

**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
ADM 1.1.1	Official Personnel Files of Contractor Employees	Records consist of employment histories and jobs held by the employee from initial date of employment to date of separation. Includes, among other things, copy of all personnel and pay actions, life and health insurance coverage, résumés, proof of residence, copy of background investigation (not the Personal Security Questionnaire or Standard Form 86, which is filed in the security office), military service documents; and training records of more than 40 hours and any and all training records (certificates of completion) on health and safety, radiation, hazardous duty and other courses when the employer's contract includes safety and health clauses (DEAR Subparts 970.52, 970.5204-2, 952.223, 952-223-71, 952-223-72, 952.223-74, and 952.223-75), unless separate training records are kept in the training activity. Drug testing records may be part of these files or may be maintained elsewhere provided they are adequately safeguarded.	<b>Temporary.</b> Arranged by employee name. Cut off the file at time of separation. Transfer to local FRC. Destroy 75 years after cutoff.			HR	Human Resource Manager	Active and Inactive SST Personnel Files Active and Inactive SST Summer Intern Files	Paper & Electronic	S:Drive & C-755 HR Office						May contain Exemption 6, Personal Privacy
								Active and Inactive SSI Corporate Personnel Files	Paper & Electronic	S:Drive & C-755 HR Office			X	May contain Exemption 6, Personal Privacy		
ADM 1.21.1.A	Contractor Employee Medical Folder	Individual Health Case Files. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit, including records of exposure to noise, toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program. Also includes pre-placement physical examinations and disability retirement and fitness for duty examinations.	<b>Temporary.</b> Arranged by employee name. Cut off the file at the time of separation. Transfer folders to the local Federal records center. Destroy 75 years after cutoff.			HR	Occupational Medical Provider	Employee Medical Records and related correspondence	Electronic	Y:				X	May contain Exemption 6, Personal Privacy	
ADM 1.21.2.A	Records Concerning Personnel Exposure to Hazardous Concentrations of Toxic Chemicals and Other Materials	Records (including correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files. (a) Standards, operating guides and procedures, including revisions and background records that establish or relate to establishing operating practices.	<b>Permanent.</b> Arranged by fiscal year. Cut off at the close of the fiscal year. Transfer to NARA 25 years after cutoff.			ES&H	RAD Protection Supv. (Dosimetry)	ISSC-ESH-PL-012, Industrial Hygiene Plan	Electronic	S:Drive		Nonpermanent	Program Plan			
ADM 1.21.3.B.1	Radiation Contamination Control Program Records	Technical standards, operating guides, laboratory, operating and radiation contamination control procedures describing the technical and administrative basis for the radiation contamination protection program. (1) Historical file or standards, guides and procedures, including revisions and background records defining philosophy in development, methods of evaluation and mode and scope of radiation contamination protection efforts.	<b>Permanent.</b> Arranged by fiscal year. Cut off the file at the close of the fiscal year. Transfer to NARA in five year blocks 25 years after cutoff.			ES&H	RAD Protection Supv. (Dosimetry)	ISSC-RAD-PO-001, Annual ALARA Performance Goals ISSC-RAD-PL-001, Scope of Work for Quality Control Bioassay Samples ISSC-RAD-PL-002, 12 Month Assessment of PGDP External Background Exposure Env-Dose ISSC-ESH-PL-008, Environmental Radiation Protection Program ISSC-ESH-PL-011, Six Month Assessment of PGDP External Background Exposure Environment and Impacts on the Assignment of Individual Occupational Dose ISSC-RAD-TD-001, Background Exposure Study SST.QA-0035, Dosimetry Quality Assurance Program Plan SSI.ESH-3003, Internal Dosimetry Technical Basis Document SSI.ESH-3004, Technical Basis Document for Air Monitoring Program SSI.ESH-3006, External Dosimetry Technical Basis Document SSI.ESH-3013, Fluor Paducah Deactivation Project Monitoring Strategy - Addendum to Internal & External Dosimetry Technical Basis Document SST.ESH-3008, Scope of Work for Irradiating Dosimeters	Electronic	S:Drive		Nonpermanent	Program Plans			
								RAD Protection Supv. (Field Services)	04.01.03, Reproductive Health Program 04.01.06, Paducah Radiation Safety Training 04.04.02, Radioactive Contamination Control 04.04.04, Radiological Air Monitoring 04.04.05, Paducah Selection & Use of Anti-Contamination Clothing 04.04.06, Posting and Labeling ISSC-RAD-PR-001, Internal Dosimetry ISSC-RAD-PR-003, Skin Dose Assessment ISSC-RAD-PR-004, Personnel and Personal Effects Decon ISSC-RAD-PR-006, Radiological Control Technician Training ISSC-RAD-PR-007, ALARA Reviews ISSC-RAD-PR-008, ALARA Program ISSC-RAD-PR-009, Radiological Area Entry Control ISSC-RAD-PR-010, Radiation Protection Program Records ISSC-RAD-PR-011, External Dosimetry ISSC-RAD-PR-012, Radioactive Source Control ISSC-RAD-PR-013, Reports to Individuals ISSC-RAD-PR-014, Workplace Monitoring ISSC-RAD-PR-015, Radiation Surveys Radiation Protection Departmental Instructions	Electronic	S:Drive		Nonpermanent	Program Procedures		
								ES&H Manager	ISSC-RAD-PR-002, Radiological Accidents and Emergencies	Electronic	S:Drive	1	Nonpermanent	Program Procedures		
ADM 1.21.3.C	Radiation Contamination Control Program Records	Logbooks (chronological history) which provide a concise summary of shift and daily activities, including unusual incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings and similar items.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the close of the fiscal year. Destroy 75 years after cutoff.			ES&H	RAD Protection Supv. (Field Services)	RADCON Plan of the Day files Survey and Release Plans	Paper (submitted electronically)	C-755 T22A		Nonpermanent	RAD Program Records			
							ES&H Manager	RADCON Related Correspondence	Electronic	S:Drive						

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ADM 1.21.3.D	Radiation Contamination Control Program Records	Routine radiation and contamination surveys and air sample logs, including resulting laboratory analyses and equipment calibration, indicating no unusual health or safety problems.	<b>Temporary.</b> Arrange by fiscal year. Cut off at the close of the fiscal year. Destroy 75 years after cutoff.			ES&H	RAD Protection Supv. (Field Services)	Radiological Surveys	Electronic	S:Drive		Nonpermanent	Rad Survey			
ADM 1.21.3.G.1.A	Radiation Contamination Control Program Records	Radiation detection instrument calibration. (1) Records relating to the calibration and inspection of instruments used in the detection and recording of radiation against sources of known radioactive emission or dose rate. (a) History of procedures indicating criteria for selection and methods used, and schedules giving frequency of calibration and maintenance of radiation detection instruments and equipment.	<b>Temporary.</b> Rad instrument records are arranged by calendar year by property number and are retained for the lifetime of that instrument. Instructions are arranged by calendar year then document number. Destroy when 75 years old.			ES&H	RAD Protection Supv. (Field Services)	Rad Instrument Calibration Sheets Rad Instruments preventative maintenance, calibrations, and repairs	Paper & Electronic	S:Drive and C-755 T22A		Lifetime of Instrument	Property Number Needed			
								Calibration Instructions	Electronic	S:Drive		Nonpermanent	Calibration Instruction			
ADM 1.21.3.G.1.B	Radiation Contamination Control Program Records	Radiation detection instrument calibration. (1) Records relating to the calibration and inspection of instruments used in the detection and recording of radiation against sources of known radioactive emission or dose rate. (b) Report instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition, and any related data.	<b>Temporary.</b> Arranged by calendar year. Destroy when purpose is served or when 1 year old, whichever is earlier.			ES&H	RAD Protection Supv. (Dosimetry)	Dosimeter Receipt from Vendor Inspection Bioassay Sample Record of Receipt Form	Paper (submitted electronically)	C-755 T22A		Nonpermanent	Dosimetry Program Records			
ADM 1.21.4.A-E	Individual Employee Health Hazard Case Files	Individual employee radiation exposure history files (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and shall include: (a) Records of skin and nasal contamination incidents, including decontamination details. (b) Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used. (c) Results of direct measurement of radiation from the chest, specific organs, or whole body. (d) Investigations of the following types: (1) Assimilation of radiation from the chest, specific organs, or whole body. (2) Assimilations of radioactive materials in excess of standards and control guides. (3) Missing or unusual data concerning exposure of personnel to radiation. (4) Radiation exposures exceeding quarterly to yearly exposure guides and standards. (e) Records of bioassay data. (1) Including positive laboratory results on bioassay samples (urine, feces, and blood) used to determine internal assimilation by an individual or a radionuclide. (2) Laboratory results indicating no assimilation of radioactive materials.	<b>Temporary.</b> Arranged by fiscal year then by employee name. Cut off at end of the fiscal year in which the employee leaves employment. Destroy when 75 years old.			ES&H	RAD Protection Supv. (Dosimetry)	Personnel Dosimetry Records Dosimetry Database data	Paper & Electronic	Dosimetry Database (EIS) and C-755 T26		Nonpermanent	Dosimetry Program Records			
ADM 1.22	Statistical Summaries	Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.	<b>Temporary.</b> Arranged by calendar year. Cut off annually. Destroy 75 years after date of summary or report.			ES&H	RAD Protection Supv. (Dosimetry)	Bioassay Sample Results Quarterly Dose Reports Blind Audit Testing for Internal and External Dosimetry REMS Reports	Electronic	S:Drive		Nonpermanent	Dosimetry Program Records			
ADM 1.29.1.B	Contractor Employee Individual Training Folders	Contractor employee individual folders that contain item 29.1a records AND also contain: attendance/completion records of training courses or sessions that include subjects dealing with hazardous materials directly applicable to the employee's job or position.	<b>Temporary.</b> Arranged by calendar year then employee separation date. Cut off at the time of separation or transfer of the employee. Destroy 75 years after cutoff.			ES&H	Training Manager	SST Employee Training Records SST Learning Management System (LMS)	Paper & Electronic	LMS (EIS) and C-755 T28		Nonpermanent	Training		May contain Exemption 6, Personal Privacy	
								Nuclear Facility Contractor Employee Training (provided as GFSI) Records SST Learning Management System (LMS)	Paper & Electronic	LMS (EIS) and C-755 T28		Nonpermanent	Training			
ADM 1.29.2.A.1	Administrative Training Records	Administrative training records such as description of course content, examination banks, examination cover sheets, content, attendance rosters, documentation of required performance items and course lesson plans. (1) For courses relating to the handling of hazardous, toxic or radioactive materials, radiation safety or criticality safety, or any training where chronic exposure may have an impact.	<b>Temporary.</b> Arranged and cutoff by calendar year. Transfer to a Federal records center after last session. 1) Destroy 75 years after last session.			ES&H	Training Manager	Training Modules, Attendance Rosters, Required Reading related to exposure	Paper & Electronic	LMS (EIS) and C-755 T28		Nonpermanent	Training			
ADM 1.29.2.A.2	Administrative Training Records	Administrative training records such as description of course content, examination banks, examination cover sheets, content, attendance rosters, documentation of required performance items and course lesson plans. (2) For courses relating to environmental safety and health topics.	<b>Temporary.</b> Arranged and cutoff by calendar year. Transfer to a Federal records center after last session. 2) Destroy 75 years after transfer.			ES&H	Training Manager	Training Modules, Attendance Rosters, Required Reading related to environment, safety, and health	Paper & Electronic	LMS (EIS) and C-755 T28		Nonpermanent	Training			
ADM 1.29.2.A.3	Administrative Training Records	Administrative training records such as description of course content, examination banks, examination cover sheets, content, attendance rosters, documentation of required performance items and course lesson plans. (3) For all other courses.	<b>Temporary.</b> Arranged and cutoff by calendar year. Transfer to a Federal records center after last session. 3) Destroy 2 years after last session.			ES&H	Training Manager	Training Modules, Attendance Rosters, Required Reading for all other courses	Paper & Electronic	LMS (EIS) and C-755 T28		Nonpermanent	Training			
ADM 1.29.2.C	Administrative Training Records	Correspondence on the establishment, administration, and availability of a course.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy 2 years after last session.			ES&H	Training Manager	ISSC-ESH-PL-007, Training Implementation Matrix Training Related Correspondence GFSI Training Requests Deliverable 134, Training Course Content and Training Schedule Training Departmental Instructions	Electronic	S:Drive		Nonpermanent	Training			
ADM 1.3.1	Contractor Personnel Office Records	Administrative and correspondence type files relating to general administration and operation of personnel functions and such other records not maintained in individual personnel files or described elsewhere in this schedule.	<b>Temporary.</b> Arranged and cutoff by contract year. Make disposition in accordance with the terms of the contract. Do not transfer to a Federal records center.			HR	Human Resource Manager	Human Resource Mission Related Administrative Correspondence Human Resource Departmental Instructions	Electronic	S:Drive						May contain Exemption 6, Personal Privacy
								Human Resource SSI Corporate Related Administrative Correspondence	Electronic	Corporate Server				X	May contain Exemption 6, Personal Privacy	
								Deliverable 137, Pension Management Plan Deliverable 138, PRB Management Plan Deliverable 144, Copy of IRS Form 5500 Deliverable 145, Copy of IRS Form 5300	Electronic	S:Drive					May contain Exemption 4, Commercial/Proprietary	
								ISSC-HR-TD-002, Employee Contact Benefit Information	Electronic	S:Drive	2					
					QA	Quality Assurance Manager	Maintenance of Proficiency for Lead Auditor	Electronic	S:Drive							

