

# **RECORDS MANAGEMENT HANDBOOK**



**U.S. DEPARTMENT OF ENERGY  
Office of Chief Information Officer  
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## FOREWARD

1. INTRODUCTION. This Records Management Handbook provides guidance and procedures for the handling of Department of Energy (DOE) records and related materials. While this guidance is intended to be media neutral, DOE M ###-###, "DOE Electronic Records Management Manual," (to be issued) should be consulted for requirements and in-depth information on electronic records.

Records Management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.

There are rules governing the use and destruction of all Federal records. It is the responsibility of every Federal and contractor employee to protect Federal records in their custody, and there are legal implications for destroying records without the proper authority. Following good records management practices can benefit the Department in many ways such as: improving access to information and saving time, space, and money.

2. RECORDS MANAGEMENT OBJECTIVES. The Department's records management program has two major objectives:
  - a. Economy and Efficiency. Through the application of records management system and techniques, promote economy and efficiency in the organization, maintenance, use, and disposition of records.
    - (1) Assure uniformity and simplicity in assigning the office of record and in maintaining and using records;
    - (2) Provide adequate controls over the creation of and prevent accumulation of unnecessary files;
    - (3) Facilitate the coding, filing, retrieval, charging out, and refiling of records;
    - (4) Assure the preservation of those records having sufficient continuing value to warrant their permanent retention; and
    - (5) Provide for the systematic cutoff and periodic destruction or retirement of files in accordance with approved records disposition schedules.

- b. Preservation of Historical Records. Ensure that records are carefully preserved when they have value for future study by scholars and historians.
- (1) Preventing the Loss of Historical Records on Paper. Properly managed files will prevent the loss of historical records and make filing easier, simpler, more logical, and more efficient.
  - (2) Preventing the Loss of Historical Records on Nonpaper Mediums. The agency responsible for preserving the historical documents of the Nation, the National Archives and Records Administration (NARA), has a new major concern today: That historical records in mediums other than paper, especially in electronic media, will be lost forever. Although there are many benefits in maintaining records in other than paper storage mediums, the recordkeeper's responsibilities may be complicated by such mediums and their associated equipment. For example, if such records are not under the recordkeeper's control and those who use and maintain the records are not knowledgeable about recordkeeping responsibilities, the recordkeeper should educate the maintainers of the systems and records that such records need to be controlled and managed.
3. LIFECYCLE OF RECORDS. Records are managed by using the theory that records pass through three stages: Creation/Receipt, Maintenance/Use, and Disposition. Each of these stages is discussed in more detail in the following chapters.
4. LAWS GOVERNING FEDERAL RECORDS MANAGEMENT. According to the *U.S. Code of Federal Regulations* (CFR), Title 44, United States Code 3301 (44 U.S.C. 3301), Federal records are defined as, "All books, paper, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U. S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the informational value of data in them."

There are the three key points in the legal definition:

- Regardless of physical form.
- Made or received.
- Preserved or appropriate for preservation.

Federal Records Management is mandated by the following laws:

- 44 U.S.C. 2901 through 2909 governs records management by NARA and the General Services Administration (GSA).
- 44 U.S.C. 3101 through 3107 governs records management by Federal Agencies.
- 18 U.S.C. 2071 describes penalties for willfully and unlawfully destroying, damaging, or removing Federal records.
- 36 CFR, Chapter XII provides regulations implementing the U.S.C.

5. BENEFITS OF EFFECTIVE RECORDS MANAGEMENT TO THE DEPARTMENT. In addition to being mandated by law, effective records management provides significant benefits to the Department, including:

- Efficient retrieval of information capabilities to help employees do their jobs.
- Legal protection of the rights of citizens and the Government.
- Proper accountability and responsiveness to other Government organizations and the public.
- Institutional memory.
- Preservation of the historical record.

6. PENALTIES FOR UNAUTHORIZED DESTRUCTION OF RECORDS. Records created or acquired by an official or employee of the Department in the course of conducting Government Business are the property of the Department. The maximum penalty for the willful and unlawful removal, mutilation, obliteration, destruction, or private use of any Federal record is a fine, three years in prison, or both (see 18 U.S.C. 2071). All employees are responsible for reporting any actual or threatened unlawful loss or removal of official records to the Departmental Records Officer, Office of the Chief Information Officer.

## CHAPTER I. RECORDS CREATION/RECEIPT

1. OBJECTIVES. The objectives of the first stage in the lifecycle of a record are to:
  - a. Create complete and accurate records that provide adequate documentation to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Department's activities.
  - b. Distinguish between record and nonrecord material by the appropriate application of the definition of records (See Attachment 4, Definitions) to documentary material.
  
2. IDENTIFYING FEDERAL RECORDS.
  - a. Record Status. Documentary materials are records when they meet both of the following conditions:
    - (1) They are made or received by the Department or in connection with the transaction of agency business; **and**
    - (2) They are preserved or are appropriate for preservation as evidence of agency organization and activities or because of the value of the information they contain.
  - b. Working Files and Similar Materials. Working files, such as preliminary drafts and rough notes, and other similar materials are to be maintained for purposes of adequate and proper documentation **if**:
    - (1) They are circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with agency staff about agency business; **and**
    - (2) They contain unique information, such as substantive annotations or comments included therein, that adds to a proper understanding of the agency's formulation and execution of basic policies, decision, actions, or responsibilities.
  - c. Record Status of Copies. The determination as to whether a particular document is a record does not depend upon whether it contains unique information. Multiple copies of the same document and documents containing duplicative information, including messages created or received on electronic mail systems, may each have record status depending on how they are used to transact agency business.
  - d. Nonrecord Materials. Nonrecord materials are Government-owned documentary materials that do not meet the conditions of record status, or are specifically excluded,



such as:

- (1) Extra copies of documents kept only for convenience of reference.
- (2) Library and museum material intended solely for reference or exhibition.
- (3) Stocks of publications and of processed documents.

