

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-434-93-5	DATE RECEIVED 11/5/92
1. FROM (Agency or establishment) Department of Energy (DOE)		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION DOE-wide including M&O Contractors		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Clarence L. Henley	5. TELEPHONE (301) 903-3524	DATE	ARCHIVIST OF THE UNITED STATES

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 ___ 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 11/3/92	SIGNATURE OF AGENCY REPRESENTATIVE Clarence L. Henley <i>Clarence L. Henley</i>	TITLE Director, Records Management Division
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7 ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>GENERAL AUDIT/APPRaisal/SURVEILLANCE/SELF-ASSESSMENT RECORDS (Exclusive of financial and Inspector General audits).</p> <p>Compliance in the areas of environment, safety, health quality, performance, management, and organization requirements must be verified. Verification of compliance is achieved through internal self-assessments, periodic and random informal interactions between managers and employees, independent appraisals, audits, and surveillances. These activities measure all functions to test compliance to standard practices and procedures within an organization. The activities are normally conducted, but not limited to areas such as industrial safety, industrial hygiene, health physics, quality assurance, operations, administration, safeguards and security, maintenance, and environmental protection.</p> <p>Appraisal, surveillance, self-assessment files include records required to verify that practices are in compliance with Federal and State Government regulations, DOE Orders, directives, contract requirements, and company policies. These files include audits, surveillances, appraisals, self-assessments, root cause analysis resulting from audit findings, corrective action plans, non-conformance reports, trend analysis,</p>		WITHDRAWN

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administrative values for problem identification, and lessons learned.

All records described in this retention schedule pertain to both hard copy and electronic media, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Office Within Agencies.

- a. Audit* files generated in the performance of DOE and cost type contractor operations. The records consists of, but are not strictly limited to, reports and revisions of audits, analysis, concurrences, comments, reports relative to action taken on recommendations including pertinent correspondence and meeting minutes, and related work papers. Work papers include documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents included in the audit file.

- (1) Files relating to DOE-wide audits* conducted by or in behalf of DOE Headquarters.

Retention period: Destroy 10 years after cutoff.

WITHDRAWN

Place in inactive files when case is closed. Cut off inactive file at end of fiscal year.

- (2) Files relating to audits of individual DOE organizations and contractors, conducted by or in behalf of DOE Field organizations or the Headquarters.

- (3) Files generated by M&O contractors performing internal audits*.

Retention period: Destroy 6 years after cutoff or longer if required by current regulations or requirements.

Place in inactive files when case is closed. Cut off inactive file at end of fiscal year.

WITHDRAWN

- b. Sundry memorandum reports, not covered elsewhere in this schedule, summarizing activities pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records.

Retention period: Destroy when 3 years old.

WITHDRAWN

*Includes Audit, Appraisal, Surveillance, and Self-Assessment Records.

2. **Classified Document Receipts.** Document the reproduction, destruction, transfer, and initial accountability of secret documents.

DISPOSITION: Destroy 5 years after transfer or destruction of secret document(s).

WITHDRAWN

(DOE Order 5635.1A states that receipts, logs, and destruction certificates shall be maintained for a minimum of 5 years. The previously approved addendum to GRS 18/2 states only 3 years).

3. **Material Safety Data Sheets (MSDS).** Provide detailed safety information on hazardous chemical products.

a. **Safety Department Master File**

DISPOSITION: Cut off annually and transfer to local records holding area. Destroy 75 years after inactive (superseded, obsolete, or removed from office).

WITHDRAWN

b. **Other copies**

DISPOSITION: Destroy when inactive.

WITHDRAWN

4. **Release Tags.** Issued to a person requesting release of materials from a controlled area where radioactive materials or elevated radiation fields may be present and for which controls have been established. State that the property listed has been surveyed for radioactivity and meets requirements for unconditional release.

DISPOSITION:

a. **Original - Destroy after one year.**

WITHDRAWN

b. **Copies - Destroy immediately.**

WITHDRAWN

5. **Request for Visit or Access Approval (DOE F 5631.20).** Used to record that visitors requesting access to classified and/or unclassified information and/or security controlled areas are cleared.

Visit approval request files containing data for each visit to DOE facilities, consisting of DOE F 5631.20 form or its equivalent, together with related correspondence.

NOTE: Instances are on record where previous employees, or visitors, or their heirs, have sued the agency or one of its operating contractors for irradiation exposure supposedly received while in an area. In cases of litigation, access records provide tracking devices that are invaluable to verify or disprove whether a claimant had visited a restricted

disprove whether a claimant had visited a restricted area as claimed.

- a. **Incoming Visitor Control.** Files retained by office of installation visited.

DISPOSITION: Cut off at the end of the calendar year. Retain in office for two years and transfer to local records storage. Transfer to Federal Records Center when three years old. Destroy when 75 years old.

WITHDRAWN

- b. **Outgoing Visitor Control.** Files retained by requesting office.

DISPOSITION: Cut off at the end of the calendar year. Retain in office for two years then transfer to local records storage. Transfer to Federal Records Center when three years old. Destroy when 5 years old.

WITHDRAWN

- c. **All other copies.** Duplicate copies used to notify other on-site offices of the intended visit or when essential information is transferred from DOE F 5631.20 to another records medium or electronic system.

DISPOSITION: Destroy one year after visit.

WITHDRAWN

6. **Visitor Control Records/Logs.** Visitor tour records/logs that contain information on visitors to facilities where exposure to radiation could occur. There are no Privacy Act restrictions on these records.

DISPOSITION: Cut off files annually. Retain in office for 1 calendar year after cutoff. Transfer to the FRC. Destroy when 75 years old.

WITHDRAWN