

WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

Request for Records Disposition Authority

Records Schedule Number DAA-0563-2017-0004
Schedule Status Returned Without Action

Agency or Establishment Department of Homeland Security
Record Group / Scheduling Group General Records of the Department of Homeland Security
Records Schedule applies to Major Subdivision
Major Subdivision Office of Science and Technology
Minor Subdivision Office of the National Labs
Schedule Subject Office of the National Labs
Internal agency concurrences will be provided No

Background Information The Department of Homeland Security (DHS) Office of National Laboratories (ONL) sustains and expands a coordinated network of Department National Laboratories and Department of Energy National Laboratories and other federal centers to help deliver critical homeland capabilities. ONL coordinates and aligns with all Science and Technology Directorate (S&T) technical divisions to coordinate activities throughout the United States research and development community. ONL provides a coordinated, enduring core of productive science, technology, and engineering laboratories, organizations, and institutions, which can provide knowledge and technology to secure the nation. The Department has also established research and development centers that provide scientific research via university and private partnerships.

This records schedule is intended for application within those laboratory facilities directed by DHS.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	39

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

Outline of Records Schedule Items for DAA-0563-2017-0004

Sequence Number	
1	Biological Records
1.1	Animal and Plant Health Inspection Service- Center for Disease Control (APHIS- CDC) Forms Disposition Authority Number: DAA-0563-2017-0004-0001
1.2	Biological Select Agent and Toxins Records Disposition Authority Number: DAA-0563-2017-0004-0002
2	Chemical Records
2.1	Chemical Hygiene Program Survey Records Disposition Authority Number: DAA-0563-2017-0004-0003
2.2	Chemical In-Use and Storage Inventory Files Disposition Authority Number: DAA-0563-2017-0004-0004
2.3	Industrial Ethanol Records Disposition Authority Number: DAA-0563-2017-0004-0005
3	Controlled Substances
3.1	Non-significant Disposition Authority Number: DAA-0563-2017-0004-0006
3.2	Significant Disposition Authority Number: DAA-0563-2017-0004-0007
4	Environmental Protection Records
4.1	Hazardous Waste Inventory Files Disposition Authority Number: DAA-0563-2017-0004-0008
4.2	Leak Inspection Files Disposition Authority Number: DAA-0563-2017-0004-0009
4.3	Spill Records Disposition Authority Number: DAA-0563-2017-0004-0010
4.4	Primary Drinking Water Reports Disposition Authority Number: DAA-0563-2017-0004-0011
4.5	Pollutant Discharge Elimination System Reporting Disposition Authority Number: DAA-0563-2017-0004-0012
5	Health and Safety Files
5.1	Health and Safety Case Files Disposition Authority Number: DAA-0563-2017-0004-0013
5.2	Health and Safety Case Files - Exposure records Disposition Authority Number: DAA-0563-2017-0004-0014
5.3	Occupational Safety Administration and Planning Records

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5.4	Disposition Authority Number: DAA-0563-2017-0004-0015 Safety Inspections Disposition Authority Number: DAA-0563-2017-0004-0016
6	Laboratory Animal Control Files
6.1	Animal Husbandry and Veterinary Care Disposition Authority Number: DAA-0563-2017-0004-0017
6.2	Institutional Animal Care and Use Committee Disposition Authority Number: DAA-0563-2017-0004-0018
7	Laboratory Facility Records
7.1	Safeguard and Security Agreements/Security Plans Disposition Authority Number: DAA-0563-2017-0004-0019
7.2	Equipment Files
7.2.1	Calibration/Certification of Laboratory Equipment Disposition Authority Number: DAA-0563-2017-0004-0020
7.3	Technical Instructions and Laboratory Procedures
7.3.1	Instructions or Procedures used in Law Enforcement Cases Disposition Authority Number: DAA-0563-2017-0004-0021
7.3.2	Instructions or Procedures not used in Law Enforcement cases Disposition Authority Number: DAA-0563-2017-0004-0022
8	Laboratory Scientific Records
8.1	Technical Report Files Disposition Authority Number: DAA-0563-2017-0004-0023
8.2	Laboratory Notebooks Disposition Authority Number: DAA-0563-2017-0004-0024
8.3	Law Enforcement Case Files Disposition Authority Number: DAA-0563-2017-0004-0025
9	Marine Vessels
9.1	Bridge Log Disposition Authority Number: DAA-0563-2017-0004-0026
9.2	All Inspection/Repair Records of Safety Equipment Disposition Authority Number: DAA-0563-2017-0004-0027
10	National Lab Program Records
10.1	Program Records
10.1.1	Program Monitoring Records Disposition Authority Number: DAA-0563-2017-0004-0028
10.1.2	Laboratory Facility Performance Reporting Disposition Authority Number: DAA-0563-2017-0004-0029