3. IDENTIFYING PERSONAL PAPERS.

- a. Personal papers are documentary materials that do not relate to, or have an effect upon, the conduct of Department business. Personal papers are excluded from the definition of Federal records and are not owned by the Government. Examples of personal papers include:
  - (1) Materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business;
  - (2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business; and
  - (3) Diaries, journals, personal correspondence, or other personal notes that are not prepared to be used for, or circulated or communicated in the course of, transacting Government business.
- b. Personal papers should be clearly designated as such and maintained separately from the office's records.
- c. If information about private matters and agency business appears in the same document, the document should be copied at the time of receipt, with the personal information deleted, and treated as a Federal record.
- d. Materials labeled "personal," "confidential," or "private," or similarly designated, and used in the transaction of public business, are Federal records subject to the requirements for Federal records. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

4. RECORDS CAPTURE. Information that is received by Department personnel from sources external to the Department, and meets the definition of a record, must be captured as a record. Frequently, this capture is through an e-mail system. For more information on e-mail, refer to Chapter IV, Special Categories of Records. E-mail is also covered in DOE M ###-## (when issued).

## CHAPTER II. RECORDS MAINTENANCE AND USE

1. OBJECTIVES. The objectives in the second stage of a record's lifecycle are to:
  - a. Preserve the integrity of a record by ensuring the record has not been altered after completion.
  - b. Maintain usability of the record by those with a need for the information.
  - c. Facilitate identification and retention of permanent records.
  - d. Maintain permanent and temporary records in a segregable manner.
  
2. FILE PLAN. File plans specify how records are to be organized once they have been created or received, provide a "roadmap" to the records created and maintained by an organization, and facilitate dispositioning the records. The file plan provides a standardized records classification scheme that improves filing, enhances access and retrieval, and supports the use of records disposition schedules.

Although there are many approaches to developing file plans, they are typically organized hierarchically according to the functions of the organization. Each function is assigned a plan item number and subcategories are identified by extensions of the main number. The following represents a basic, two-level file plan outline:

100 – Administrative Management

100.1 – Administrative Support Databases

100.2 – Office Administrative Files

100.3 – Calendars, Schedules and Logs of Daily Activities

200 – Personnel Management

200.1 – Performance Evaluations

200.2 – Disciplinary Actions

200.3 – Awards

In the file plan example above, the functional categories (e.g., 100, 200) represent a folder (in an electronic filing system) or a filing guide (in a paper system). The subcategories then become a subfolder (in an electronic filing system), or a paper folder (in a paper system). It is at this subcategory level that records are dispositioned.

Office file plans are essential to proper information management because they organize records according to Departmental, rather than individual requirements. Many electronic records are maintained by individuals in their e-mail folders or in folders on local hard drives or share drives. Each individual has a different method of naming the folders and they are not accessible to others with a need to review or use the documents.

A comprehensive office file plan provides a “location” for every record in an electronic or paper filing system. Understanding the file plan helps users know where to file their records and helps others know where to find the records they need to complete their tasks. Linking the file plan categories and subcategories to the appropriate record disposition schedules enables users to implement the proper retention and disposal of the records.

While file plans assist in filing, accessing, and dispositioning records, file manuals may be needed for large filing areas to provide a greater level of detail on how each category or subcategory of record is managed. Information provided in a file manual often includes the following information about a record category:

- a. Location – Where the electronic files or hard copies are physically maintained.
- b. Custodian – The person responsible for filing the record copy of the electronic file or hard-copy document.
- c. Content – A description of the documents that should be filed in order to ensure a complete, accurate record of the activity.
- d. Arrangement – How documents are organized within the folders.
- e. Labels – Instructions on how to identify the electronic or hard-copy folders.
- f. Disposition – Cut-off or transfer information from the records disposition schedule

|                                      |   |   |                |
|--------------------------------------|---|---|----------------|
| <b>FILE PLAN</b>                     |   |   | <b>Page of</b> |
| <b>Office</b> (name and symbol)      |   |   | <b>For FY</b>  |
| <b>Prepared by</b> (files custodian) | <b>Phone No.</b>                                | <b>Room No.</b>   | <b>Date</b>    |
| <b>Reviewed by</b> (supervisor)      |   | <b>Approved by</b> (records manager)                          |                |
| <b>PLAN ITEM NO.</b>                 | <b>TITLE OR DESCRIPTION OF SERIES OR SYSTEM</b> | <b>DISPOSITION CITATION</b><br>(Records Schedule Item Number) |                |
|                                      |   |   |                |

**Figure 1. Sample File Plan**

After the records have been inventoried, you can use DOE Form 1324.10, “Records Inventory and Disposition Schedule (RIDS),” to document the results. Although this extra step is not required, it is an excellent way to record the results of an inventory and document the disposition schedules that apply to the records. A sample DOE Form 1324.10 is in Figure 2 and can be obtained from the Headquarters Records Management website (<http://webdev.cio.doe.gov/RBManagement/Records/recstore.htm>). Use DOE Form 1324.9 for continuation pages. The RIDS form documents the results of an organization’s inventory of records and nonrecord material and provides appropriate retention and disposition schedules and instructions.

### 3. PLANNING AND ARRANGING FILES

a. Official File Stations/Network Share Drives. Official file stations or network share drives are specifically designated organizational units where official file copies of documents are maintained. For electronic records, official file stations may be established on a network drive, provided the requirements in the DOE M XXX.XX, “DOE Electronic Records Management Manual,” (to be issued) are met. File stations may be established at any organizational level as necessary to provide a network of recordkeeping locations within an office or division to:

- (1) Provide technical control and supervision of official files;
- (2) Facilitate coordination between and among file stations; and
- (3) Assure uniformity in filing and reference procedures.

b. Centralization and Decentralization of File Stations/Network Share Drives

(1) Centralized Files. In centralized files, the files of a unit are maintained in one location. Consider locating files to a centralized file when:

- More than one work unit has need for the same files.
- Units are sufficiently near the central file for prompt service.

(2) Decentralized Files. Consider locating files in a decentralized file when:

- Files are of interest to only one work unit.
- Centralized filing is too distant for efficient service.
- Information must be immediately available to the creator.
- Constant reference is made to the files by a particular organization unit.