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ADM 1.43.A.1	Employee Concerns Program	Employee concerns Program Case Files that serve to document employee allegations of impropriety or inadequacy of DOE and/or contractor managed activities. Subjects include, but are not strictly limited to; environmental, safety, and health related issues, fraud, waste and abuse; personnel and management matters; quality, securing conditions, or incidents of retaliation, etc. Supporting documentation includes employee statements or declarations, witness testimonials, investigation reports, and corrective actions to mitigate potential risks to the public, the environment, or employees of the Department of Energy, or relevant contractor entities. (a) Official Employee Concerns Program Files. (1) Concerns relating to security, environmental, safety, and health-related issues.	<b>Temporary.</b> Arranged by fiscal year dependent on closure date. Cut off at the close of the fiscal year in which the case was closed. Destroy 75 years after cutoff.			ES&H	ES&H Manager	Environment Safety and Health Related Employee Concerns Records	Paper (submitted electronically)	C-755 T18					
ADM 1.43.B.2	Employee Concerns Program	Employee concerns Program Case Files that serve to document employee allegations of impropriety or inadequacy of DOE and/or contractor managed activities. Subjects include, but are not strictly limited to; environmental, safety, and health related issues, fraud, waste and abuse; personnel and management matters; quality, securing conditions, or incidents of retaliation, etc. Supporting documentation includes employee statements or declarations, witness testimonials, investigation reports, and corrective actions to mitigate potential risks to the public, the environment, or employees of the Department of energy, or relevant contractor entities. (b) Records documenting concerns that do not develop into official cases. (2) All other concerns.	<b>Temporary.</b> Arranged by fiscal year dependent on closure date. Cut off at the end of the fiscal year. Destroy 2 years after cutoff.			HR	Human Resource Manager	Employee Concerns Records	Paper (submitted electronically)	C-755 T18				X	
ADM 1.46	Tuition Reimbursement Records	Records relating to tuition reimbursements for employees taking part in a tuition assistance program offered by the employers. The tuition reimbursement is provided for work related undergraduate, certificate, and graduate level courses taken at an accredited college, university or vocational school. The records consist of original, signed tuition request forms, notification of grades, proofs of payments, and related correspondence.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of the fiscal year. Destroy 6 years and 3 months after cutoff.			HR	Human Resource Manager	Educational Assistance	Paper & Electronic	S:Drive and C-755 T18				X	May contain Exemption 6, Personal Privacy
ADM 1.55.A	Directories/Phone Listing	Record set of personnel listing identifying location, organization, phone number, assigned employee number, mail stop, or other information used for communication purposes. (a) When issued as a published document.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy hardcopy when 75 years old.			HR	Human Resource Manager	ISSC-HR-TD-001, SST Active Employee Contact List	Electronic	S:Drive	1				May contain Exemption 6, Personal Privacy
ADM 1.55.B	Directories/Phone Listing	Record set of personnel listing identifying location, organization, phone number, assigned employee number, mail stop, or other information used for communication purposes. (b) When issued electronically, prior to updating, reduce to hardcopy.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy hardcopy when 75 years old.			HR	Human Resource Manager	Swift & Staley Team Phone List	Electronic	S:Drive					
ADM 14.42.B	News Medial Materials	Copies of material appearing in the press concerning policies and activities of DOE and contractor entities.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of fiscal year. Destroy when 3 years old.		EPI	PM	Proj. Support Tech.	Press Releases	Electronic	S:Drive					
ADM 16.1.1.1.B	Internal Publications	Internal publications such as newsletters and bulletins that relate to the mission of the Department and include articles on major program and laboratory activities, personnel (at work), experimental methods and results which document projects of scientific, technical or public interest, agency sites and their growth, high-level, one-of-a-kind meetings, ceremonies or events, and/or high-level officials carrying out transactions of political, scientific, technical or public interest. These publications provide unique historical documentation of the internal operations and development of DOE's programs and organizations. (b) All other copies.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 2 years old or when no longer needed.		EPI	PM	Proj. Support Tech.	SST You & Me Monthly Newsletter SST Weekly Buzz	Electronic	S:Drive					
ADM 16.1.2	Management Improvement Programs	Records generated as a part of a cultural philosophy which promulgates management improvement programs. The focus is on streamlining operations, providing cost effectiveness, improving customer satisfaction, and continuing improvement of work processes or products. Proactive preventive program records are included. Records may provide internal information, advice, or recommendations. Includes such files as employee suggestion forms, analyses, nonconformance process records, and related background material. Also includes corrective action plans in response to management improvement recommendations.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of each fiscal year. Destroy 5 years after cutoff.			QA	Quality Assurance Manager	Nonconformance Reports	Electronic	S:Drive					
ADM 16.1.3	Performance Indicators	The performance indicator (PI) program establishes a uniform system for analyzing data to support progress for improving performance and strengthen control of operations. Files include documentation of improvement, performance gains, and early identification of deteriorating conditions. Information includes quarterly reports, summary reports, associate data sheets, errata forms, trending and analysis documentation, distribution diagrams, program scheduled and status logs, facility lists, and charts used to summarize the information evaluated and data compiled; including control charts that serve to alert management to the existence of special causes of variation within a system or process.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of each fiscal year. Destroy 5 years after cutoff.			BUS	Business Manager	Deliverable 32, Monthly Progress Report, Invoice Performance Report, and QASP Self-Assessment	Electronic	S:Drive					May contain Exemption 4, Commercial/Proprietary
						ES&H	ES&H Manager	Deliverable 9, Performance Objectives, Performance Measures, and Commitments (POMCs)	Electronic	S:Drive					

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						O&M	O&M Manager	Deliverable 109, Maintenance Status Updates Deliverable 110, Weekly Maintenance Report	Electronic	S:Drive					
						PM	Proj. Support Tech.	Weekly Status Report	Electronic	S:Drive					
ADM 16.1.4.A	Baseline Management	Records generated to document facility project activities' technical scope, project schedule, and cost. Deviations from the baseline are documented and approved or disapproved in baseline change proposals. (a) Development of baselines and all supporting documentation.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of each fiscal year. Destroy when 10 years old.			BUS	Business Manager	Deliverable 33, Input in the Paducah Integrated Sitewide Federal Lifecycle Baseline	Electronic	S:Drive					
ADM 16.1.4.B	Baseline Management	Records generated to document facility project activities' technical scope, project schedule, and cost. Deviations from the baseline are documented and approved or disapproved in baseline change proposals. (b) Baseline change proposals, approvals, and supporting documentation.	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of each fiscal year. Destroy when 10 years old.			BUS	Business Manager	Deliverable 33A, Work Plan Deliverable 34, Work Breakdown Structure (WBS) and WBS Dictionary Baseline Change Requests	Electronic	S:Drive					
ADM 16.1.5.B	Correspondence	Correspondence files documenting the day to day operations and routine administration of established or new missions, policies, and procedures for which the office or contractor has primary responsibility.	<b>Temporary.</b> Arranged by fiscal year then by departmental subject. Cutoff at the end of each fiscal year. Destroy 15 years after cutoff.		EPI	BUS	Business Manager	Deliverable 166, Reporting Executive Compensation & First-Tier Subcontract Awards Deliverable 167, Update of Publicly Available Information Regarding Responsibility Matters	Electronic	S:Drive					
						E&A	Eng. & Assets Manager	Deliverable 162, Projection of Government Furnished Services & Items Engineering & Asset Management Administrative Correspondence	Electronic	S:Drive					
						HR	Human Resource Manager	DOE Differing Professional Opinions (DPOs) Deliverable 28, Employee Concerns Status Report	Electronic	S:Drive					
						PM	Proj. Support Tech.	Project Management Administrative Correspondence	Electronic	S:Drive					
ADM 16.5	Project Control Files	Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	<b>Temporary.</b> Arranged by project closure date. Destroy 1 year after the year in which the project is closed.			BUS	Business Manager	SSI.PC-0001, Project Control System Description for the Paducah ISSC SSI.CFO-0003, Project Management Plan SSI.PUR-2001, Acquisition Strategy Plan ISSC-PM-PL-002, Risk Management Plan for the ISC at Paducah KY	Electronic	S:Drive					
ADM 17.15.A	Work Permit (Work Orders) Records	Log sheets pertaining to special work permits in operating activities, together with work order reason sheets.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 1 year old.			E&A	Eng. & Assets Manager	Field Change Requests (stand-alone, not project related)	Electronic	S:Drive					
ADM 17.25	Facility Inventory Records	Files accumulated by contractors acting as agents for DOE in connection with the execution of leases for the operation of commercial or other facilities, or other uses of Government property under lease.	<b>Temporary.</b> Arranged by fiscal year and cutoff by superseded date. Destroy 6 years after close of fiscal year in which inventory is superseded.			E&A	Eng. & Assets Manager	Facility Information Management System (FIMS) Data Condition Assessment Information System (CAIS) Data Maximo: Real Property (Facility, Structure, Land) Inventory Data	Electronic	S:Drive					
ADM 17.26.B	Facility Maintenance Records	Facility maintenance records, including inspection servicing, and repair records. (b) Others.	<b>Temporary.</b> Arranged by fiscal year. Destroy 3 fiscal years after close of fiscal year in which work is done.			E&A	Eng. & Assets Manager	Deliverable 114, Paved Surfaces Inspection Report Deliverable 115, Unpaved Surfaces Inspection Report Deliverable 116, Bridge Inspection Report Deliverable 118, Rail and Trestle Inspection Report	Electronic	S:Drive					
								Deliverable 119, Railroad Service Schedule Preventative Maintenance Tasks							
						O&M	O&M Manager	ISSC-OM-PL-001, Preventative Maintenance Plan ISSC-OM-PL-002, Mowing Plan ISSC-OM-PL-005, Snow and Ice Removal Plan Deliverable 111, Preventative Maintenance Program Deliverable 113, Mowing Plan Deliverable 117, Snow and Ice Removal Plan	Electronic	S:Drive					
ADM 17.28.A	Equipment History Files	Records which document receipt, use, and disposition of equipment items, including manufacturer's statement of origin, equipment repair estimates, repair orders and billings, inspection reports, move orders, and any other records effecting or reflecting alterations of status of equipment, including reference notes to excess or salvage records when such action is taken.	<b>Temporary.</b> Arranged by calendar year and cutoff according to disposal date. Dispose 5 years after disposal or clearance of equipment from project.			E&A	Eng. & Assets Manager	Maximo: Personal (Accountable) Property Inventory Data	Electronic	Maximo (EIS)					
						O&M	O&M Manager	Equipment Maintenance Inspection Records	Paper & Electronic	S:Drive & C-755 T27					
ADM 17.29	Equipment Utilization Report Files	Records accumulated in the control of issuance and use of equipment, providing basic data for projecting equipment needs on project, showing classification of equipment, scheduled and actual hours of operation, hours idle, and pertinent remarks.	<b>Temporary.</b> Arranged by calendar year and cutoff when no longer needed for business use. Destroy when 5 years old.			E&A	Eng. & Assets Manager	ISSC-OM-TD-001, Vehicle/Trailers/Equipment Weights PGDP-IS-PR-001, Temporary-Relocatable Structure Control Property Information Database System (PIDS) data Deliverable 178, Report of Physical Inventory Results (All Government Furnished Property)	Electronic	S:Drive					
						O&M	O&M Manager	Emergency Assets (Equipment/Machinery Inventory List)	Electronic	S:Drive	1				