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10.1.3	Project Control Files Disposition Authority Number: DAA-0563-2017-0004-0030
10.1.4	Patents Disposition Authority Number: DAA-0563-2017-0004-0031
10.2	Project, Research and Development
10.2.1	Significant Research and Development, Project and Inspection Files Disposition Authority Number: DAA-0563-2017-0004-0032
10.2.2	Other Research and Development, Project and Inspection Files Disposition Authority Number: DAA-0563-2017-0004-0033
10.2.3	Unfunded Project/Proposal Files Disposition Authority Number: DAA-0563-2017-0004-0034
10.3	Quality Management System Records
10.3.1	Quality Management System Performance Disposition Authority Number: DAA-0563-2017-0004-0035
10.3.2	ISO 17025 Method Accreditation Records Disposition Authority Number: DAA-0563-2017-0004-0036
10.3.3	Controlled Documents Disposition Authority Number: DAA-0563-2017-0004-0037
11	Radioactive Records
11.1	Radiation Safety Records Disposition Authority Number: DAA-0563-2017-0004-0038
11.2	Low-Level Radioactive and Mixed Waste Inventory Files Disposition Authority Number: DAA-0563-2017-0004-0039

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Records Schedule Items

Sequence Number	
1	Biological Records
1.1	Animal and Plant Health Inspection Service- Center for Disease Control (APHIS-CDC) Forms Disposition Authority Number DAA-0563-2017-0004-0001 Forms include records of theft, loss or release, report of transfer of select agents and toxins, report of the identification of a select agent or toxin in a clinical or diagnostic laboratory, and other APHIS-CDC forms used by the DHS labs. Final Disposition Temporary Item Status Withdrawn 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 Disposition Instruction Cutoff Instruction Cut off at the end of the calendar year. Retention Period Destroy 6 year(s) after cutoff Additional Information GAO Approval Not Required
1.2	Biological Select Agent and Toxins Records Disposition Authority Number DAA-0563-2017-0004-0002 Records are related to biological agents and toxins. Records include annual inventories, health and safety drills/exercises, storage unit access forms, incoming and outgoing checklists, state registration records, area access forms for escorted and unescorted access, and discrepancy memorandum. Final Disposition Temporary Item Status Withdrawn Is this item media neutral? Yes Do any of the records covered by this item currently exist in

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	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	TEMPORARY: Cut off at the end of the calendar year.
	Retention Period	Destroy 6 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
2	Chemical Records	
2.1	Chemical Hygiene Program Survey Records	
	Disposition Authority Number	DAA-0563-2017-0004-0003
	All qualitative and quantitative records and supporting documentation of monitoring, sampling, or measuring of toxic or harmful chemical, physical, or biological agents in the workplace. This includes, but is not limited to, analytical methodologies, calculations and background data relevant to interpretation of the results. Other records created in compliance with the most protective federal, state and local industrial hygiene protection statutes and regulations, Executive Orders, and industry standards including, but not limited to, the most current, OSHA, NIOSH, NASA NPRs, ACGIH, ANSI and ASHRAE standards. Note: Not applicable for "Exposure Records", which are managed under "Health and Safety Case Files - Exposure Records (DAA-0563-2017-0004-0047)"	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Transfer to Inactive Storage	Export database files to a flat-file format prior to closure.