4. FILING TECHNIQUES. Filing techniques are discussed in Attachment 2 of this handbook. Regardless of the method used to file records, records must be easily retrievable and segregable by record status (i.e., record versus nonrecord), and by retention period (i.e., temporary versus permanent).

5. RECORDS STORAGE MEDIA. Records storage media refers to the medium used for the storage of the records. Paper is one of the various storage mediums. In general, the paper

medium has no special requirements imposed upon it. An exception is the thermal paper used in facsimile transmission. Records Management Numbered Memorandum 94-50 addresses this issue. Records in mediums other than paper, however, often have some prescribed environmental conditions and/or product specifications to prevent information loss.

- a. Audiovisual Records. Audiovisual records are managed and stored in accordance with 36 CFR 1232. Cooler temperatures and lower relative humidity are recommended for the storage of film to prolong the useful life of the film base and image. Generally, the temperature should not exceed 70 degrees Fahrenheit and relative humidity should be maintained between 30-40% and not exceed 50%.
- b. Micrographic Records. Micrographic records are managed and stored in accordance with 36 CFR 1230 and include the formats of roll film, computer output microfilm (COM) and microfiche. Permanent and unscheduled microform records are stored under the extended storage conditions specified in ISO 18911:2000 and ANSI/PIMA IT9.22-1998, except that the relative humidity of the storage area must be a constant 35 percent RH, plus or minus 5 percent. Temporary records are stored under conditions that will ensure their preservation for their full retention period. Additionally, permanent and unscheduled records in microform are to be inspected initially in accordance with ANSI/AIIM MS45-1990, and every two years thereafter.
- c. Magnetic Computer Tapes. Magnetic computer tapes are to be maintained at a constant temperature of 62-68 degrees Fahrenheit and a constant relative humidity of 35-45 degree Fahrenheit. In addition, magnetic computer tape containing permanent and unscheduled records are to be statistically sampled annually to discover and correct causes of data loss.
- e. Direct Access Storage Media. Direct access storage media (e.g., compact disks, floppy disks, network drives) are to be stored in accordance with industry recommendations and information technology standards.



|   |   |  |  |
|---|---|--|--|
| DOE Form 1324.9<br>(06-98)  | U.S. DEPARTMENT OF ENERGY<br><b>RECORDS INVENTORY AND DISPOSITION SCHEDULE (RIDS)-CONTINUED</b><br><small>OMB Burden Disclosure Statement</small> | 1. <input type="checkbox"/> DOE<br><input type="checkbox"/> Contractor | 2. Page <u>1</u> of <u>    </u>        |
| Public reporting burden for this collection of information is estimated to average 1-1/2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this estimate or any other aspect of this information, including suggestions for reducing this burden, to Office of Information Management, Records Management Team, HR-424, U.S. Department of Energy, Washington, DC 20874-1290; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1700), Washington, DC 20503. |   |  |  |
| 6. Item No.   | 7. Filing Series Title, Description, and Location of File (if different from 3c), and Inclusive Dates   | 8. Disposition Authority   | 9. Authorized Disposition Instructions |
|   |   |  | 10. Transfer Instructions              |

**DOE Form 1324.9, Records Inventory and Disposition Schedule (RIDS) Continuation**



## CHAPTER III. RECORDS DISPOSITION

1. OBJECTIVES. Three important objectives of records disposition are to:
  - a. Preserve records of continuing value such as those reflecting the Department's activities of historical interest and the records that reflect the areas of health and the environment.
  - b. Destroy records of temporary value as soon as they have served the purpose for which they were created.
  - c. Move noncurrent (inactive) records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.
  
2. TERMS USED IN THE RECORDS DISPOSITION STAGE.
  - a. Current Records. These are records that are used on a daily basis and are necessary to conduct the business of an office and, therefore, are generally maintained in office space.
  - b. Disposition. Disposition means the actions taken regarding records no longer needed for current business.
    - (1) Retirement. Records are sometimes referred to as being "retired" when they are sent to low-cost storage for servicing and ultimate destruction or retention.
    - (2) Transfer/Access. Records are "transferred" when they are moved from one location to another. This includes sending them to low-cost storage. Records may be transferred to another office as a result of the alignment of functions or a reorganization without prior approval. For transfers of records other than these two types, the Departmental Records Officer should provide approval.
  - c. Destruction. The destruction of records includes the physical destruction of the record material itself or the deletion of the informational content. Unclassified records authorized for destruction by NARA-approved DOE records schedules may be:
    - (1) Placed in wastebaskets or recycled (sold as waste paper).
    - (2) Destroyed by any method considered appropriate to ensure destruction, should this action be required to avoid disclosing information having imposed disclosure restrictions.
    - (3) Erased and reused, if appropriate, when the record consists of magnetic tape or comparable media.

- d. Noncurrent Records. Noncurrent records are no longer required to conduct Department business and are ready for disposition as identified in the Records Disposition Schedules. If the records have not met the required retention period, these records are usually transferred to a low-cost storage area.
- e. Records Schedules. A records schedule is a document that provides mandatory instructions for what to do with records when they are no longer needed for current business. Also, it authorizes the final disposition of recurring or nonrecurring records. It is often referred to by other terms: a records disposition schedule, a records retention schedule, a records retention and disposition schedule, a schedule, a records schedule, or an item if the “schedule” is subsumed under a broad topic that is identified as a records schedule, i.e., a Records Schedule numbered 6 may have 10 items under its heading. An item also is referred to as a “schedule” because it is a schedule for making disposition for a specified records series. The terms “authority or authorization” is sometimes used to mean “records disposition schedule.” NARA approved DOE records schedules are available on the RM website: (<http://cio.doe.gov/RBManagement/Records/dissched.htm>)
- f. Records Disposition Authority. Only after approval by NARA do records disposition schedules become legal disposition authority. Schedules provide for the selective retention of records of continuing value and the destruction of records of temporary value after the expiration of a specified period of time or upon the occurrence of a specific event.
- g. Records Series. A records series consists of file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. A records series is generally handled as a unit for disposition purposes. In a records series the records will be of the same type; such as procurement files for transactions in excess of \$25,000 and files for transactions of \$25,000 or less are the same type of files. These constitute a records series but possess different retention periods. Therefore, they would be listed separately under the same records series.
- h. Semicurrent Records. Semicurrent records are seldom required to conduct business and can be moved to a holding area or directly to a records center.
- i. Types of Records Disposition Schedules. The three types of records disposition schedules are these:
  - (1) General Records Schedules. These are approved schedules for records common to Federal agencies.