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ADM 17.3	Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Departmental Mission	Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.	<b>Temporary.</b> Arranged by calendar year according to effective date. Destroy when 75 years old.			E&A	Eng. & Assets Manager	Building/Facility Blueprints	Electronic	S:Drive	1				
ADM 17.30.C.1	Project Planning and Design Files	Other Planning and Design Records. (Advanced planning, preliminary and final design, and engineering/design studies, calculations, analyses, and other engineering/design data documenting design decisions made.) (1) Records of completed projects costing more than \$750,000, or which involve special equipment, system, or processes.	<b>Temporary.</b> Arranged and cutoff by calendar year. Disposition according to the event ending date. Retain until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier.		EPI	E&A	Eng. & Assets Manager	System Equivalency Checklist	Electronic	S:Drive					
ADM 17.31.A.1	Project Construction Files	Working drawings and construction specifications, "as-built" drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warranty data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process. (1) For completed projects.	<b>Temporary.</b> Arranged by calendar year according to project completion date. Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier.		EPI	E&A	Eng. & Assets Manager	Project Records <i>(project list is available from Records Management Center)</i>	Electronic	S:Drive					
								O&M	O&M Manager	Vendor Operating Manuals for various equipment	Paper	C-755 T27			
ADM 18.1.A.3	Classified Documents Administrative Correspondence Files	Correspondence files pertaining to the administration of security classification/ declassification, control, and accounting for classified documents. Included are records that document policy, programs, and procedures for the classification/declassification program, including information recorded by personnel who are trained to identify, classify, or declassify documents for sensitive and classified information. (a) Records which document the policy, standards and procedures for the administration of DOE's classification and declassification program. (3) Procedures that implement DOE policy and guides.	<b>Temporary.</b> Arranged and cut off at end of the fiscal year. Destroy 10 years after cutoff.			SEC	Classification Office Manager	PGDP-SS-PL-001, PGDP Information Security Plan PGDP-SS-PL-002, Paducah Classification Program Plan	Electronic	S:Drive	2				
ADM 18.1.B.4	Classified Documents Administrative Correspondence Files	Correspondence files pertaining to the administration of security classification/ declassification, control, and accounting for classified documents. Included are records that document policy, programs, and procedures for the classification/ declassification program, including information recorded by personnel who are trained to identify, classify, or declassify documents for sensitive and classified information. (b) Records documenting classification and declassification review actions taken on the basis of established policy, directives, regulations and guides. (4) Declassification records including change notices, review notices, correspondence, or similar documents including documents that give authority to void, cancel and remove markings from records.	<b>Temporary.</b> Arranged and cut off at the end of the fiscal year. Destroy 10 years after cutoff.			SEC	Classification Office Manager	Nominations, Recertifications, Transfers, Renewals, Terminations and Inactivations of Derivative Classifier/Declassifier Reviewing Official Authority	Paper & Electronic	S:Drive & C-710					May contain Exemption 6, Personal Privacy
ADM 18.11.1.A.2	Occurrence Reporting Records	Records relating to occurrences as defined by the Assistant Secretary for Environment, Safety and Health. (Includes other types of reporting required to be treated as equivalent to, or to use the occurrences reporting system.) (a) Report files maintained by the responsible Program Office. Files on all other occurrences.	<b>Temporary.</b> Arranged and cut off at the end of the fiscal year in which the case was closed. Destroy 80 years after cutoff.			ES&H	ES&H Manager	Initial Event Report (IERs)	Electronic	S:Drive					
								QA	Quality Assurance Manager	Occurrence Reports Deliverable 27, Occurrence Reporting and Processing of Operations Information	Electronic	S:Drive			
ADM 18.11.1.C	Occurrence Reporting Records	Records relating to occurrences as defined by the Assistant Secretary for Environment, Safety and Health. (Includes other types of reporting required to be treated as equivalent to, or to use the occurrences reporting system.) (c) Correspondence files of organizational units responsible for facility safety program, consisting of reports, statistics, memoranda and correspondence relative to traffic and property damage accidents, including records and statistics relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injuries which are retained permanently.	<b>Temporary.</b> Arranged and cutoff by calendar year according to closure date. Destroy when 10 years old.		EPI	ES&H	ES&H Manager	Deliverable 5, Individual Accident/Incident Reports (Quarterly)	Electronic	S:Drive					
								QA	Quality Assurance Manager	Correspondence Related to Occurrence Reporting	Electronic	S:Drive			
ADM 18.11.3	Incident of Security Concern Inquiry/Investigation Files	Records not covered elsewhere in this Schedule (e.g., in 11.1 above) that pertain to inquiries or investigations into incidents of security concern (e.g., suspected infractions and violations, loss, compromise, or unauthorized disclosure of classified information; unaccounted for classified matter), and to the corrective measures recommended and/or taken.	<b>Temporary.</b> Arranged and cut off upon termination of inquiry or investigation and case is closed (by calendar year.) Destroy 5 years after cutoff.			SEC	Sr. Information Security Specialist	Incident of Security Concerns Packages	Paper & Electronic	S:Drive & C-100 RM 135					
ADM 18.11.4.C	Fire Unit Records	(c) Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors. (f) Fire alarm system tests, radio communications reports on inside and outside fire drills, daily force reports, and building inspectors.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 1 year old.			O&M	O&M Manager	Fire Extinguisher Inspections - Fire Services Task Status Sheets for all Inspected Facilities	Paper & Electronic	InspeTrac (EIS) & C-755 T19					
ADM 18.17.1.A	Visitor Access Approval Files	Correspondence and forms created to document that visitors are authorized access to classified and/or unclassified sensitive information and/or security controlled areas. Files contain data for each visit to a DOE facility, consisting of access approvals together with related correspondence. (a) Files retained by sites (incoming visitor control) with potential for exposure to hazardous material.	<b>Temporary.</b> Arranged and cut off at the end of the fiscal year. Destroy 75 years after cutoff.			SEC	Personnel Security Manager	Badge Request Forms Lost/Stolen Badges Reported & Notifications Monthly Temporary Badge Accountability Request for Limited Area Visitor Access Request Forms Proxy Card Assignment Forms	Paper & Electronic	S:Drive & C-100 Badging					May contain Exemption 6, Personal Privacy
ADM 18.21.1.C	Security Clearance/Access Authorization Files/Policy	Files which document the official policy, standards, and procedures for the administration of DOE's personnel access authorization program. (c) Procedures implementing DOE access authorization policy and guides.	<b>Temporary.</b> Arranged and cut off at the end of the fiscal year. Destroy 10 years after cutoff.			SEC	Personnel Security Manager	PGDP-SS-PL-004, Personnel Security Plan	Electronic	S:Drive	2				

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
ADM 18.26.1.A	Emergency Planning Program Correspondence	Records that document the policy, program, standards, and procedures pertaining to the administration of the emergency planning program. (a) Program and policy guides, information papers, operational manuals, and documents used as guides for determining appropriate DOE action. Unless issued as a DOE directive, a record copy of Departmental emergency plans.	<b>Permanent.</b> Arranged by calendar year. Cut off when superseded. Transfer to NARA 25 years after cutoff.			ES&H	Env. Compliance Specialist	Swift & Staley EOC Call Out List ISSC-ESH-PL-003, Emergency Management Integration Plan SSI.EM-0009, Emergency Action Plan for SST Facilities in C-755 SSI.EM-0015, Emergency Action Plan for C-750 Garage SSI.GM-0006, Protocol for Infrastructure Services During Off-Normal Plant Conditions 03.08.01, Emergency Operations Center Activities	Electronic	S:Drive	1					
							ES&H Manager	Deliverable 18, Building/Project Emergency Contingency Plans Deliverable 19, Input in the Paducah Site Emergency Plan Deliverable 20, Input in the Paducah Emergency Readiness Assurance Plan Deliverable 21, Infrastructure Facility Specific Emergency Plan Implementing Procedures Deliverable 22, Input to the Paducah Site Continuity of Operations Plan Deliverable 24, Emergency Planning Hazard Assessment for Infrastructure Facilities Deliverable 25, Paducah Site/Facility-Specific Emergency Action Levels (EALs) Deliverable 26, Emergency Management Readiness Assurance Program*	Electronic	S:Drive						
ADM 18.35.B	Records that Demonstrate the Capability for Safe Operation	Records include the activities involved in the planning, design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems, any of which are or will be engaged in, or part of, "operations." Included are records of initial siting and geological aspects. (b) Records of "Items". Authorizing documents, procedures, and other records that demonstrate that control systems, materials control systems, and items that will be used in operations, have the capability for safe use. Items as used here include sites, facilities, structures, plants, materials, spent fuel, waste, machinery, equipment, and systems, or discrete parts thereof.	<b>Temporary.</b> Arranged by calendar year and cutoff according to the event ending date. Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item's capability for safe operation. Destroy either upon an item's permanent removal from service, or upon permanent termination of the item's use, unless the documentation will be applicable to a replacement item.		EPI	ES&H	ES&H Manager	Inbound Equipment Inspections Safety Inspections Fall Protection Equipment Inspections and Reports	Paper & Electronic	S:Drive & C-755 T20						
							QA	Quality Assurance Manager	Receipt Inspections	Electronic	Issues Tracking System (EIS)					
ADM 18.36.1	Records that Verify the Performance of Safe Operations	Records which verify that an activity was performed in accordance with applicable requirements for safe operations, but need not be retained for the working life of the individual or for the life of the item, or discrete part thereof. Items as used here include sites, facilities, structures, plans, materials, machinery, equipment, and systems. (Excluded are nuclear materials accountability records.)	<b>Temporary.</b> Arranged by fiscal year according to event driven ending date. Cut off at the end of the fiscal year, and destroy them 5 years after the date of completion of the task or the completion of the performance of the activity or action.			E&A	Eng. & Assets Manager	ISSC-PE-PO-001, Value Management Policy 03.01.09, Control of Measuring and Testing Equipment	Electronic	S:Drive			Nonpermanent	Program Policies and Procedures		
							O&M	O&M Manager	SST.FS-003, SST Conduct of Operations Applicability Matrix	Electronic	S:Drive					
							QA	Quality Assurance Manager	ISSC-QA-PL-002, Contract Performance Quality Assurance Plan SST.QA-0030, Integrated Oversight Schedule SSI.PUR-6001, Contractor Assurance System Description SST.POL-034, Management by Walking Around 05.01.03, Software Quality Assurance 05.01.02, Control of Nonconforming Items and Services 05.02.01, Integrated Oversight Program 05.02.02, Nuclear Program Audits 05.02.03, Management Assessments 05.02.04, Audits 05.02.05, Qualification-Certification of Audit Personnel 05.03.01, Occurrence Notification and Reporting 05.03.02, Enforcement Noncompliance Determination Reporting 05.04.01, Deliverables and Commitments Management Tracking System 05.04.02, Issues Management 05.04.03, Operating Experience Program 05.04.04, Event Investigation 05.06.01, Quality Level Determinations for Procurement Items-Services 05.06.03, Acceptance of Items and Services Quality Assurance Departmental Instructions	Electronic	S:Drive					
									Quality Assurance Administrative Correspondence Quality Level Determinations Quarterly Trending Analysis Report Deliverable 13, Quality Assurance Program Deliverable 14, Quality Assurance Implementation Plan Deliverable 15, Quality Assurance Program Effectiveness Review Deliverable 16, Issues Management System/Corrective Actions Deliverable 17, Contractor Assurance System SST.QA-0016, Qualified Supplier List	Electronic	S:Drive	1				
							SEC	Security Manager	Deliverable 60, CAP for Periodic DOE Safeguards and Security Surveys Deliverable 61, Quarterly Status Report of the CAPs	Electronic	S:Drive					
ADM 18.37	Safe Work Permits	Safe work permits are used to designate the approval for employees to work on a potentially hazardous job or in a potentially hazardous area. They contain the job description, instructions to workers, the protective clothing and equipment required. They include the name of the workers, approval signatures of responsible supervision, and the date(s) the work is done.	<b>Temporary.</b> Arranged and cutoff by calendar year according effective date. Destroy 75 years after the date of the permit.			E&A	Eng. & Assets Manager	Excavation/Penetration Reports	Electronic	S:Drive						
							ES&H	ES&H Manager	Radiological Work Permits (RWPs) Welding/Burning/Hot Work Permit	Paper & Electronic	S:Drive; C-755 T22A S:Drive; C-755 T20		Nonpermanent	RAD Permit		
							O&M	O&M Manager	Energized Work Log and Permits Lockout/Tagout Log and Permits	Paper & Electronic	S:Drive & C-755 T20					
ADM 18.8.1.A.3	Operations Security	Files which document the policy, standards, and procedures for the administration of DOE's Operations Security (OPSEC) programs. (3) Procedures implementing DOE policy and guides.	<b>Temporary.</b> Arranged and cut off at the end of each fiscal year. Destroy 10 years after cutoff.			SEC	Security Manager	ISSC-SS-PR-001, Maintenance of Security Systems ISSC-SS-PR-002, Processing Incoming and Outgoing Classified Mail PGDP-SS-PR-002, Safeguards and Security Awareness Program Deliverable 82, Technical Surveillance Countermeasures Program Security Departmental Instructions	Electronic	S:Drive						

