA request, whichever is later.

12. FOIA Appeals Files. (GRS 14, item 12)

Files created in responding to administrative appeals under the FOIA for release of information denied by the Department, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

Destroy 6 years after final determination by Department or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later.

- b. Official file copy of records under appeal.

Dispose of in accordance with approved Department disposition instructions for the related record, or with the related FOIA request, whichever is later.

13. FOIA Control Files. (GRS 14, item 13)

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

- a. Registers or listing.

Destroy 6 years after date of last entry.

- b. Other files.

Destroy 6 years after final action by the Department or after final adjudication by courts, whichever is later.

14. FOIA Reports Files. (GRS 14, item 14)

Recurring reports and one-time information requirements relating to the Departmental implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the Departmental level.

Destroy when 2 years old, ~~or sooner if no longer needed for administrative use.~~

[NOTE: This schedule does not cover Department level annual reports to the Congress. These reports should be scheduled for transfer to the National Archives by submitting an SF 115 to NARA.]

15. FOIA Administrative Files. (GRS 14, item 15)

Records relating to the general Department implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old, ~~or sooner if no longer needed for administrative use.~~

16. through 20. Reserved.

21. **Privacy Act Requests Files.** (GRS 14, item 21)

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original requests, copies of reply thereto, and all related supporting documents, which may include the official file copies of records requested or copies thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

— Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay Department reproduction fees.

(a) Requests not appealed.

Destroy 2 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

b. Official file copy of requested records.

Dispose of in accordance with approved Department disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case Files. (GRS 14, item 22)

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an Department's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing Department as provided under 5 U.S.C. 552a(g).

a. Requests to amend agreed to by Department.

Includes individual's request to amend and/or review, refusal to amend, copies of Department's replies thereto, and related materials.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after Department's agreement to amend, whichever is later.

b. Requests to amend refused by Department.

Includes individual's requests to amend and to review, refusal to amend, copies of Department's replies thereto, statement of disagreement, Department justification for refusal to amend a record, and related materials.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by Department, or 3 years after final adjudication by courts, whichever is later.

c. Appealed requests to amend.

Includes all files created in responding to appeals under the Privacy Act for refusal by any Department to amend a record.

Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

23. Privacy Act Accounting of Disclosure Files. (GRS 14, item 23)

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 Department, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

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.

24. Privacy Act Control Files. (GRS 14, item 24)

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Registers or listings.

Destroy 5 years after date of last entry.

b. Other files.

Destroy 5 years after final action by the Department or final court adjudication, whichever is later.

25. Privacy Act Reports Files. (GRS 14, item 25)

Recurring reports and one-time information requirement relating to Department implementation, including biennial reports to the Office of Management and Budget, and the Report on New Systems at the all levels.

Destroy when 2 years old.

26. Privacy Act General Administrative Files. (GRS 14, item 26)

Records relating to the general Department implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old, or sooner if no longer needed for administrative use.

27. through 30. Reserved.

31. Mandatory Review For Declassification Requests Files. (GRS 14, item 31)

Files created in response to requests for information under the mandatory review provisions of Executive Order (E.O.) 12958 or predecessor E.O.s; consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay Department reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 5 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

b. Official file copy of requested records.

Dispose of in accordance with approved disposition instructions for the related records, or with the related mandatory review request, whichever is later.

c. Sanitizing instructions.

Destroy when superseded, or when requested documents are declassified or destroyed.

32. Mandatory Review for Declassification Appeals Files. (GRS 14, item 32)

Files created in responding to administrative appeals under the mandatory review provisions of E.O. 12958 or predecessor E.O.s for release of information denied by the

Department. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

Destroy 4 years after final determination by Department.

- b. Official file copy of records under appeal.

Dispose of in accordance with approved Department disposition instructions for the related records, or with the related mandatory review request, whichever is later.

33. Mandatory Review for Declassification Control Files. (GRS 14, item 33)

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

- a. Registers or listing.

Destroy 5 years after date.

- b. Other files.

Destroy 5 years after final action by the Department.

34. Mandatory Review for Declassification Reports Files. (GRS 14, item 34)

Reports relating to Department implementation of the mandatory review provisions of E.O. 12958 or predecessor E.O.s; including annual reports submitted to ISOO.

Destroy when 2 years old, or sooner if no longer needed for administrative use.

35. Mandatory Review for Declassification Administrative Files. (GRS 14, item 35)

Records relating to the general Department implementation of the mandatory review provisions of E.O. 12958 or predecessor E.O.s; including notices, memoranda, correspondence, and related records.

Destroy when 2 years old, or sooner if no longer needed for administrative use.

36. **Erroneous Release Files.** (GRS 14, item 36)

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. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

- a. Files that include the official file copy of the released records.

Follow the disposition instructions approved for the released official file copy, or destroy 6 years after the erroneous release, whichever is later.

- b. Files that do not include the official file copy of the released records.

Destroy 6 years after the erroneous release.

37. through 40. Reserved.

41. **Speeches.**

- a. Speeches by the senior officials of DOE and contractor entities that affect program activities.

Permanent. Cut off at end of fiscal year. ^{Transfer} Offer to NARA when 25 years old.

- b. All other speeches.

Cut off at end of fiscal year. Destroy when 4 years old.

42. **News Media Materials.**

- a. Master media case files of formal informational releases and publications to the various media (papers, radio, TV) including copies of press releases, press conference transcripts, and scripts for presentations by senior officials of DOE and contractor entities that affect site mission or scope of work.

Permanent. Cut off at end of fiscal year. ^{Transfer} Offer to NARA when 25 years old.

- b. Copies of material appearing in the press concerning policies and activities of DOE and contractor entities.

Cut off at end of fiscal year. Destroy when 3 years old.

- c. Non-mission releases.
Cut off at end of fiscal year. Destroy when 2 years old, ~~or when no longer needed, whichever is earlier.~~

44. **Electronic Mail and Word Processing System Copies.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.