- (2) DOE Administrative Records Schedules. These schedules provide a customized listing of records contained in the NARA General Records Schedule as customized to the needs of the Department and its contractors except for Power Marketing Administrations.
    - (3) Program-Specific Records Schedules. These schedules cover the site-specific and unique program records held by any Departmental or contractor office.
  - j. Unscheduled Records. Records which cannot be matched to an approved records schedule and which final disposition has not been approved by NARA.
- 3. RECORDS DISPOSITION PROCESS. (36 Code of Federal Regulations 1228.22, “Developing Records Schedules,” provides additional guidance.) Records disposition is achieved through the records series scheduling process:
  - a. Review. Review mission responsibilities and recordkeeping requirements. Obtain the list or lists of essential records for the offices whose records are being scheduled. If no list of essential records has been approved, examine pertinent documents, such as laws, regulations, organization charts, and functional statements to determine records that should be maintained to meet recordkeeping requirements. Consult with program managers, data processing managers, and records personnel to obtain their requirements, interpretation of imposed requirements, and recommendations.
  - b. Inventory. Inventory records series, including both record and nonrecord materials. Include a description of the records medium, location, volume, inclusive dates, informational content, and use. Information that must be collected during the inventory process is described in Attachment 1, Conducting a Records Inventory.
  - c. Apply Schedule. Match the records series inventoried with the record schedules found on the DOE Records Management website. If a series cannot be “matched” with a schedule, a new schedule will be needed and the steps in the following paragraphs taken.
  - d. Prepare Draft Schedule. Proposed instructions for handling the unscheduled records are prepared. They are entered on a Standard Form 115, Request for Records Disposition Authority. This form is used to obtain disposition authority for the unscheduled records. (See Figure 3.) Other correspondence or completed forms may be substituted for the SF-115 and submitted to the Departmental Records Officer provided that they contain the required information suitable for attachment to an SF-115. Recommendations for new or revised records schedules should contain the following information:
    - (1) Unit. Organizational unit(s) accumulating the records;

- (2) Description. A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit creating them, and their relationship with other records, including any duplication of the information elsewhere;
- (3) Retention Period. A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements. Include justification for the retention period. If the retention period proposed is longer than that for which the records are in active use, the recommendation should provide for their transfer to low-cost storage; and
- (4) Samples. Representative samples of the records. These samples will not be returned unless requested.

e. Review and Approval of Draft Schedule

- (1) Concurrence. Obtaining concurrences is recommended. The Departmental Records Officer will assume that the local program office and the local legal counsel have each concurred whenever new or revised schedules are submitted for the additional approvals of the Department and NARA.
- (2) Departmental Clearance. Assemble the draft records schedule and submit it to the Departmental Records Officer through established channels, including your records officer.
- (3) Review. The Departmental Records Officer will review the draft schedule and evaluate the information furnished for conformity with established policies and regulations. If additional Departmental coordination is deemed appropriate, the schedule will be referred to offices having a program interest. If the decision is made to add or change a disposition schedule, the Departmental Records Officer will take the necessary action to obtain approval of the disposition authority. Unless the record is unique to one office, requests for changes or additions to a disposition schedule will be written to cover identical records Department-wide. Additions or changes to schedules will be published for insertion as changes to the appropriate records schedules. Records recommended for disposal shall not be destroyed until specific authority has been issued.
- (4) Approval. NARA must approve the records schedules. Otherwise, they are draft schedules only. Likewise, for certain records, the GAO will also be requested to approve those records schedules determined by the Departmental Records Officer to require that office's approval.

- f. Implement. Approved schedules have little value unless implemented. Implementation is accomplished by having the office's inventory reflect all of the office's records series maintained and the corresponding authorized disposition. Then the disposition authority is applied to each records series.

|   |                              |  |                                |
|---|------------------------------|--|--------------------------------|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b><br>(See Instructions on reverse) |                              | LEAVE BLANK (NARA) use only  |                                |
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408    |                              | JOB NUMBER   |                                |
| 1. FROM (Agency or establishment)<br>Department of Energy                         |                              | NOTIFICATION TO AGENCY<br><br>In accordance with the previous provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. |                                |
| 2. MAJOR SUBDIVISION<br>Energy Information Administration                         |                              |  |                                |
| 3. MINOR SUBDIVISION<br>National Energy Information Center                        |                              |  |                                |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br>Sandra Wilkansen                         | 5. TELEPHONE<br>202-586-1173 | DATE   | ARCHIVIST OF THE UNITED STATES |

|  |                                    |  |
|--|------------------------------------|--|
| 6. AGENCY CERTIFICATION<br>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,<br><br>_____ is not required; _____ is attached; or _____ has been requested. |                                    |  |
| DATE   | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE<br>Leader, Records Management Team |

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|-------------|---|-----------------------------------|----------------------------------|
|             | Please see attached.                            |                                   |                                  |

