

Section 2: Audits, Appraisals, Assessments, Reviews, and Investigations

	A	B	C	D	E	F
	BNL Site-Specific Records Retention Schedule					
	Section 2: Audits, Appraisals, Assessments, Reviews, and Investigations					
1	Note: Records Marked With 'EPI' Are Under A Moratorium. Do Not Destroy These Records.					
2	Series Title	Description	2	Schedule	Cutoff	Retention
3	Audits - Accounting	This series consists of files related to the audit of cost type operations performed by internal audit. Documents include, but are not limited to, reports, comments, corrective actions, correspondence, and related work papers. This series is kept for reference and auditing purposes.	2	ADM-6.2.1.A.3	Fiscal	Destroy when 10 years old.
4	Audits - External	This series consists of audits(investigations) performed by external agencies such as DOE, BSA, GAO, and EPA. Investigations may be described or referred to as: Tier 3 audits, appraisals, surveillance, self-assessments, management assessments, reviews, or evaluations. The resulting documentation includes, but is not limited to, management systems programmatic reviews, assessment protocols (plans), audit reports, issuing memoranda, correspondence, copies of audits, audit summary sheets, and other related documentation. This series is used for tracking corrective actions and operational tasks. This series is kept for reference, auditing, and verification purposes.	2	ADM-22.2.B.1	Calendar	Cut off upon completion of audit or investigation. Destroy when 10 years old.
5	Audits - External Working Copies	This series consist of informational copies of external audits and investigations performed by off-site agencies. This documentation is used for job/task functions and is kept for reference and verification purposes only.	2	ADM-22.2.B.2	Calendar	Destroy when no longer needed.

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2	Series Title	Description	2	Schedule	Cutoff	Retention
6	Audits - Internal	This series consists of audits (investigations) performed by Brookhaven National Laboratory (BNL) organizations. Investigations may be described or referred to as: Tier 1 audits, appraisals, surveillance, self-assessments, management assessments, reviews, or evaluations. The resulting documentation includes, but is not limited to, management systems programmatic reviews, assessment protocols (plans), audit reports; issuing memoranda; correspondence, copies of audits; audit summary sheets; and other related documentation. This series is used for tracking corrective actions and operational tasks. This series is kept for reference, auditing, and verification purposes.	2	ADM-22.2.B.1	Calendar	Cut off upon completion of audit or investigation. destroy when 10 years old.
7	Audits - Internal Working Copies	This series consist of informational copies of internal audits and investigations performed by Brookhaven National Laboratory (BNL) organizations. This documentation is used for job task functions and is kept for reference and verification purposes only.	2	ADM-22.2.B.2	Calendar	Destroy when no longer needed.
8	Environmental Audits	This series contains audit, investigative case files, and reports that pertain to environmental, health, and safety topics or concerns. Documents include, but are not limited to, investigative reports, correspondence, notes, attachments, working papers, conformance reports, final reports, corrective actions and plans, lessons learned, reviews, comments, and log books. This series is used for tracking corrective actions and operational tasks. This series is kept for reference, auditing, and verification purposes.	2	ADM-22.4	Calendar	Cut off upon completion of audit or investigation. Destroy when 75 years old.
9	Environmental Inspection/Assessment/Appraisal Records	Records or files associated with assessments, appraisal, or inspections to verify environmental compliance.	2	ENV-2.A.1.A	Calendar	Destroy 5 years after life of facility.
10	Investigations (Security)	Records that pertain to inquiries or investigations into incidents of security concern, such as suspected infractions and violations, loss, compromise, or unauthorized disclosure of classified information.	2	ADM-18.11	Calendar	Cut off upon termination of inquiry or investigation and case is closed. Destroy 5 year after cutoff.

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11	Management Reviews	This series consists of correspondence, reports, actions, copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Included are copies of these reviews, provided they are identified as alternative reviews in the management control plans. These records are kept by the office with responsibilities for coordinating internal control functions. This series is kept for reference and auditing purposes.	2	ADM-16.14.F.1	Calendar	Cut off when no further action is necessary. Destroy 5 years after cutoff.
12	Routine Safety Inspections	This series contains reports of surveys and inspections of facilities to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion and accidents. Documentation includes, but is not limited to, copies of the following: Tier 1 safety inspections, occupational injury reports, Tier team correspondence and inspection reports, and waste generation quarterly reports. This series is used for tracking corrective actions and operational tasks. It is kept for reference, verification, and auditing purposes. Note: This series does not include external nor environmental audits/assessments.	2	ADM-18.11.1.D	Calendar	Destroy 1 year after last corrective action and closeout.
13	Self-Assessments, Record Copy	This series consists of original, signed self-assessments for the (list dept/div/group) . Self-assessments may include, but are not limited to, the assessment schedule, criteria for self evaluation, the environmental compliance self-assessments, the results of the assessments, business overviews, the management review, and other related correspondence. This series is used to track compliance and is kept for reference and auditing purposes.	2	ADM-22.2.B.1	Calendar	Cut off upon completion of audit or investigation. Destroy when 10 years old.
14	Self-Assessments	This series consists of self-assessment documentation for the (list dept/div/group) . These files may include, but are not limited to, the assessment schedule, criteria for self-evaluation, the results of the assessment, the environmental compliance self-assessments, business overviews, the management review, and other related correspondence. This series is used and kept for reference purposes.	2	ADM-22.2.B.2	Calendar	Destroy when no longer needed.

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15	Special Studies And Investigations	This series consists of special studies and investigations commonly referred to as Tier II and Tier III audits, which may be performed by a laboratory organization , or external agencies such as DOE, BSA, GAO, and EPA. The resulting documentation may include, but is not limited to, summary reports, audit findings, corrective actions, and other related documentation. These series is used for verification and auditing purposes.	2	ADM-22.1.A.1	Calendar	Permanent. Cut off annually. Transfer to NARA in 5 year blocks when 10 years old.
16	Tier 1 Safety Inspections	This series consists of documentation relating to the ESH&Q Building Safety Inspection Reports done in the (list dept/div/group) . Tier 1 inspections may also be known as Walk-throughs or Quarterly Building Inspections. It includes, but is not limited to, the safety inspection checklist, the Tier I inspection report along with any action item documentation, responses, maintenance requests for safety deficiencies, minutes, and related correspondence. This series is used for tracking corrective actions and operational tasks. It is kept for reference, verification, and auditing purposes.	2	ADM-18.11.1.D	Calendar	Destroy 1 year after last corrective action and closeout.