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
ADM 18.8.1.B	Operations Security	Records relative to the management and/or operation of agency and contractor OPSEC Programs including correspondence, plans, meeting minutes, audits, and other similar records.	<b>Temporary.</b> Arranged and cut off at the end of the fiscal year. Destroy 5 years after cutoff.			SEC	Physical Security Manager	Deliverable 43, Appointment of a Facility Security Officer (FSO) Deliverable 44, FSO Training Certificate Deliverable 66, Appoint Inquiry Official(s) Controlled Article Passes/Permits Vehicle Passes Performance Test Plans [Security Related Limited Scope Performance Test (LSPT)] Operations Security Related Correspondence	Electronic	S:Drive						
ADM 18.8.2	Computer Information Protection Plan/Contingency Plan	Documentation dealing with computer protection elements for a system or application that includes, but is not limited to, descriptions of hardware, software, and information protection functions, contingency and disaster recovery planning, risk assessment, certifications, and computer security questionnaires and checklists.	<b>Temporary.</b> Arranged by calendar year according to computer system event ending date. Destroy when superseded by new specifications, plans, or determinations, or when the system or application to which it applies is decommissioned.			IT	CTCS Manager	10.04.01, Contingency Plan for Information Systems	Electronic	S:Drive	1					
ADM 18.8.4.D	Security Alarm and Access Control System Files	Activity Journals, These records include all of the user activity and alarm activity for all portions of the alarm and access control system. User activity includes operations of Day/Night mode access of alarmed rooms, and access/exit through card reader controlled doors or access points. Alarm activity includes alarm devices, line supervision, and administrative alarms as they occur. Files consist of System activity journals containing the on-site records for alarm system activity.	Cut off at the end of the fiscal year. Destroy 3 years after cutoff.			SEC	Physical Security Manager	Building Alarm Files	Electronic	S:Drive						
ADM 18.8.5	Master Safeguards and Security Agreements/ Security Plans	Records establish the baseline safeguards and security protection strategy and programs for a facility and are an agreement between the cognizant 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 provide short and long-term planning profiles for safeguards and security operations at a facility.	Temporary. Arranged and maintained by calendar year for ease of retrieval until facility termination date is determined. Destroy 10 years after the termination of the facility as a security interest.			SEC	Security Manager	PGDP-SS-PL-007, Site Security Plan PGDP-SS-PL-009, SECON Response Plan PGDP-SS-PL-013, Transportation Security Plan(s) PGDP-SS-PL-014, Demonstration and Protester Plan	Electronic	S:Drive	1					
								ISSC-SS-PL-001, Safeguards and Security Training Program Plan PGDP-SS-PL-005, Operations Security Program Plan PGDP-SS-PL-006, Security Management in Contracting Plan PGDP-SS-PL-010, Performance Assurance Program Plan PGDP-SS-PL-012, Insider Threat Program Plan SSI.SEC-0091, Incidents of Security Concern Program Plan SSI.SEC-0105, Safeguards and Security Program Plan SSI.SEC-0106, S&S Program Plan for the Assessment and/or Surveillance of MC&A SSI.SEC-0125, Policy-Plan Protection of Privacy Act and Personally Identifiable Information	Electronic	S:Drive						
								Deliverable 42, Safeguards and Security Training Program Plan Deliverable 45, Site Security Plan Deliverable 46, SECON Response Plan Deliverable 47, Insider Threat Program Plan Deliverable 51, Site Demonstration Plan Deliverable 52, Site Active Shooter Training Deliverable 62, Performance Assurance Plan Deliverable 65, Incidents of Security Concern Program Plan Deliverable 75, Access Control Program Plan Deliverable 83, Operations Security Program Plan Deliverable 92, Transportation Security Plan	Electronic	S:Drive						
ADM 18.8.6.B	Physical Security Files	Detailed security measures for the physical protection of nuclear material, or for the physical protection and location of equipment and facilities vital to safety. The files include physical security plans, drawings of the physical protection system, alarm system details, and safeguards procedures. (b) Facilities not subject to licensing.	<b>Temporary.</b> Arranged and maintained by calendar year for ease of retrieval until facility termination date is determined. Destroy when superseded or obsolete, or 5 years after facility closes, whichever is sooner.			SEC	Physical Security Manager	PGDP-SS-PL-015, OUO PGDP Physical Security Plan	Electronic	S:Drive	1				May contain Exemption 5, Privileged Information & Exemption 7, Law Enforcement	
ADM 22.2.B.1	Audit/Investigative Case Files	Case files developed in connection with activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress. (b) All other case files not meeting the criteria of item 2a. (1) Official Copy.	<b>Temporary.</b> Arranged by calendar year according to completion date. Cut off upon completion of audit or investigation. Destroy when 10 years old.			HR	Human Resource Manager	Deliverable 141, Benefit Corrective Action Plans Deliverable 143, ERISA Section 103 Audit Report	Electronic	S:Drive						
								Internal Surveillances/Assessments Annual Supplier Evaluations Completed Commitments Issues Management Files (closed issue package; stand-alone items are listed separately)	Electronic	S:Drive						
ADM 22.8.B.2	Investigative Records	OIG files to document allegations of fraud, waste, abuse, and violations of Federal laws/regulations involving DOE programs operations, employees and/or monies. The allegations relate to prohibited or improper activities against the Department by its contractors, vendors, employees, and others having a relationship with DOE. This included allegations reported in writing, via telephone, in person or to the DOE. This included allegations reported in writing, via telephone, in person or to the Hotline, email, or to any OIG staff. These are files (including investigation reports, none of which may be released to the public) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress. (b) OIG records containing information or allegations which have resulted in the initiation of a formal investigation. (2) All other investigative records not covered by item 9.b(1).	<b>Temporary.</b> Arranged by fiscal year. Cut off at the end of the fiscal year. Maintain in office. Destroy 20 years after cutoff.			IT	IT Manager	OIG Investigative related files	Electronic	S:Drive						