Figure 3  
Standard Form 115

4. REVIEW OF RECORDS SCHEDULES. Each office is responsible for complying with the provisions of records disposition schedules and ascertaining that all of the office's records are covered by appropriate disposal instructions. Files should be checked at least annually by comparing them with the inventory to determine that it is still accurate and that the applicable records disposition schedules are adequate and are being followed.
  - a. Recommendations. Changes to records schedules should be recommended only when the need is clearly indicated and justified. Recommend adding, deleting, or changing records disposition schedules when annual reviews disclose:
    - (1) Record series not covered by the schedules.
    - (2) Items that should be deleted from the schedules because the records involved are no longer being created or maintained.
    - (3) Retention periods that need to be changed.
  - b. Submission Channels. Submit proposed records disposition schedule revisions to the Departmental Records Officer through established channels including your Program Records Official (PRO). Recommendations for revision should contain the information specified under paragraph 3d, above.
5. RECORDS RETIREMENT. Retain in the office as current records the minimum volume of records consistent with efficient operations. Retire to low-cost storage inactive records on hand and not scheduled for early destruction. The disposition schedules for Departmental application are on the CIO Records Management Website. The schedules include retirement instructions for many file series. General criteria regarding retirement are as follows:
  - a. Reference Rate. Transfer files to low-cost storage if they are not referred to more than once a month per file drawer, provided that the cost of shipping them to storage does not exceed the savings to be achieved by reducing the current, more expensive, storage space used. Files that meet this criterion should be transferred regardless of how urgent the need for reference, how important the records, their classification, or how extensive the restrictions on their use is.
  - b. Retention Less than Three Years. Ordinarily, files should not be retired to an FRC if they will be destroyed within one year of the transfer. Occasionally, files with less than one year retention may be retired to an FRC if the files are bulky, continued retention in office space is costly, and the local FRC agrees to the transfer.
  - c. Volume. Small amounts of records (less than one cubic foot) should not be retired as a sole transfer action. Wait until at least one or two boxes are ready for transfer. Records

should be retired at annual intervals except when the volume involved warrants more frequent transfers.

6. RETIREMENT/TRANSFER OF RECORDS TO A FEDERAL RECORDS CENTER (FRC).

The FRCs are operated by NARA for the storage, processing, and servicing of Government records. Regional FRCs are located throughout the United States. In addition, there are two National Records Centers. The Washington National Records Center (WNRC), Suitland, Maryland, is available for the use of Federal agencies in the Washington, D. C., area. The National Personnel Records Center (NPRC), St. Louis, Missouri, houses the personnel and pay records of all Federal employees. Normally offices will retire eligible records to the nearest center. Sometimes exceptions are approved based upon a justification. Included below are instructions for the retirement of files to low-cost storage. More detailed information is available from the GSA Records Management Handbook, "Disposition of Federal Records" (NSN 7610-01-055-8704). <http://www.archives.gov/records-mgmt/publications/disposition-of-federal-records/index.html>.

- a. Initiating Retirement. When records become eligible for transfer, the custodian of the records should estimate the volume involved and prepare a DOE F 4250.2 "Requisition For Supplies, Equipment, Or Service" to request record boxes. The Program Office sends the requisition to the Self Service Stores for processing. Recordkeepers need to coordinate with their PRO and Records Liaison Officer (RLO) and inform them of the nature and quantity of the records proposed for retirement and any additional information that may be required.
- b. Review Prior to Transfer. Before files are boxed for transfer, they should be screened (review and removal) to eliminate nonrecord material and material authorized for immediate destruction. Screening should be limited to complete folders or subject coding file categories.
- c. Packing the Records. Pack the records in the standard corrugated boxes that should be obtained through normal supply channels. Each container measures approximately 15 X 12 X 10 inches and holds one cubic foot of files. Pack the records in an upright position in the cartons. Pack them in the same arrangement used in the original file. Do not place records with widely different retention periods in the same carton. Avoid packing files so tightly in the box that referencing the records becomes difficult; i.e., leave a small amount of loose working space in the box. If the cartons are to be shipped to an FRC by freight, express, or parcel post, reinforce them by taping the closed carton. (See Figure 4.)
- d. Numbering the Boxes. After the boxes are filled, prominently enter in the upper right corner of the front of each box with a pencil the number of the box and the number of boxes in the transfer, i.e., 1 of 12. If the appropriate control number (Accession Number) has been obtained from the Records Holding Area (RHA) staff, mark it in the upper left corner of the front of each box. (See Figure 4.)



e. FRC.

- (1) Approval. If an FRC approves your records for transfer, the photocopy of the SF 135 will be returned to you within ten working days. The accession number (items 6a through 6c) will be completely filled out. The SF 135 will be stamped “Place this copy in box 1 of the shipment.” A copy should be made and retained in your suspense file.
- (2) Shipment Notice. Some centers attach a Shipment Notice to the SF 135 they return. An entry block on it may indicate the latest date your shipment of records can arrive at the center without being rejected. The Shipment Notice also provides general information concerning shipping records.
- (3) Late Shipments. If your records do not arrive within 90 days after the transmittal date of the annotated SF 135, or the same date entered on the Shipment Notice, your accession number will be cancelled. (Shipments originating outside the continental United States are given 120 days to arrive or be rejected.) A cancelled accession number will require that another SF 135 be submitted and approved before the records may be shipped.

f. Oversized and Undersized Records. Contact your RLO for instructions if odd-sized records are to be shipped.

7. PREPARING TRANSMITTAL FORMS.

- a. SF 135, “Records Transmittal and Receipt.” The retirement of records to an FRC requires the preparation of an SF 135, “Records Transmittal and Receipt,” (see Figure 5) HQ F 1324.8, “Records Transfer,” (see Figure 6.)an Complete the forms by following the instructions on the reverse side of the SF 135 and HQ F 1324.8 or refer to our website <http://www.directives.doe.gov/pdfs/forms/hqf13248.pdf>. Submit the completed SF 135 and HQ F 1324.8 to the Records Holding Area staff for approval. The Records Holding Area Staff will review the forms for completeness to determine the appropriateness of the transfer. If the transfer is approved, RHA staff will return a copy of the SF-135 and HQ F 1324.8 to the submitting office indicating that the records may be transferred. This copy is placed in the first carton of the shipment when the records are shipped to the FRC. The Records Management website contains up-to-date guidance on preparing these forms at <http://cio.doe.gov/RBManagement/Records/recstore.htm> and should be the first point of reference for records management instructions and policy information.
- b. Filling Out the Form. Follow the instructions on the reverse side of the SF 135 that explain how to complete the form. For item 6h, “Disposal Authority,” insert the reference

to the specific number of the appropriate DOE records disposition schedule. If there is no disposition schedule that applies, contact the RLO for instructions.