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2.2	Retention Period	Destroy 30 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Chemical In-Use and Storage Inventory Files	
	Disposition Authority Number	DAA-0563-2017-0004-0004
	Records related to the holdings and inventories of chemical agents.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Transfer to Inactive Storage	Export database files to a flat-file format prior to closure.
Retention Period	Destroy 30 year(s) after cutoff.	
2.3	Additional Information	
	GAO Approval	Not Required
	Industrial Ethanol Records	
	Disposition Authority Number	DAA-0563-2017-0004-0005
	Records associated with management of tax-free industrial ethanol, including the BATFE industrial ethanol user permit, semi-annual inventory records, and receipt, storage, and distribution records.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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

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	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the permit expires.
	Transfer to Inactive Storage	Export database files to a flat-file format prior to closure.
	Retention Period	Destroy 6 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
3	Controlled Substances	
	Records associated with management of DEA controlled drugs; including the DEA registration certificate, drug shipment/receipt records, completed DEA forms, completed internal forms, and records of internal program assessments, DEA Form 106, Report of Theft or Loss of Controlled Drugs, DEA Form 41, Registrant's Inventory of Drugs Surrendered.	
3.1	Non-significant	
	Disposition Authority Number	DAA-0563-2017-0004-0006
	Records related to controlled substances which are categorized as either Schedule IV or Schedule V, as identified under 21 U.S. Code § 812	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the controlled substance is disposed
	Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized
	Additional Information	

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3.2	GAO Approval	Not Required
	Significant	
	Disposition Authority Number	DAA-0563-2017-0004-0007
	Records related to controlled substances which are categorized as either Schedule I, Schedule II or Schedule III, as identified under 21 U.S. Code § 812	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the controlled substance is disposed.
	Retention Period	Destroy no sooner than 6 year(s) after cutoff but longer retention is authorized
	Additional Information	
GAO Approval	Not Required	
4 4.1	Environmental Protection Records	
	Hazardous Waste Inventory Files	
	Disposition Authority Number	DAA-0563-2017-0004-0008
	Records of disposal of hazardous waste; Includes such types of records as investigations, policies, plans, and statements.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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

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4.2	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year of waste disposal shipment.
	Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
	Leak Inspection Files	
	Disposition Authority Number	DAA-0563-2017-0004-0009
	Records related to the documenting of unintentional release of petroleum products on land and water, and subsequent inspections related to the identification of the source of the release. EXCLUSION: This does not include records of significant leak events. These records may be of permanent value and should be disposed of according to DAA-0563-2017-0004-0028	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year in which the inspection was completed	
Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized	
Additional Information		
GAO Approval	Not Required	
4.3	Spill Records	
	Disposition Authority Number	DAA-0563-2017-0004-0010
	Records related to the documenting of chemical spills, hazardous waste spills, process spills, or similar. EXCLUSION: This does not include records of significant spill events. These records may be of permanent value and should be disposed	

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of according to DAA-0563-2017-0004-0028 Records related to prevention, countermeasures, and remediation are covered by GRS 5.3 Item 10

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Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which the cleanup is completed.

Transfer to Inactive Storage Export database to flat-file prior to closure.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

4.4

Primary Drinking Water Reports

Disposition Authority Number DAA-0563-2017-0004-0011

Records created pursuant to section 1412 of the Public Health Service Act, as amended by the Safe Drinking Water Act. Includes written reports, summaries or communications relating to sanitary surveys of the system conducted by the system itself, by a private consultant, or by any local, State or Federal agency.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the completion of the survey

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4.5	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Pollutant Discharge Elimination System Reporting	
	Disposition Authority Number	DAA-0563-2017-0004-0012
	Records created related to the control of surface wastewater, stormwater discharges, and point source discharges to groundwaters as well as surface waters. Records are created and maintained in accordance with state regulations including: - the Clean Water Act - Article 17 Title 8, Environmental Conservation Law, "Water Pollution Control" - 6NYCRR PART 750. Records include those created from routine monitoring, recording, and reporting. Types of records include calibration and maintenance records, original strip chart recordings for continuous monitoring instrumentation, copies of all reports required by a State Pollutant Discharge Elimination System (SPDES) permit, and records of all data used to complete the application for the permit.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off when sample, measurement, report or application is completed.
Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized	
5	Additional Information	
	GAO Approval	Not Required
	Health and Safety Files	
5.1	Health and Safety Case Files	
	Disposition Authority Number	DAA-0563-2017-0004-0013
Health and Safety program reports, mishap reports, accident analysis reports, other similar reports, and related backup materials used to investigate, record, and		

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report hazards and accidents involving Government personnel, equipment, and facilities, and recommend action to prevent recurrences.