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information							
ADM 23.1.B	Office Administrative Files	Record copies of organizational charts, functional statements, and related records that document the essential organization, staffing and procedures of the organization.	<b>Permanent.</b> Arranged by fiscal year. Cut off at the end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old.			PM	Proj. Support Tech.	Organization Chart	Electronic	S:Drive												
DAA-0434-2013-0001-0001	Health Compensation Programs Administrative Files	Includes, but not limited to, such records as compensation claim forms, notifications of resolution of claims, industrial hygiene records, medical records, payroll files, radiological files, training records, neutron dose reconstruction, employment records, employee position descriptions, employee work schedules, investigatory records relating to on-the-job injuries, individual health care records, and other medical information that could be used to determine whether exposures may have been a factor in illness.	<b>Temporary.</b> Arranged and cut off annually in year final claim determination made. Destroy/delete 75 years after cutoff.			RMC	Records Manager	EEOICPA Claim Request Files	Electronic	S:Drive					May contain Exemption 6, Personal Privacy							
DAA-0434-2013-0001-0004	Health Compensation Program Administrative Files	Includes, but not limited to, records related to the administration, implementation, and reporting of Health Compensation Programs performance, such as notices, routine correspondence, and administrative memoranda.	<b>Temporary.</b> Arranged and cut off annually. Destroy/delete 3 years after cutoff.			RMC	Records Manager	Deliverable 135, EEOICPA Records, Claims Information, and Reports	Electronic	S:Drive												
ENV 1.A	Administrative Record	Records documenting the basis for selecting a CERCLA response action/remediation action, RCRA permit/permit modification/or closure plan action by the U.S. Environmental Protection Agency (EPA), the DOE, state agencies, the public, or other interested parties. These files contain historical data on the identification and remediation alternative of waste sites. The Administrative Record also includes documents which demonstrate the public's opportunity to participate in and comment on the selection of the remedial action.	<b>Temporary.</b> Arranged by calendar year and project and cutoff at project completion. Destroy 75 years after termination of applicable FFA & Co. DOE shall notify the EPA at least 90 days prior to destruction of records and upon request by the EPA, DOE shall relinquish custody of records to the EPA.			RMC	Records Manager	Administrative Record files - a collection of publically released documents and information, redacted and unredacted, used for selection of response actions regarding environmental cleanup projects	Electronic	S:Drive												
ENV 1.B.4.B	Safety and Health Records Other Safety Analyses	Document a process to provide systematic identification of hazards within a given DOE operation; to describe and analyze the adequacy of measure taken to eliminate, control, or mitigate identified hazards; and to analyze and evaluate potential accidents and their associated risks. May have documentation similar to SAR's. Records should include the related DOE Safety Evaluation Report.	<b>Temporary.</b> Arranged by calendar year dependent on document cutoff date. Cutoff when superseded, obsolete, or cancelled. Destroy 25 years after cutoff.		EPI	E&A	Eng. & Assets Manager	11.02.03, Excavation/Penetration Activities ISSC-PE-PR-003, Fleet Operations	Electronic	S:Drive			Nonpermanent	Program Procedure								
								ISSC-ESH-PR-008, Accident/Incident Reporting	Electronic	S:Drive	1	Nonpermanent	Program Procedure									
								01.02.01, STOP Committee 03.02.04, Hazard Communication 03.02.09, Fall Protection 03.02.10, Hoisting and Rigging 03.02.16, Compressed Gases ISSC-ESH-PR-001, Hazard Assessments ISSC-ESH-PR-003, Commercial Motor Vehicle Transportation Safety ISSC-ESH-PR-004, Training Program ISSC-ESH-PR-005, Storage and Disposal of Spent Materials ISSC-ESH-PR-006, Electrical Safety ISSC-ESH-PR-007, Instructions for Lockout-Tagout ISSC-ESH-PR-009, Suspension of Work (Safety-Related) ISSC-ESH-PR-011, Facility Safety ISSC-ESH-PR-013, ES&H Subcontractor Oversight Program ISSC-ESH-PR-016, Welding, Burning and Hot Work ISSC-ESH-PR-017, Defective Equipment Tags ISSC-ESH-PR-019, Confined Space Program ISSC-ESH-PR-020, Personal Protective Equipment ISSC-ESH-PR-023, Occupational Noise Exposure/ Hearing Conservation ISSC-ESH-PR-026, General Safety Requirements ISSC-ESH-PR-027, Fire Protection and Evacuation Alarms ISSC-ESH-PR-028, Safe Use of Scaffolds	Electronic	S:Drive		Nonpermanent	Program Procedure									
								ISSC-ESH-PL-001, Training Program Description ISSC-ESH-PL-004, Worker Safety and Health Plan ISSC-ESH-PL-006, Environmental Management System Description ISSC-ESH-PL-010, Integrated Safety Management System Description ISSC-ESH-PO-002, Oversight Personnel ISSC-ESH-PO-001, See, Flee and Notify SST.CHA-005, Safety Success Team Charter ISSC-PM-TD-001, ISMS and Quality Assurance Declaration	Electronic	S:Drive		Nonpermanent	Program Plan									
								03.04.00, General Industrial Hygiene Program 03.05.05, Blood borne Pathogens Program ISSC-ESH-PR-010, Occupational Health Program ISSC-ESH-PR-012, Lead Protection Program ISSC-ESH-PR-015, Respiratory Protection Program ISSC-ESH-PR-021, Temperature Extremes Industrial Hygiene Work Instructions	Electronic	S:Drive		Nonpermanent	Program Procedure									
								Deliverable 4, Worker Safety and Health Program Deliverable 8, Integrated Safety Management System Description Deliverable 10, Annual Integrated Safety Management System Effectiveness Review Deliverable 11, Environmental Management System Deliverable 23, Hazard Survey for Infrastructure Facilities/Activities Deliverable 156, Environmental Liabilities Data Deliverable 157, Environmental, Safety and Health Liabilities Data	Electronic	S:Drive												
								ISSC-ESH-PL-009, Hazard Survey for Infrastructure Facilities-Activities Hazard Tracking data	Electronic	S:Drive		Nonpermanent	Program Surveys									
								Sound Surveys	Paper & Electronic	S:Drive & C-755 T20 S:Drive												
								O&M	Director of Integrated Services	Safety Related Metrics												
									O&M Manager	ISSC-PM-PR-003, Work Planning and Control						Electronic	S:Drive	2	Nonpermanent	Program Procedure		

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Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information
								ISSC-OM-PR-001, Public Address System Maintenance ISSC-OM-PR-002, Public Warning System Maintenance ISSC-OM-PR-006, Routine Maintenance of PBX Battery Banks	Electronic	S:Drive	1	Lifetime	Systems of Public Address/Warning and Uninterruptable Power		
								ISSC-OM-PR-003, Portable Fire Extinguisher Inspections, Testing & Refurbishment ISSC-OM-PR-004, Industrial Equipment Operator Qualifications ISSC-OM-PR-005, Operation of the C-752-B Fuel Dispensing Station ISSC-OM-PR-007, Battery Charging Areas ISSC-PM-PR-002, Project Work Process ISSC-PM-PR-004, Work Package Development	Electronic	S:Drive					
								Work Packages (Nuclear or Radiation Protection Item Related)	Paper & Electronic	S:Drive & C-755 T28		Lifetime	Specify related item or facility		
								Work Packages	Paper & Electronic	S:Drive & C-755 T28					
								Stop Work Notices (Nuclear or Radiation Protection Related)	Electronic	S:Drive		Nonpermanent	Specify work related activity		
								Stop Work Notices	Electronic	S:Drive					
						PM	Project Manager	ISSC-PM-PL-001, Integrated Management System Plan	Electronic	S:Drive					
ENV 1.B.5.A	Safety & Health Records	Records associated with Safety and Health related documentation required by CERCLA/RCRA, other than CERCLA-funded cooperative agreements. (a) Records which notify or support worker protection and safety including but not limited to safety incident, safety analysis, safety meetings, safety awards, and safety assessments.	Temporary. Arranged by calendar year dependent on event ending date. Destroy after 5 years.		EPI	ES&H	ES&H Manager	Activity Hazard Analysis (AHAs) Job/Task Hazard Analysis (JTHAs)	Electronic	S:Drive					
								Nuclear or Radiation Protection Related Activity Hazard Analysis (AHAs) Nuclear or Radiation Protection Job/Task Hazard Analysis (JTHAs)	Electronic	S:Drive		Nonpermanent	Specify nuclear related activity		
								Monthly All Hands Meeting Sign-In Sheets WISE Team Meeting Minutes	Electronic	S:Drive					
ENV 1.D.2	DOE Field/Contractor Environmental/Safety Reports	Reports relating to field office, contractor or subcontractor environmental, human health, employee and/or public safety and oversight reports.	Temporary. Arranged by calendar year dependent on superseded date. Cutoff when superseded, obsolete, or canceled. Destroy when 75 years old.		EPI	PM	Proj. Support Tech.	02.04.03, Shared Site Issues	Electronic	S:Drive					
ENV 1.D.3	Environmental Administration Reports	Reports relating to routine, daily business functions, recurring transactions, or activities associated with environmental, safety, and health operations.	Temporary. Arranged by calendar year dependent on superseded date. Cutoff when superseded, obsolete, or canceled. Destroy when 7 years old.			ES&H	ES&H Manager	ES&H Related Correspondence Environmental Regulatory Compliance Correspondence	Electronic	S:Drive					
						O&M	O&M Manager	Pre-Shift Briefings (includes POD attendance sheet)	Electronic	S:Drive					
						QA	QA Manager	Management by Walking Around (MBWA)	Electronic	S:Drive					
ENV 1.F.1	Environmental Monitoring Plan Records	These records document a framework of the scope and extent of both liquid and gaseous, effluent measurements, and related surveillance programs during the active lifetime of operations. These records define the quality assurance control program to ensure that all samples are collected and that the resulting data will be able to calculate the effect to the environment and public health. Records may include, but are not limited to, parameters and concentrations, analysis, cover letter transmittal, compliance summaries, findings and concerns, effluent inventory, data management and calculations.	Temporary. Arranged by calendar year dependent on superseded date. Cutoff when superseded, obsolete, or canceled with approval of site owner.		EPI	ES&H	Env. Compliance Specialist	ISSC-ESH-TD-009, Aspects and Impact Register ISSC-ESH-TD-010, Environmental Legal Register ISSC-ESH-TD-011, Environmental Management System Measurement Plan							
ENV 1.F.2	Environmental Implementation Plan Records	These records document a framework which identifies the responsibilities for compliance management, direction, goals, and objectives with related strategies and timetables. These records are used to ensure that the facility is operated and managed in a manner that will protect, maintain and restore environmental quality and minimize potential threats to the environment and public health. These plans are submitted to the EPA for review, comment and approval.	Temporary. Arranged by calendar year dependent on superseded date. Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old with approval from site owner.			E&A	Eng. & Assets Manager	Deliverable 12, Site Sustainability Plan	Electronic	S:Drive					
ENV 1.F.3	Waste Minimization & Pollution Prevention Implementation Plan Records	Records documenting the plan for implementing a Waste Minimization Program at DOE contractor sites. Information related to waste minimization is distributed to line organizations and selected groups to identify waste streams, and minimize or eliminate the toxicity and waste material at the site. Records may include, but are not limited to, correspondence, waste service center location, strategic planning, program changes, program accomplishments, findings, program support, distribution list and notes.	Temporary. Arranged by calendar year dependent on superseded date. Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old with approval from site owner.		EPI	ES&H	Env. Compliance Specialist	SSI.ESH-3007, Radioactive Waste Management Basis	Electronic	S:Drive		Nonpermanent	RAD Program Plan		
								ISSC-ESH-PL-002, Waste Management Plan ISSC-ESH-PL-005, Pollution Prevention Plan Energy Independence and Security Act (EISA) Data Call Deliverable 29, Waste Management Plan Deliverable 30, Pollution Prevention Plan Deliverable 31, Recycle Report Deliverable 173, Annual Bio-Based Purchases Report	Electronic	S:Drive					