8. SHIPPING THE RECORDS.

- a. Use the most economical means available to ship files to an FRC. The DOE movers transport records from the Program Offices to the FRC. The FRC also has trucks available to pick up records.
- b. Boxes will be stacked on pallets and shrink wrapped for transporting to FRC. All boxes that are transferred from DOE must have a DOE address label (available from the RHA staff) placed on the back of the box. Properly packed boxes weigh approximately 25 to 30 pounds each.

9. COMPLETED TRANSFER. After the boxes are shelved, the FRC completes the remaining items on the SF 135:

- a. Item 6j (Location). If this item was not completed prior to shipping the records, it will be completed after the records have been shelved. It indicates the records center location for the boxes.
- b. Items 6k to 6m. These are for entering codes used by the FRC for their internal use.
- c. Item 4 (Records Center Receipt). The Chief of the Appraisal and Disposition Branch signs here after the transfer process has been verified.

10. RETURN OF THE STANDARD FORM 135. Upon completion of the transfer and entry of the above information, the completed SF 135 is returned to the RHA staff for processing.

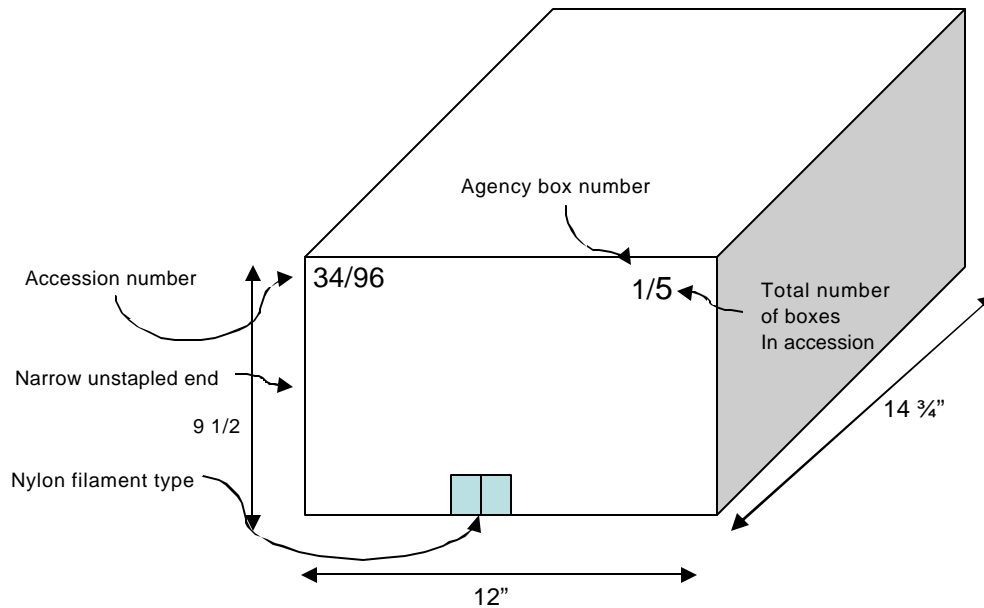
11. ACCESS/REFERRALS TO STORED RECORDS. Even though records are physically stored in FRCs, they are readily accessible to the offices that retired them. Program offices should send an e-mail to RHA staff requesting reference services. The RHA staff will request records using the Optional Form 11, "Reference Request Federal Records Center." (Exception: SF 127, "Request for Official Personnel Folder," will be used for the retrieval of or reference to personnel records from NPRC.) Persons requesting reference service should specify:

- a. The name and location of the person for whom the request is being made.
- b. The accession number of the transfer in which the records were included, as shown on the copy of the SF 135, "Records Transmittal and Receipt."
- c. A description of the information and records desired.

- d. The FRC number of the carton in which the records should be found.
12. TRANSFERS TO THE NPRC. Official Personnel Folders and related payroll records shall be retired to the NPRC (Civilian) at St. Louis, Missouri, as prescribed in the records disposition schedules and as further explained in this paragraph. This Center does not acknowledge receipt of records.
- a. Official Personnel Folders of Federal employees who are separated from the Department are placed in an inactive file upon their separation. Thereafter, these inactive folders are transferred to the NPRC. (See 36 CFR 1228.154.) Loose papers to be included in official personnel folders previously sent to the records center shall be forwarded to the center with an accompanying cover letter. Only those documents required for long-term retention may be forwarded for interfiling. Use SF 127, "Request for Official Personnel Folder (Separated Employee)," to request the personnel file of a separated employee (see 36 CFR 1228.154(e)). A separate copy of SF 127 is required for each individual personnel folder.
- b. Payroll Records. Because of their value as auxiliary personnel records, certain payroll records (such as individual earnings and service cards, final leave records, and in some situations, memorandum copies of payrolls) are transferred to the NPRC. Where practical, these records will be transferred in the standard boxes used by the FRC. Forward SFs 135 and 135a in duplicate to the NPRC.
- c. NOTE: Contractor Employees. Official Personnel Folders of contractor employees who are separated are subject to the DOE records schedules. Official Personnel Folders of contractor employees are not sent to NPRC.
13. DESTRUCTION OF RECORDS IN FRCs.
- a. Tracking. The centers track the destruction authority for all the records they store. When the approved destruction date approaches, the center sends the appropriate Records Officer a list of those records that the authorized destruction date will occur on or before the center's next month in which records are destroyed, i.e., January, April, July, and October. The RHA staff will forward a disposal memo to the Program Records Official requesting approval for destruction of records. Once approval is authorized by the PRO, the RHA staff will coordinate with the History and Heritage Group for final approval of destruction. The RHA staff will submit a destruction memo to the FRC indicating the appropriate accessions approved for disposal.
- b. NPRC. Records at the NPRC will be destroyed in accordance with applicable regulations without clearance with the Department.

