RECORDS MANAGEMENT CHECKLIST FOR
CAPITAL PLANNING AND INVESTMENT CONTROL
PROPOSALS

1. Program Records Official: 3. Phone Number:
2. Organization: 4. Routing Symbol:
5. Proposed System Title:

6. System Point of Contact: 7. Phone Number:

_____ SYSTEM FUNCTION_____

8. Describe primary purpose of the proposed system.
   (Attach sheet if required.)

9. Proposed system supports: **YES**   **NO**
        Regulatory or
          Congressional Requirement
        National Security
        Program Mission
        Management/Administration

10. Is the proposed system an upgrade or extension of
     an existing system? (If yes, identify the system and
     how records are managed currently.)

11. Identify types of information to be created or managed
       by the proposed system:
        Classified?
        Unclassified?
        Official Use Only?
        Privacy Act?
        Quality Assurance?
        Vital Records?
        Permanent Records?
        Other, specify:

12. Will the proposed system include information:
        Creation?
        Organization?
        Access Limitations?
        Version control?
        Retrieval?
        Metadata?
        Preservation?
        Not available elsewhere? (Specify)

ELECTRONIC RECORDS MANAGEMENT

YES   NO

13. Will the proposed system declare information to be "records"?

14. Is the proposed system an Electronic Records Management System
    (that identifies records and applies retention periods)?
    (If yes, specify software application.)

15. Does the system software meet DOE-STD-4001-2000, "Design
    Criteria for Electronic Records Management Software Applications"?

16. Will documents/records be migrated to a separate system that
     meets DOE-STD-4001-2000?
    (If yes, specify software application.)

17. If records management is not part of the proposed system, will
    it be included in future system developments?   (Specify)

18. If records management is not performed electronically, how
    will system information be managed?

(Note: If the answer to Question 13 and 16 is "no", skip to Question 25. If you answered "yes" to either
Question, please complete all sections of the checklist.)

DISPOSITION

(Please indicate whether the answers in this section apply to Question 13_____ or Question 16_____.)

YES   NO

19. Will the system include application of disposition schedules?

20. Will the system automatically identify records for destruction
when retention periods have been met?

21. Will the system enable time, event and time/event disposition?

22. Will the system allow for entry of event and auto calculation
    of destruction date?

23. Will confirmation be required before destruction takes place?

24. Will the system be able to make provision for destruction
    moratoria when records have met their retention period?

25. Have disposition authorities been identified for all
    records that will be created or managed by the system?
    (If not, attach a draft SF-115 worksheet.)

_____
AUTHENTICITY AND ACCESSIBILITY
_____
                                                YES   **NO**

26. Will the system meet requirements for:
    Legal admissibility, rules of evidence and
    Integrity/authenticity of the record; including:
                Unalterable?
                User/editor restrictions?
                Version-specific?

27. Will the system use technology neutral format?
                XML
                PDF
                ASCI
                Specify:

28. How will software and metadata to support retrieval be
    retained for the life of the information/record?

SIGNATURES: DATE:
_____
Records Management Field Officer:
(For Field-originated systems)
Phone Number:

_____
Records Liaison Officer:
(For HQ-originated systems)
Phone Number:

_____
Program Records Official:

_____
Departmental Records Officer:

_____