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
ENV 1.J.1	Remediation Management Records	Records of management services organizations dedicated to solving waste cleanup problems. Records include project scope terms and conditions; contracted authority requirements; project costs; correspondence to and from clients, contractor or regulatory entities; data and analysis necessary to replicate the project findings; contractor records; reports on current situations, recommendations for future actions, evidence of training and qualification; records which document and describe general remediation project information, including procedure manuals, site operating procedures, project directives and project proposals. (1) Remediation Plan Records: Site-wide Criteria and Design Basis-Remediation-based records, site-wide data and memoranda-remediation-related records, remediation project information records, Federal Regulatory Agencies-remediation-related records, site-wide project controls remediation-related records, remediation plans records, RI/FS, remedial project specific records, such as site-wide project control records, sub-contractor support records, project information records, project charts and construction records; Operable Unit program development records; operating plans; RCRA operating logs; Operational Readiness Review Records.	<b>Temporary.</b> Arranged by project according to calendar year based on end date. Cut off at the end of the project or in 5 years. Destroy after 75 years.			E&A	Eng. & Assets Manager	C-100 Asbestos Abatement Project Files C-100, C-101, and C-102 Lead and Asbestos Project	Electronic	S:Drive						
ENV 1.K.1	Environmental Program Support Files	Document the management, administration, support, function, operation, and program activities for an environmental program. These records include, but are not limited to, mission descriptions or documents describing the following: the type of work performed; funding/budget documentation; program plans; approvals and implementation and coordinating program activities; action plans; program development records; compliance to regulatory requirements; a history of past management practices; meeting minutes; audits; project reviews or event documentation; organization structure; property/equipment listings; deliverables; report and correspondence related to the milestones, work identification or progress; and other related documentation.	<b>Temporary.</b> Arranged by calendar year. Cutoff annually. Destroy 25 years after cutoff.			E&A	Eng. & Assets Manager	Deliverable 105, Ten Year Site Plan	Electronic	S:Drive						
						ES&H	Env. Compliance Specialist	Environmental Compliance Departmental Instructions	Electronic	S:Drive						
ENV 2.A.1.C	Inspection Record Files	Records or files associated with assessments, appraisals, or inspections to verify environmental compliance. (c) General inspection logs related to operations; safety inspections; inspection schedules, completed inspection procedures and checklists; internal, job-specific inspection checklists and other supporting documentation.	<b>Temporary.</b> Arranged and cutoff by calendar year based on inspection date. Destroy 3 years after date of inspection.			ES&H	Env. Compliance Specialist	Generator Staging Area Inspection Checklists Fuel Dispensing Station Weekly Walkdown Inspection & Fuel Station Inventory Fuel Log NEPA Environmental Checklist Environmental Compliance Checklists (Misc.)	Paper & Electronic	S:Drive & C-755 T20						
ENV 2.C.1	In-Use Chemical Inventory Files	Inventories of chemicals in use; chemical inventories for Superfund Amendment and Reauthorization Act of 1986 (SARA) Emergency Planning and Community Right to Know Act of 1986 (EPCRA) reporting such as Tier Two Emergency and Hazardous Chemical Inventory (commonly called 312) and Toxic Chemical Release Inventory (commonly called 313), and other regulatory agency-driven requirements. (See item 1.b2 and 1.b3 for reports.)	<b>Temporary.</b> Arranged by calendar year and cutoff by submittal date. Destroy 3 years after submittal of report.			EPI	SEC	Security Manager	Deliverable 53, Chemical Screening Inventory Report PGDP-SS-PL-016, Paducah Gaseous Diffusion Plant Asset Characterization Report	Electronic	S:Drive				May contain Exemption 7, Law Enforcement	
ENV 2.C.7.A	Material Safety Data Sheets (MSDS)	MSDS provides detailed safety information on hazardous chemical products obtained from chemical manufacturers and/or commercial information services. MSDS are originated by manufacturers of chemical products and passed on to product purchasers to provide detailed product safety information are required by public law. (a) Safety Department Master File	<b>Temporary.</b> Arranged by calendar year and cutoff by removal date. Destroy 75 years after substance has been removed from use.			ES&H	ES&H Manager	Safety Data Sheets (SDS) Deliverable 122, Labels and Material Safety Data Sheets	Electronic	S:Drive						
ENV 2.C.8	Waste/Chemical Inventory Files	Sealed Radioactive Source Inventory; Records concerning the inventory and integrity testing of sealed radioactive sources. Records are used for calibrating radiation measurement equipment, response checking of radiation detection instruments; research, and other applications utilizing sealed radioactive sources.	<b>Temporary.</b> Arranged by calendar year and cutoff by disposition or issued date. Destroy 75 years after final disposition of radioactive source, or in accordance with authorization issued by a State or Federal regulatory agency, whichever is longer.			ES&H	RAD Protection Supv. (Dosimetry)	Source Accountability Form Radioactive Check/Calibration Source Sign-Out Sheet	Electronic	S:Drive		Nonpermanent	RAD Program Records			
						ES&H	Manager	Source Inventory Log	Electronic	S:Drive	1	Lifetime	Sitewide			
ENV 3.E	Pesticide/Herbicide Records	Records of application of pesticides/herbicides, Records include but are not limited to location involved, date, time, appropriate meteorological data for exterior applications, amounts of chemical associated concentrations and equipment used, signature and license number of the cognizant operator along with pertinent remarks.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy after 10 years.			EPI	O&M	O&M Manager	SSI,OM-0007, Pest Control Plan Pest Control License and Permits, Inspection Reports, Service Schedules Deliverable 120, License and Permits for Pest Control Services Deliverable 123, Pest Control Inspection Reports Deliverable 124, Annual Service Schedules for Pest Control Services	Electronic	S:Drive					
GRS 1.1, Item 001	Financial Management and Reporting Records	Financial management and reporting administrative records. Records related to managing financial activities and reporting. Records include: • correspondence • subject files • feeder reports • workload management and assignment records	<b>Temporary.</b> Arranged and cutoff by contract year. Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0001		BUS	Business Manager	Firm-Fixed-Price: Procurement Related Correspondence Accounting Related Correspondence Files	Electronic	Corporate Server					X	May contain Exemption 4, Commercial/Proprietary
								Vendor Information/Contact List	Electronic	S:Drive	1					
								Procurement Related Correspondence Accounting Related Correspondence Files	Electronic	S:Drive						May contain Exemption 4, Commercial/Proprietary
								List of Escort Subcontractors and Contact Information	Paper & Electronic	S:Drive & Business Office - Info Park					X	

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information
GRS 2.1, Item 050	Employee Acquisition Records	Job vacancy case files. Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes: • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation. Records of onetime competitive and Senior Executive Service announcements/ selections. <b>Legal citation:</b> 5 CFR 335.103	<b>Temporary.</b> Arranged and cutoff by calendar year dependent upon closure date. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2017-0011-0001		HR	Human Resource Manager	Job Posting Files (includes vacancy announcement, applicant resumes chosen for interview, interview questions and results)	Paper & Electronic	S:Drive and C-755 T18					
GRS 2.1, Item 051	Employee Acquisition Records	Job vacancy case files. Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes: • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation. Records of standing register competitive files for multiple positions filled over a period of time. <b>Legal citation:</b> 5 CFR 335.103	<b>Temporary.</b> Arranged and cutoff by calendar year dependent upon closure date. Destroy 2 years after termination of register.	DAA-GRS-2017-0011-0002				Job Posting Files (includes vacancy announcement, applicant resumes chosen for interview, interview questions and results)	Paper & Electronic	S:Drive and C-755 T18					
GRS 2.2, Item 010	Employee Management Records	Employee management administrative records. Records on routine office program support, administration, and human resources operations. Includes: • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders. <b>Exclusion:</b> Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0001		HR	Human Resource Manager	Deliverable 182, Workplace Substance Abuse Program Plan Reports Employee Drug Testing Files	Electronic	S:Drive				X	May contain Exemption 6, Personal Privacy
GRS 2.2, Item 060	Employee Management Records	Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.	<b>Temporary.</b> Arranged by employee name and cutoff by termination date. Destroy 3 years after employee separates from service or transfers to another agency.	DAA-GRS-2017-0007-0007		HR	Human Resource Manager	I-9 Forms	Paper	C-755 HR Office					May contain Exemption 6, Personal Privacy
GRS 2.2, Item 070	Employee Management Records	Employee performance file system records. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2). <b>Exclusion:</b> Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. <b>Legal citation:</b> 5 CFR Part 293.404	<b>Temporary.</b> Arranged by performance period dates (Ending 11/30/XX). Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0008		HR	Human Resource Manager	Employee Performance Reviews	Electronic	Birdog (EIS)				X	May contain Exemption 6, Personal Privacy
GRS 2.3, Item 035	Employee Relations Records	EEO reports and employment statistics files. Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.	<b>Temporary.</b> Arranged by calendar year. Destroy when 5 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0011		HR	Human Resource Manager	Deliverable 168, Equal Opportunity Compliance Information Deliverable 169, Equal Opportunity Report (EEO-1)	Electronic	S:Drive					
								Deliverable 170, Affirmative Action Compliance Program Deliverable 171, Affirmative Action Program for Veterans and Workers with Disabilities Deliverable 172, Federal Contractor Veterans' Employment Report (VETS-100A) ISSC-HR-PL-002, Affirmative Action Programs for Minorities and Females and Qualified Individuals with Disabilities and Qualified Protected Veterans	Electronic	S:Drive					
GRS 2.3, Item 050	Employee Relations Records	Labor management relations agreement negotiation records. Records relating to negotiations with labor unions. Includes: • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence • memoranda • reports • forms • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups. Office(s) responsible for negotiations.	<b>Temporary.</b> Arranged and cutoff by contract completion date. Destroy 5 years after expiration of agreement, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0014		HR	Human Resource Manager	Labor Relations - Contract Negotiations Related Correspondence	Electronic	S:Drive				X	
								Deliverable 149, Collective Bargaining Agreement Deliverable 150, Economic Parameters for Collective Bargaining Deliverable 151, Report of Settlement Section H.9D Labor Relations Report	Electronic	S:Drive					

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information
GRS 2.3, Item 060	Employee Relations Records	Administrative grievance, disciplinary, and adverse action files. Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes: • grievance documents (copy of original grievance submission and supporting documentation/evidence • statements of witnesses • reports of interviews and hearings • examiner's findings and recommendations • copy of the original decision • related correspondence and exhibits. <b>Exclusion:</b> Item excludes EEO complaints and negotiated grievances by bargaining unit employees.	<b>Temporary.</b> Active records are maintained by HR until resolved. Inactive records are arranged by quarter dependent on date closed. Destroy no sooner than 4 years but no less than 7 years after case is closed.	DAA-GRS-2015-0007-0017		HR	Human Resource Manager	Union Grievances	Electronic	S:Drive				X	
								Non-Mission Related Payroll Records Salaried Employee Timesheets	Paper & Electronic	S:Drive & Business Office - Info Park				X	May contain Exemption 6, Personal Privacy
								Mission Related Payroll Records Overtime Requests Salaried Employee Timesheets	Paper & Electronic	S:Drive & Business Office - Info Park					May contain Exemption 6, Personal Privacy
						O&M	O&M Manager	Hourly Employee Timesheets	Paper & Electronic	S:Drive & Business Office - Info Park					May contain Exemption 6, Personal Privacy
GRS 2.4, Item 060	Employee Compensation and Benefits Records	Payroll program administrative records. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee's pay. Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0015-0006		BUS	Business Manager	Payroll Related Files, Materials and Correspondence	Electronic	S:Drive					
GRS 2.7, Item 100	Employee Health and Safety Records	Employee drug test plans, procedures, and scheduling records. Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes: • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules. <b>Exclusion 1:</b> Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules. <b>Exclusion 2:</b> Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records. <b>Exclusion 3:</b> Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016		HR	Human Resource Manager	SSI.HR-0003, Workplace Substance Abuse Program Deliverable 181, Workplace Substance Abuse Program	Electronic	S:Drive					
GRS 3.1, Item 011	System Development Records	Records related to the development of information technology systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.	<b>Temporary.</b> Arranged and cutoff by calendar year according to event end date. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0007		E&A	Eng. & Assets Manager	ISSC-PE-PL-001, Facility Information Management System Quality Assurance Plan	Electronic	S:Drive					
								SSI.IT-0041, System Development Life Cycle Plan SSI.IT-0043, Feasibility Study of Email Records Management System SSI.IT-0049, Electronic Information Systems Records Plan	Electronic	S:Drive					
GRS 3.1, Item 020	Information Technology Operations and Maintenance Records	Information Technology Operations and Maintenance records relate to the activities with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.	<b>Temporary.</b> Arranged and cutoff by calendar year according to event end date. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0004		IT	CTCS Manager	Information Technology Related Correspondence IT Help Desk Tickets Software/License Renewals Information Technology Departmental Instructions SST.IT-0038, Paducah National Security Systems Inventory and Baseline Configuration SSI.IT-0046, Paducah Gaseous Diffusion Plant Software Inventory ISSC-IT-PR-001, Information Technology System & Communication Protection ISSC-IT-PR-003, Media Sanitization ISSC-IT-PR-004, Content Review of Publicly Accessible Information Systems PGDP-IT-PR-001, Media Protection PGDP-IT-PR-002, Info Technology Baseline Configuration Management PGDP-IT-PR-003, Risk Assessment for Information Systems PGDP-IT-PR-004, Information Systems Data Backup PGDP-IT-PR-005, Account Management for Info Systems PGDP-IT-PR-008, Info Technology System and Services Acquisition PGDP-IT-PR-009, Information Technology Systems Audit &Accountability ISSC-IT-TD-004, SST Software Inventory Report 10.01.02, Routine/Scheduled Maintenance of Info Systems 10.03.03, Physical and Environmental Protection for Info Systems 10.04.04, Information Technology System and Information Integrity	Electronic	S:Drive					
								SST.IT-0042, Restoration Priority Plan	Electronic	S:Drive	2				
GRS 3.1, Item 030	Property, Plant and Equipment (PP&E) and other Asset Accounting	Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as: purchase orders and contracts; invoices; appraisals; costing and pricing data; transactional schedules; titles, transfer, acceptance and inspection records; asset retirement, excess and disposal records; plant account cards and ledgers pertaining to structures; correspondence and work papers.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy 2 years after completion of audit or closure of financial statement/accounting treatment/issue, but longer retention is authorized if required for business use.	DAA-GRS2013-00050005		E&A	Eng. & Assets Manager	Property and Asset Related Correspondence	Electronic	S:Drive					