- c. FRCs. Records stored at other FRCs will normally be destroyed in accordance with the applicable DOE records schedules. However, if Item 6g of SF 135 indicates that further clearance is required, the FRC will request written concurrence from the Department prior to destroying the records. If unusual circumstances require that certain records be kept longer than their scheduled retention, submit evidence of the need to retain the records and request that NARA approve the suspension of destruction until the requirement is ended, as provided by 44 United States Code 2909, Retention of Records. If it is determined that certain records should not be destroyed as indicated on the original form used when the records were transferred to the center, the center will honor a justification provided to request that the records not be destroyed as originally authorized.
  
- d. Response Required. If the notice of pending destruction of records by the center is not responded to, the specified records are destroyed.

## Records Shipment Instructions



Shipment must arrive at FRC by: \_\_\_\_\_

Please follow the steps below carefully to avoid rejection of your shipment.

1. Print the accession number in the upper left corner of the narrow unstapled end of the box as illustrated above. Use black felt marker, making numbers 1 1/2" to 2" in size.
2. Print box numbers in upper right corner of the narrow unstapled end of the box as illustrated above.
3. Secure boxes by crisscrossing the flaps on top of each box.
4. FRC's accept only boxes with the following Federal Supply Service Stock Number 8115-00-177-8249.
5. All shipments over 50 boxes must be in a numerical order such that the first box to be unloaded will be the last box of the accession.
6. If your shipment is over 250 boxes, instruct freight lines to contact (Local Name) of the Federal Records Center at (Local Tel. No.) at least 24 hours prior to delivery.
7. Ship all accessions to: Federal Records Center  
(Local Address)

Noncompliance with the above steps could result in the rejection of your shipment. Any additional freight charges will be the responsibility of the shipping agency.

Figure 4





## CHAPTER IV. SPECIAL CATEGORIES OF RECORDS

1. GENERAL. Some records require special handling because of their informational content. These records are categorized and handled as follows.
2. CLASSIFIED RECORDS. Approved records disposition schedules are required for all classified documents. Classified documents are also records. Classification requirements must be followed regarding any aspect of the creation, maintenance, or disposition of classified records for as long as they remain classified. For the security requirements and procedures affecting classified records, see DOE M 470.4-4, *Information Security Manual*, dated 08-26-2005. Clearly identifying classified records on the records inventory may assist in complying with the Manual.
3. SENSITIVE UNCLASSIFIED RECORDS. In the absence of specific requirements, such as those in DOE O 471.1A, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 6-30-00, unclassified sensitive records should be protected by the following:
  - a. Ensuring that only authorized personnel have access to the records.
  - b. Providing for protection against information loss. (Back up electronic records, for example.)
  - c. Ensuring that personnel are trained to protect sensitive records.
  - d. Providing for electronic records security in computer systems.
4. EPIDEMIOLOGICAL AND OTHER HEALTH STUDY RECORDS
  - a. Radiation or Toxic Exposure. Currently, records reflecting radiation or toxic exposure may not be destroyed. Further, this should be understood to include that documentary evidence of nonexposure, also, may not be destroyed. This latter aspect (nonexposure documentation) only applies to employment where the potential for exposure exists.
  - b. Re-evaluation of Retention Periods. The Department is currently reevaluating the retention periods for the various records specified as epidemiological records. Appropriate retention periods will be determined for the various categories. The information and data in the records is required for epidemiological or other health studies. An epidemiological study aims at discovering relationships among the various factors determining the frequency and distribution of diseases, if any, related to employment or occupational, environmental hazards. The occupations targeted are in contractor organizations and Federal activities having the possibility of exposing employees to radiation or other toxic substances. In addition, some epidemiological information may be



needed to establish baseline information about "normal controls." Such information may be useful to compare with information developed concerning diseases, harmful effects, or other injuries.

- c. Responsible Office. The Office of Health (EH-5) has responsibility for directing an epidemiological health study. Questions concerning epidemiological records should be directed to this office.
- d. Site Records Inventories. Memoranda signed by the Secretary of Energy require completion of site records inventories of the types of records indicated as constituting epidemiological records. The memoranda have indicated the office named above as having overall responsibility for the study.
- e. Types of Records to be Inventoried. Attachments provided with the memoranda requiring completion of site records inventories identify the categories of records to be considered "epidemiological" records. In broad terms the types of records to be inventoried as epidemiological records reflect the health of, or work experience of, employees or others involved in, or affected by, work activities having the potential for the occurrence of harmful exposure to hazardous substances or emissions. Useful information will reflect both safe and unsafe work performance of activities at work sites having an inherent hazard potential.
  - (1) Organizational Records that indicate official assignments and responsibilities are useful for determining employees in positions of responsibility should it be necessary to contact them to obtain additional information not reflected in official records of activities. Employees possessing additional useful information include those monitoring environmental conditions, assigning work, and ensuring safe operations.
  - (2) Individual Records.
    - (a) Collective Information. Collective information about individuals such as rosters of workers at a facility is useful for comparison purposes.
    - (b) Individual's Information. Information about individuals of use to the study includes demographic information, work history, medical data, mortality data, exposure to external radiation, exposure to internal radiation, exposure to hazardous chemicals, and exposure to hazardous physical agents.
  - (3) Facilities Monitoring Data. Data pertaining to facilities monitoring relates to monitoring the facility hazards, monitoring of personnel, types of equipment used

for monitoring, the calibration of the equipment used in monitoring, and the procedures established for monitoring.