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Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off annually.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Health and Safety Case Files - Exposure records

Disposition Authority Number DAA-0563-2017-0004-0014

Medical files, data and associated files related to an employee after occupational exposure to chemical, biological, or radiological agents.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off after termination of employment.

Transfer to Inactive Storage Export database files to a flat-file format prior to closure.

Retention Period Destroy 30 year(s) after cutoff

5.2

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5.3	Additional Information	
	GAO Approval	Not Required
	Occupational Safety Administration and Planning Records	
	Disposition Authority Number	DAA-0563-2017-0004-0015
	Records that document worker safety including but not limited to job hazard analyses, accident and injury preventative measures. Records will document the policy, program, standards, and procedures pertaining to the administration of the safety program. May contain unique knowledge for high risk containment facilities.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off when superseded or obsolete.
	Transfer to Inactive Storage	Export database files to a flat-file format prior to closure
	Retention Period	Destroy 20 year(s) after cutoff.
5.4	Additional Information	
	GAO Approval	Not Required
	Safety Inspections	
	Disposition Authority Number	DAA-0563-2017-0004-0016
	Records related to hazardous work authorizations, and safety inspections. Files include notifications, inspection reports and results, replies to inspection findings, staff assistance information, correspondence on corrective actions taken, and similar information.	
	Final Disposition	Temporary
	Item Status	Withdrawn
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in	Yes	

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	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year of action completion.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
6	Laboratory Animal Control Files	
6.1	Animal Husbandry and Veterinary Care	
	Disposition Authority Number	DAA-0563-2017-0004-0017
	Records related to the receipt, identification, tracking, care, handling, security, storage, feeding, disposition, and inspection of laboratory animals.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year of study completion.
	Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
6.2	Institutional Animal Care and Use Committee	
	Disposition Authority Number	DAA-0563-2017-0004-0018

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Records include IACUC reports, committee minutes, protocol reviews, and protocols and amendments. Records also include policy on ethics of animal use, procedures for euthanasia, and related.

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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

Disposition Instruction

Cutoff Instruction Cut off at the end of the project or activity.

Retention Period Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

7

Laboratory Facility Records

7.1

Safeguard and Security Agreements/Security Plans

Disposition Authority Number DAA-0563-2017-0004-0019

Records establishing the baseline safeguards, security protection strategy and programs for a facility, and agreement between the Program Office and other HQ and Field Elements as to the acceptable level of risk to a facility and any measures employed to mitigate unacceptable risk. The Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan also provide a historical perspective on facility operations and configuration. In addition, Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan provides short and long-term planning profiles for safeguards and security operations at a facility.

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Item Status Withdrawn

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

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	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off when superseded or after termination of the facility as a security interest
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
7.2	Equipment Files	
	Records related to equipment used in scientific laboratory environments. Includes such equipment as biosafety cabinets, industrial freezer and refrigerators, etc.	
7.2.1	Calibration/Certification of Laboratory Equipment	
	Disposition Authority Number	DAA-0563-2017-0004-0020
	Records related to the Certification of equipment used in scientific laboratories, to include maintenance records, records related to the calibration of equipment, and Certification records. Maintenance records and checklists are managed under GRS 5.4 Item 70	
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	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off when equipment is decommissioned or equipment is re-certified.
	Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
7.3	Technical Instructions and Laboratory Procedures	

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Technical instruction files are created as the need arises to support specialized equipment operated and maintained by the DHS Labs. Special uses include, but are not limited to, parts requisitioning, troubleshooting, maintenance, modification, and training. Laboratory procedures are created as the need arises to support specialized equipment operation, calibration and sample processing by DHS personnel. EXCLUSION: Records which are related to significant cases may have a permanent value, and should be disposed of according to DAA-0563-2017-0004-0028. Prior to disposition, significant records should be offered to the referring agency.