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Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
GRS 3.1, Item 040	Information Technology Oversight and Compliance Records	Information Technology Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations.	<b>Temporary.</b> Arranged and cutoff by calendar year according to completion date. Destroy 5 years after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use.	DAA-GRS-2013-0005-0010		IT	CTCS Manager	SSI.IT-0020, Information Technology Subject Matter Expert List ISSC-IT-TD-006, Information Technology Roles and Responsibility Matrix (Separation of Duties) Software Identification and Classification (SSTF-346) Deliverable 99, System Development Lifecycle Plan Deliverable 100, Incident Handling Plan Deliverable 102, Authorization to Operate (ATO) Designation Request	Electronic	S:Drive						
								PGDP-IT-PR-006, Information Systems Incident Response & Recovery	Electronic	S:Drive	2					
GRS 3.2, Item 010	Systems and Data Security Records	These records are related to maintaining the security of information technology systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses.	<b>Temporary.</b> Arranged and cutoff by calendar year according to system end date. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.	DAA-GRS-2013-0006-0001		IT	CTCS Manager	SSI.IT-0010, System Security Plan for the Paducah Project Information System SSI.IT-0013, Paducah Risk Assessment for Information Systems SSI.IT-0024, System Security Plan for the Paducah National Security Systems SSI.IT-0025, Security Controls for the Paducah National Security Systems Plan SSI.IT-0039, Risk Assessment for the Paducah National Security Systems SSI.IT-1004, Annual Self-Assessment for the Paducah, Kentucky Project National Security Systems ISSC-IT-TD-005, Cyber Security Auditable Events Schedule Deliverable 97, System Security Plan Deliverable 98, Assurance System Deliverable 101, Cyber Security Self-Assessment Deliverable 103, Restoration Priority List	Electronic	S:Drive						
								SST.IT-0028, Security Controls for the Information Systems Plan SSI.IT-0048, Mission Impact Analysis for Information Systems	Electronic	S:Drive	2					
								ISSC-IT-TD-002, Paducah General Support System Resource Recovery Priorities	Electronic	S:Drive	1					
GRS 3.2, Item 040	System Backups and Tape Library Records	Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. (Incremental backup files)	<b>Temporary.</b> Arranged and cutoff by month according to superseded date. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	DAA-GRS-2013-0006-0005		IT	CTCS Manager	SST Network Backup Tapes (Weekly & Monthly Full Backup)	Electronic	C-100 On-Site Server Room	1					
GRS 4.1, Item 010	Records Management Files	Tracking and control records. Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule. Includes: • indexes • lists • registers • inventories • logs. <b>Exclusion 1:</b> This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records. <b>Exclusion 2:</b> This authority does not apply to tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.	<b>Temporary.</b> DOE Retention. Arranged and cutoff annually. Destroy 2 years after cutoff.	DAA-GRS-2013-0002-0016		SEC	Physical Protection Specialist	Keystone Database: Key/Lock Issuance Data	Electronic	Keystone (EIS)						
GRS 4.1, Item 020	Records Management Files	Records management program records. Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include: • providing oversight of entire records management program • transferring, destroying, and retrieving records • inventoring records and conducting records surveys • scheduling records • providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with files plans and other records management questions) • conducting records "clean out" days • conducting special projects Records include: • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority) • SF 135, Records Transmittal and Receipt • OF 11, Reference Request • Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States. <b>Exclusion:</b> This schedule item covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by agencies—not the copies maintained by NARA.	<b>Temporary.</b> Arranged and cutoff by calendar year dependent upon event ending date. Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS 2013-0002 0007		HR	Human Resource Manager	ISSC-HR-PR-001, Release of Medical Records Outside of SST	Electronic	S:Drive						
								RMC	Records Manager	SF-135, Records Transfer Files (Transfer to FRC) Destruction Certificates	Electronic	S:Drive				
										Returned Records Log Field Operating Records (FORs) Inventory Administrative Record Transmittals to the EIC RMC Work Instructions 01.04.04, Administrative Records 08.06.01, Processing FOIA and Privacy Act Requests SSI.DC-1003, Records Disposition Plan SSI.DC-1004, Records Management Plan SSI.DC-1008, Image Quality Statistical Sampling Plan ISSC-RM-PR-001, Controlled Documents ISSC-RM-PR-002, Environmental Information Center Deliverable 125, Records Management Plan Deliverable 126, Image Quality Statistical Sampling Plan Deliverable 127, Records Inventory and File Plan and Updates Deliverable 129, List of Electronic Information Systems Deliverable 130, Records Management Data Call Responses Deliverable 131, CERCLA and RCRA Administrative Record Indices Deliverable 132, Six-Month Forecast for Health Physics/Rad Survey Support Deliverable 133, Records Disposition Plan Records Management Administrative Related Correspondence	Electronic	S:Drive				
										SST.DC-1001, Records Disaster Recovery Plan	Electronic	S:Drive	1			
		Swift & Staley Records Management Inventory and File Plan PGDP-RM-PR-001, Records Management	Electronic	S:Drive	2											
GRS 4.1, Item 030	Records Management Files	Vital or essential records program records. Records involved in planning, operating, and managing the agency's vital or essential records program. Includes: • vital records inventories • vital records cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency vital records tests	<b>Temporary.</b> Arranged and cutoff by calendar year dependent on event ending date. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0008		RMC	Records Manager	SSI.DC-1007, Essential Records Plan SSTF-192, Essential Records Inventory Deliverable 128, Vital Records Plan/Inventory and Updates	Electronic	S:Drive	1					

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
GRS 4.1, Item 040	Records Management Files	Forms management records. Records involved with ensuring use of standard Federal and agency forms to support effective record-keeping and ensuring that Federal standard forms are available and used as appropriate to support Federal record-keeping requirements. Includes: • registers or databases used to record and control the numbers and other identifying data assigned to each form • official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form • background materials and specifications	<b>Temporary.</b> Arranged by calendar year based on event driven date. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized if needed for business use.	DAA-GRS-2013-0002-0009		RMC	Records Manager	Essential Records Cabinet	Paper	C-755 T19						
								Forms (Blank Set)	Electronic	S:Drive						
GRS 4.2, Item 001	Information Access and Protection Records	FOIA, Privacy Act, and classified documents administrative records. Records on managing information access and protection activities. Records include: • correspondence related to routine implementation of the FOIA and Privacy Act and administration of security classification, control, and accounting for classified documents • associated subject files • feeder and statistical reports. <b>Exclusion:</b> This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA, Privacy Act, and classified documents. These records must be scheduled by the agency on an agency-specific schedule.	<b>Temporary.</b> Arranged and cutoff by month and calendar year. Destroy when 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2016-0013-0003		RMC	Records Manager	Deliverable 161, Privacy Act Systems of Record Notification	Electronic	S:Drive						
								Classification Related Administrative Correspondence Files Classification Review Project Files Declassification Project Files Walk-In Reviews SST Classified Records (Legacy) Deliverable 85, Classified/Declassified Program Status Report Deliverable 86, Appointment of Classification Officer	Paper & Electronic	S:Drive & C-710						
GRS 4.2, Item 020	Information Access and Protection Records	Access and disclosure request files. Case files created in response to requests for information under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by: • granting the request in full • granting the request in part • denying the request for any reason including: o inability to fulfill request because records do not exist o inability to fulfill request because request inadequately describes records o inability to fulfill request because search or reproduction fees are not paid • final adjudication on appeal to any of the above original settlements • final agency action in response to court remand on appeal Includes: • requests (either first-party or third-party) • replies • copies of requested records • administrative appeals • related supporting documents (such as sanitizing instructions). <b>Note 1:</b> Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file. <b>Note 2:</b> Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.	DAA-GRS-2016-0002-0001		RMC	Records Manager	FOIA Claim Request Files Privacy Act Claim Request Files	Electronic	S:Drive					May contain Exemption 6, Personal Privacy	
GRS 4.2, Item 030	Information Access and Protection Records	Information access and protection operational records. Information access and protection tracking and control records. Includes: • records documenting receipt, internal routing, dispatch, and destruction of unclassified records • tracking databases and other records used to manage overall program • requests and authorizations for individuals to have access to classified files	<b>Temporary.</b> DOE Retention. Arranged and cutoff annually after last form entry, reply, or submission; or when associated documents are declassified or destroyed. Destroy 5 years after cutoff.	DAA-GRS-2016-0002-0002		SEC	Sr. Information Security Specialist	Classified Material Hand Carry Forms Classified Matter Receipts	Paper & Electronic	S:Drive & C-100 RM 135						
GRS 5.3, Item 010	Continuity and Emergency Planning Records	Continuity planning and related emergency planning files. Records may include: • records on continuity and emergency planning administrative and operational activities: o briefing materials and presentations o status reports o informational papers o files documenting policy or plan development, including policy studies o procedures, operational manuals, and related development records o implementation guidance o related correspondence o Memorandum (M) of Understanding o Delegations of Authority/Others of Succession • continuity plans or directives and supporting documentation, including but not limited to: o Continuity of Operations (COOP) plans o Devolution Plans o Occupant Emergency Plans (OEP) o Emergency Action Plans (EAP) o Facility Emergency Action Plans (FEAP) o Records Emergency Plans (REM) o Disaster Recovery Plans (DRP) o Pandemic Influenza Plans • records on continuity or emergency tests or exercises, such as: o instructions to members participating in tests o staffing assignments o records of tests of communications and facilities • evaluative reports on continuity or emergency tests or exercises, such as: o result reports o readiness reports o risk and vulnerability assessments o site evaluations and inspections o corrective action plans o after action reports/improvement plans <b>Note 1:</b> Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records. <b>Note 2:</b> Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1. <b>Exclusion 1:</b> This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA. <b>Exclusion 2:</b> This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records. <b>Exclusion 3:</b> This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.	<b>Temporary.</b> Arranged and cutoff annually. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS2016-00040001		ES&H	Env. Compliance Specialist	Emergency Planning Related Correspondence	Electronic	S:Drive						
								Accountability Call List	Electronic	S:Drive	1					