7.3.1

Instructions or Procedures used in Law Enforcement Cases

Disposition Authority Number DAA-0563-2017-0004-0021

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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

Disposition Instruction

Cutoff Instruction Cut off when equipment superseded or obsolete.

Transfer to Inactive Storage Export database to flat-file format prior to closure.

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

7.3.2

Instructions or Procedures not used in Law Enforcement cases

Disposition Authority Number DAA-0563-2017-0004-0022

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Item Status Withdrawn

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

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	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off when equipment superseded or obsolete.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
8	Laboratory Scientific Records Includes laboratory notebooks, technical reports, and other scientific records. EXCLUSION: Records which are related to significant cases may have a permanent value, and should be disposed of according to DAA-0563-2017-0004-0028. Prior to disposition, significant records should be offered to the referring agency.	
8.1	Technical Report Files	
	Disposition Authority Number	DAA-0563-2017-0004-0023
	Published Technical Reports (TR), Technical Notes (TN), Technical Memorandum (TM), prepared in connection with a project or task. These reports summarize the progress, findings, and conclusion reached relative to specific projects. They may also clarify and supplement information contained in laboratory notebooks and other source data. Include published bibliographies and reports received from contractors.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off annually
	Transfer to Inactive Storage	Export database to flat-file format prior to closure.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

8.2	GAO Approval	Not Required
	Laboratory Notebooks	
	Disposition Authority Number	DAA-0563-2017-0004-0024
	Laboratory notebooks considered to have continuing research value. These notebooks contain technical and scientific data, such as daily observations, detailed procedures, tabulations, charts, analyses, research progress, results of experiments, and other raw data.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the project, year, or book.
	Transfer to Inactive Storage	Export database to flat-file format prior to closure.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
GAO Approval	Not Required	
8.3	Law Enforcement Case Files	
	Disposition Authority Number	DAA-0563-2017-0004-0025
	Records include sample analysis plans, chain of custody, sample accessioning, procedures for sample analyses, personnel authorizations, results and final case reports.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

	Disposition Instruction	
	Cutoff Instruction	Cut off at the submission of the final case report to the referring law enforcement agency.
	Transfer to Inactive Storage	Export database to flat-file format prior to closure.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
9	Marine Vessels	
9.1	Bridge Log	
	Disposition Authority Number	DAA-0563-2017-0004-0026
	Consist of crew, passenger counts, departure/arrival times, drills, cancellation, fuel receipts, weather conditions, incidents, and operating status.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off annually.
	Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
9.2	All Inspection/Repair Records of Safety Equipment	
	Disposition Authority Number	DAA-0563-2017-0004-0027
	Consists of fire systems, all equipment covered in FCC License, such as VHF radios, AIS, EPIRB, electronics, lifesaving equipment, shipyard, and repair history files for life of vessel.	
	Final Disposition	Temporary

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off annually.
	Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
10	National Lab Program Records	
10.1	Program Records	
10.1.1	Program Monitoring Records	
	Disposition Authority Number	DAA-0563-2017-0004-0028
	Records used for documenting ongoing management of programs and routine projects within programs. Includes both mission and operational programs.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the project.
	Transfer to Inactive Storage	Export database to flat-file format prior to closure.
	Retention Period	Destroy no sooner than 7 year(s) after cutoff but longer retention is authorized

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

10.1.2	Additional Information	
	GAO Approval	Not Required
	Laboratory Facility Performance Reporting	
	Disposition Authority Number	DAA-0563-2017-0004-0029
	Records include periodic reports (e.g., monthly, quarterly, semi-annual and annual), plans including strategic plans, background records, and performance evaluations. Records are used to provide input into final plans and final reports submitted to the Component Head(s), and may contain copies of the final plan/ final report.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which the final plan or final report is submitted.
Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized	
10.1.3	Additional Information	
	GAO Approval	Not Required
	Project Control Files	
	Disposition Authority Number	DAA-0563-2017-0004-0030
	Administrative files maintained for the management of each project, to include authorizations, correspondence, and performance measures. Records do not include files related to the scientific studies themselves.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	Yes

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

10.1.4

electronic format(s) other than e-mail and word processing?