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information	
GRS 5.4, Item 010	Facility, Equipment, Vehicle, Property, and Supply Records	Facility, space, vehicle, equipment, stock, and supply administrative and operational records. Records relating to administering and operating facilities, spaces, Federally owned and operated housing, land vehicles, water vessels, equipment, stocks, and supplies. Includes: • statistical and narrative reports • studies • requests for space using Standard Form 81 or equivalent • space assignments and directories • inventories of property, equipment, furnishings, stock, and supplies • reports of survey regarding lost, damaged, missing, or destroyed property • requisitions for supplies and equipment • records tracking supply and procurement requirements • records scheduling and dispatching vehicles, monitoring use, and reporting use • related correspondence <b>Exclusion 1:</b> Records of aircraft operations (item 110 in this schedule covers these). <b>Exclusion 2:</b> Records of supply and property procurement (GRS 1.1, item 010 covers these). <b>Exclusion 3:</b> Requisition and supply records of the General Services Administration's GSA Global Supply program and Defense Logistics Agency records on military supply provision (supply is these agencies' mission so they must schedule the records separately).	<b>Temporary.</b> Arranged and cutoff annually. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS2016-00110001		E&A	Eng. & Assets Manager	Property (Motor Vehicles) Related Correspondence Deliverable 186, Motor Vehicle Fleet Reports Vehicle Inspection Reports Off-Site Overnight Usage of Government Vehicles Vehicle Usage Log	Electronic	S:Drive						
								Vehicle Accident Files	Electronic	S:Drive						
								Operations and Maintenance Related Correspondence SSI,OM-0004, Space Cleaning Plan Deliverable 112, Space Cleaning Plan	Electronic	S:Drive						
GRS 5.4, Item 040	Facility, Equipment, Vehicle, Property, and Supply Records	Excess personal property, equipment, and vehicle records. Records agencies create when disposing of excess or surplus personal property by sale, donation, or destruction. Includes: • excess property inventories and lists • lists and other records identifying approved receivers of excess property • donation receipts • destruction certificates • documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle • related correspondence <b>Exclusion:</b> Records documenting financial management of surplus property disposal by sale (GRS 1.1, item 010 covers these).	<b>Temporary.</b> Arranged and cutoff by calendar year based on excess date. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-0011-0004		E&A	Eng. & Assets Manager	Engineering and Asset Management Property Disposal Related Correspondence Deliverable 184, Annual Report of Sales and Exchanges Transactions Deliverable 185, Property Furnished to Non-Federal Activities	Electronic	S:Drive						
GRS 5.4, Item 051	Facility, Equipment, Vehicle, Property, and Supply Records	Facility design, engineering, and construction records. Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. Includes: • site maps and surveys • plot plans • structural drawings • architectural renderings • electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings • exterior delivery of utilities drawings • materials plans and drawings • minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams • construction progress photographs • construction inspection reports • equipment location plans • paint plans and samples • furniture design and layout drawings and plans • space occupancy plans. Final and as-built drawings, plans, and designs; and all other records. <b>Exclusion 1:</b> Records documenting financial management of construction contracts (GRS 1.1, item 010 covers these). <b>Exclusion 2:</b> Records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value).	<b>Temporary.</b> Arranged by calendar year according to effective date. Destroy when superseded, or transfer to new owner, or destroy when structure is removed from Federal inventory, as appropriate.	DAA-GRS-2016-0011-0006		E&A	Eng. & Assets Manager	Utility Locations	Electronic	S:Drive	1					
								PAD-P2S-15-GIS-0001, PGDP Site Operational Responsibilities (Site Map)	Electronic	S:Drive	1					
GRS 5.4, Item 110	Facility, Equipment, Vehicle, Property, and Supply Records	Vehicle and heavy equipment operator records. Records of individual employee operation of Government-owned vehicles and equipment, including tests, certifications, use authorization, safe driving/use awards, and related records. <b>Exclusion:</b> Records of operating vehicles and equipment specifically designed for military use (the agency must schedule these).	<b>Temporary.</b> Arranged by calendar year by event driven date. Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate vehicles or equipment, whichever is sooner.	DAA-GRS-2016-0011-0014		E&A	Eng. & Assets Manager	Property Transfer Files	Electronic	S:Drive						
GRS 5.5, Item 020	Mail, Printing, and Telecommunication Service Management Records	Mail, printing, and telecommunication services control records. Records of general day-to-day communication service administration and specific transmission tracking. Includes: • records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages • messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity • reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment • records that document requisitioning and receiving stamps and postage meter balances • documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) the agency receives by mail or private delivery/messenger • staff and office directories the agency uses to ensure correct mail and package delivery • printing requisitions, work orders, samples, manuscript clearances, and related documents • mailing and contact lists a mailroom or similar office manages • telephone message registers and logs. <b>Exclusion 1:</b> United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately. <b>Exclusion 2:</b> Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these). <b>Exclusion 3:</b> Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)	<b>Temporary.</b> Arranged and cutoff by calendar year as superseded. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2016-0012-0002		RMC	Records Management Manager	Postage Worksheet Mail Receipt and Collection forms	Paper & Electronic	S:Drive & C-100 RM 104						
GRS 5.6, Item 010	Security Records	Security administrative records. Records about routine facility security, protective services, and personnel security program administration. Includes: • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0001		SEC	Personnel Security Manager	Security Bulletins Protection Program Administrative Correspondence PGDP,CHA-002, AACS Working Group Charter ISSC-SS-TD-001, Public Tour Briefing brochure	Electronic	S:Drive						

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**Swift & Staley Records Management Center  
Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information
GRS 5.6, Item 020	Security Records	Key and card access accountability records. Records accounting for keys and electronic access cards. Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	<b>Temporary.</b> Arranged and cutoff by calendar year according to return date. Destroy 3 years after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0002		SEC	Physical Protection Specialist	Key Lock Request Form (Custodial Forms) Level 1 and Level 2 Classified Key Inventories	Paper & Electronic	S:Drive & C-100 RM 111					
GRS 5.6, Item 021	Security Records	Key and card access accountability records. Records accounting for keys and electronic access cards. All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	<b>Temporary.</b> Arranged and cutoff by calendar year and month according to return date. Destroy 6 months after return of key, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0003		SEC	Physical Protection Specialist	Key Lock Request Form (Custodial Forms) Level 3 Accountable Key Inventories	Paper & Electronic	S:Drive & C-100 RM 111					
GRS 5.6, Item 040	Security Records	Property pass records. Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.	<b>Temporary.</b> Arranged and cutoff monthly by calendar year according to event driven date. Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0005		E&A	Eng. & Assets Manager	Property Removal Passes	Electronic	S:Drive					
GRS 5.6, Item 080	Security Records	Facility security assessment records. Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status by Government agencies. Includes: • facility notes • inspector notes and reports • vulnerability assessments. Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	<b>Temporary.</b> Arranged by calendar year and cutoff annually according to event driven date. Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0010		SEC	Security Manager	Deliverable 57, Annual Comprehensive Site Self-Assessment Report SSI.SEC-0134, FY 18 Safeguards and Security Oversight Schedule SSI.SEC-0116, S&S Program Annual Comprehensive Self Assessment Report	Electronic	S:Drive					
								Security Self-Assessments	Paper & Electronic	S:Drive & C-100 RM 140					
GRS 5.6, Item 180	Security Records	Personnel security and access clearance records. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination <b>Note:</b> GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records. Records of people not issued clearances. Includes case files of applicants not hired. <b>Exclusion:</b> Copies of investigative reports covered in items 170 and 171.	<b>Temporary.</b> Arranged and cutoff by calendar year. Destroy 1 year after consideration of the candidate ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0024		SEC	Personnel Security Manager	Real ID Tally Monthly Report PERSEC Administration and Operations Related Correspondence	Paper & Electronic	S:Drive & C-100 Badging					
GRS 5.6, Item 181	Security Records	Personnel security and access clearance records. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination <b>Note:</b> GRS 3.2, Information Systems Security Records, items 030 and 031, covers Information system access records. Records of people issued clearances. Includes case files of applicants not hired. <b>Exclusion:</b> Copies of investigative reports covered in items 170 and 171.	<b>Temporary.</b> Arranged and cutoff by calendar year according to event driven ending date. Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.	DAA-GRS-2017-0006-0025		SEC	Personnel Security Manager	Personnel Security Files - <i>Active employees - paper, Inactive employees - must keep paper files for 2 years after the termination date, Inactive employees termination more than 2 years ago - electronic</i>	Paper & Electronic	D:Drive & C-100 RM 141					May contain Exemption 6, Personal Privacy
GRS 5.7, Item 010	Agency Accountability Records	Internal administrative accountability and operational management control records. Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes: • copies of internal and external directives outlining management control policy • management control plans and records of the planning process • records of management reviews • comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements • risk analyses and risk profiles • internal controls over reports • feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2) • records tracking assignments, tasks, and responsibilities • administrative correspondence. <b>Exclusion 1:</b> Reports related to agency mission activities (agencies schedule these separately). <b>Exclusion 2:</b> Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately). <b>Exclusion 3:</b> Reports that mandating agencies receive (these agencies must schedule them separately).	<b>Temporary.</b> Arranged by calendar year. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use.	DAA-GRS-2017-0008-0001		BUS	Business Manager	Deliverable 154, Federal Managers Financial Integrity Act Report	Electronic	S:Drive					
GRS 5.7, Item 030	Agency Accountability Records	Administrative directives and notices. Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development. <b>Exclusion:</b> Documents related to mission activities (agencies schedule these separately).	<b>Temporary.</b> Arranged and cutoff by calendar year and departmental document dependent on superseded date. Destroy when superseded, obsolete, or no longer needed for business, whichever is later.	DAA-GRS-2017-0008-0003		BUS	Business Manager	08.02.02, Guidelines for Charging Costs ISSC-BM-PR-001, Work for Other DOE Prime Contractors ISSC-BM-PR-003, Procurement of Items and Services ISSC-BM-PR-004, Unauthorized Procurement Commitments ISSC-BM-PR-005, Developing and Evaluating a Request for Proposal Business Management Departmental Instructions	Electronic	S:Drive					
								06.02.04, Proliferation-Sensitive Personal Property Management ISSC-PE-PR-001, Reutilization and Excessing or Property, Staging of Excess Property, and Off-Site Removal of Property ISSC-PE-PR-002, Contractor Furnished Property, Property Management Database, and Property and Real Estate Management Program ISSC-PE-PE-004, Personal Property Inventory Campaigns and Reporting Lost, Stolen, Destroyed, Cannibalized, and/or Contaminated Property ISSC-PE-PR-005, Engineering Engineering and Assets Management Departmental Instructions	Electronic	S:Drive					
								Deliverable 159, List of Environmental, Safety, and Health Approvals	Electronic	S:Drive					

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Calendar Year 2019 Inventory & File Plan**

Schedule	Record Series Title	Record Series Description	Disposition Instructions (cutoff, status, retention, arrangement)	Disposition Authority	Disposition Holds	Dept.	Custodian	SST Records	Medium	Location	Essential Record 1=Emergency Operating 2=Legal/Financial	Quality Records Nonpermanent* or Lifetime	Quality Record Item, Facility, or Activity	Contractor Owned	Official Use Only (OUO) Information
						HR	Human Resource Manager	02.04.04, Standards of Conduct and Business Ethics 07.01.05, Employee Concerns ISSC-HR-PO-001, Cell Phone Use Deliverable 139, Employee Benefits Value Study Deliverable 140, Employee Benefits Cost Study Comparison Deliverable 142, Actuarial Valuation Report Deliverable 147, Workforce Transition Plan/Agreements Deliverable 148, Benefits Transition Plan Deliverable 165, Code of Business Ethics and Conduct Deliverable 183, Employee Assistance Program Implementation Plan	Electronic	S:Drive					
								ISSC-PM-PO-002, Educational Assistance Policy SSI.HR-0009, Employee Handbook SSI.HR-0013, Employee Orientation SST.HR-0010, Employee Assistance Program Implementation Plan	Electronic	S:Drive				X	
						IT	CTCS Manager	PGDP-IT-PO-001, Acceptable Use Policy for Information Technology Resources	Electronic	S:Drive					
						O&M	O&M Manager	Work Schedules Operations and Maintenance Departmental Instructions	Electronic	S:Drive					
						PM	Project Support	ISSC-PM-PO-001, Communications ISSC-PM-PO-005, Charitable Giving Program ISSC-PM-PR-001, Management Review Board SST.GM-0007, Roles Responsibilities, Authorities, and Lines of Communication SST.POL-0001, Approval and Signature Authority SST.POL-0004, Subject Matter Expert Policy SST 02.03.03, Contract Requirements Flow Down	Electronic	S:Drive					
						QA	Quality Assurance Manager	ISSC-QA-TD-002, Subject Matter Expert Index Quality Assurance Delegation of Authority	Electronic	S:Drive					

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