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the project or after final report issued.

Retention Period Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

Patents

Disposition Authority Number DAA-0563-2017-0004-0031

Records relating to the specification, design, prototype, and production of scientific instruments created by the facility, including design requests, technical requirements, specifications, design drawing, engineering, fabrication, prototypes, design changes, documentation, and user manuals. Files may also include background records, patent applications and correspondence.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year in which the patent application is submitted.

Transfer to Inactive Storage Export database to flat-file format prior to closure.

Retention Period Destroy no sooner than 20 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

10.2	Project, Research and Development
10.2.1	Significant Research and Development, Project and Inspection Files
	Disposition Authority Number DAA-0563-2017-0004-0032
	Project files (laboratory notebooks, plans, results and reports), which involved complex and/or novel issues or involved intense public interest or controversy that usually is reflected in high degree of media attention or congressional scrutiny. May also include unique or specialized technical instructions or procedures supporting significant projects or issues, significant spill and leak inspection records, significant law enforcement case files with supporting records, and significant Technical Reports. These records will be designated as significant by the Component Head(s).
	Final Disposition Permanent
	Item Status Withdrawn
	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
	Disposition Instruction
	If this item has multiple sections, indicate here records to which this section apply Electronic Records
	Cutoff Instruction Cut off at the end of the project.
	Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff
	Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.
	Additional Information
	First year of records accumulation 2017
	What will be the date span of the initial transfer of records to the National Archives? Unknown Unknown
	How frequently will your agency transfer these records to the National Archives? Unknown Unknown

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		50 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **Cutoff at the end of the project**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
Unknown

How frequently will your agency transfer these records to the National Archives? **Unknown**
Unknown

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper		1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

10.2.2

Other Research and Development, Project and Inspection Files

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

	Disposition Authority Number	DAA-0563-2017-0004-0033
	Other Research and Development Files or Special Projects which do not meet the threshold of significant. Records may include experimental plans, raw data, reports and publications.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the project.
	Transfer to Inactive Storage	Export database to flat-file format prior to closure.
	Retention Period	Destroy 20 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
10.2.3	Unfunded Project/Proposal Files	
	Disposition Authority Number	DAA-0563-2017-0004-0034
	Project or proposal and background information files that are not funded or defunded.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which the funding decision is made.

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

	Retention Period	Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
10.3	Quality Management System Records	
10.3.1	Quality Management System Performance	
	Disposition Authority Number	DAA-0563-2017-0004-0035
	Records include evidence of internal and external audits or inspections, management reviews, and corrective and preventive action.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which the audit or inspection is completed.
	Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
10.3.2	ISO 17025 Method Accreditation Records	
	Disposition Authority Number	DAA-0563-2017-0004-0036
	Records that provide objective evidence of adherence to the ISO standard at the time of sample analysis for law enforcement.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	Yes

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff when superseded or obsolete
	Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
10.3.3	Controlled Documents	
	Disposition Authority Number	DAA-0563-2017-0004-0037
	Procedures, work instructions, forms and other documents that are used during the performance of the laboratory work. Controlled documents must be managed by means of a Quality Management System (QMS).	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off when document is superseded or obsolete.
	Retention Period	Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
11	Radioactive Records	
11.1	Radiation Safety Records	
	Disposition Authority Number	DAA-0563-2017-0004-0038

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

Records associated with operation of the radiation safety program, inc: Dosimetry requests/reports (PII), dosimetry investigation reports (PII), RSO evaluation memos, radiation surveys (FOUO), source leak tests (FOUO), source inventories (FOUO), instrument calibration certificates, irradiator operation and maintenance log (FOUO), and NRC inspection reports. Note: Does not apply to exposure records.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

11.2

Low-Level Radioactive and Mixed Waste Inventory Files

Disposition Authority Number DAA-0563-2017-0004-0039

Records of care and disposal of radioactive materials.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which the permit expires.

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

Transfer to Inactive Storage

Export database files to a flat-file format prior to closure.

Retention Period

Destroy 6 year(s) after cutoff

Additional Information

GAO Approval

Not Required

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0004

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
01/24/2018	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
03/08/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
07/30/2018	Return Without Action	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1

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