5. GOVERNMENT-OWNED RECORDS. Information that constitutes "Government-Owned" records is this: "All information received, created, or compiled by the officers and employees of the Department and M&O contractors for the use of the Government or the contractor in performance under the contract." As official information, it constitutes official records and is, therefore, the property of the United States. No Federal or contractor officials or employees have, by virtue of their positions, any personal or property right to official records even though they may have helped develop or compile them. The unlawful destruction, removal from files, and use of official records is prohibited by the U. S. Criminal Code, Title 18 United States Code (U.S.C.) Section 2071, Concealment, Removal, or Mutilation Generally.
6. HISTORICAL RECORDS REQUIREMENTS. The primary purpose for keeping Departmental records is to meet the needs of the Department. This may require retention for either a short or a long period of time, but after the Department's needs are met, a second purpose may be served by Departmental records: Any that are of sufficient value for use by scholars and researchers should be preserved as historically valuable records. After the Department no longer needs its historically valuable records for Departmental use, such records are offered to the National Archives for preservation. Since technology has provided new media for recordkeeping, records maintained in mediums such as electronic or micrographic need to be scheduled so that any having historical value are preserved. Neglecting historically valuable records may cause them to become lost or unusable. The National Archives makes the official Federal Government determination that records are historically valuable by determining them to be of "permanent" value.
7. PERSONAL PAPERS. Personal papers are the papers of officials that in the files that they organize and maintain for their own personal use as distinguished from official files.
8. PERSONAL PAPERS DONATED TO PRESIDENTIAL LIBRARIES. Personal papers may be donated to presidential libraries. Preservation of the papers of the President of the United States and the personal papers of his/her associates and contemporaries is authorized by 44 U.S.C. 2112, Presidential Archival Depository. Personal papers of Government officials are the files they have organized and maintained for their own personal use as distinguished from official files. Personal papers will ordinarily include correspondence of officials that does not directly concern the work of their office and that is not intended to be a part of the official files of the office. The correspondence may be with friends, family members, professional or business associates, or other administration officials. Department officials who are asked to donate their personal papers to a Presidential Library shall ensure that the papers are, in fact, personal papers and not official Departmental records. Department officials may, however, make extra copies of official agency records for donation to a Presidential Library provided:

- a. Such papers are eligible for disposition under Federal law as extra copies, 44 U.S.C. 3301, Definition of Records, and
- b. Such copies do not consist of classified materials e.g., under Executive Order 12356, National Security Information, of 4-2-82, or those defined as "Restricted Data" under the Atomic Energy Act of 1954, Chapter 2, Section 11, paragraph "y".

9. QUALITY ASSURANCE (QA) RECORDS.

- a. Requirements. A regulation and a directive require the designation and maintenance of "QA Records" series as they apply to:
  - (1) Records for work licensed by the U.S. Nuclear Regulatory Commission (NRC) or an NRC Agreement State and subject to the QA requirements of that agency. 10 Code of Federal Regulations Part 50 provides the applicable regulations.
  - (2) Title 10 Code of Federal Regulations Part 830.120, QUALITY ASSURANCE, is applicable to records of the Department and its M&O contractors unless specifically exempted as follows: Work licensed by NRC or an NRC Agreement State and subject to the QA requirements of that agency, Defense Program work associated with nuclear weapons, Energy Information Administration records, Naval Nuclear Propulsion Program records, and Research and Development work that must undergo peer review for publication.
- b. Specified Records. The above regulation and directive require the designation and maintenance of "QA Records" series for the records specified. For operating and review purposes, maintain the appropriate citation requiring the maintenance and designation so that correlation of the requirement with its performance is clearly demonstrable:
  - (1) Designation and Maintenance. Unless specifically exempted, the organizations affected by either of the two QA directives must designate QA records in accordance with the applicable directive's requirements. Upon their designation as QA records, establish and apply to the records the additional requirements for control, maintenance, storage, and retention.
  - (2) Citation. Either the regulation or the directive will require the maintenance of the records series as QA records. Cite the applicable one in the records schedule for each QA records series. Subsequent changes, if any, in requirements can be promptly implemented. In the event of an audit, the auditors may be concerned with reviewing implementation of the applicable requirements.
- c. Optical Disc Storage. NRC Generic Letter 88-18 provides for appropriate quality controls for QA records stored on optical discs:

- (1) The technology does not allow deletion or modification of record images.
  - (2) The image of each record is written onto two discs.
  - (3) The legibility of each record image is verified to ensure that the image is legible on both discs. If the image is illegible, the hard copy record is maintained as the record copy.
  - (4) One disc is stored in the document imaging system for on line retrieval.
  - (5) The backup disc is stored in a records storage facility meeting the requirement of ANSI N45.2.9-1974 for single copy storage or in a separate remote location.
  - (6) To ensure permanent retention of records, the records stored on an optical disc are acceptably copied onto a new disc before the manufacturer's certified useful life of the original disc is exceeded. This includes verification of the records so copied.
  - (7) Periodic random inspections of images stored on disks are performed to verify that there has been no degradation of image quality.
  - (8) If the disk document imaging system in use is to be replaced by an incompatible new system, the records stored on the old system's discs are acceptably converted into the new system before the old system is taken out of service. This includes verification of the records so copied.
- d. Training. Competent designation of QA records requires special training. Training is also necessary to maintain QA records correctly.
- e. Authorized Disposition. Although the completion of the maintenance and retention requirements specified in the above regulation and directive must be met, final disposition must be provided for, authorized in, and obtained from records schedules approved for Departmental application.
- f. Records Schedules. QA records require approved records disposition schedules.

10. PERMANENT RECORDS.

- a. Policy. It is the policy of DOE to transfer in their original form those records deemed to be permanent by NARA. NARA will assume records ownership at the time of transfer. It is also policy that permanent records that have been retained by the Department for 30 or more years shall be transferred to the National Archives upon issuance of this document, unless justification can be provided for continued retention of the records by DOE. Specific Record Series that contain permanent records are identified as such in the approved DOE Records Disposition Schedules.

If records are to be transferred to NARA for permanent storage, note that:

- (1) Only permanent records are transferred to NARA in accordance with schedule instructions.
  - (2) Permanent records transferred to NARA become the property of NARA.
- b. Procedures for Transferring Records for Permanent Storage at NARA. Form SF 258, “Agreement to Transfer Records to the National Archives of the United States,” is used to transfer records to NARA for permanent storage. (See Figure 7.) This form may be initiated by the transferring organization or NARA.
- (1) When Initiated by NARA. NARA completes blocks 1 and 4 through 14 and sends the original to the Records Management Division. The Records Management Division completes block 2, completes or corrects blocks 4 through 14. Block 2 will be signed and dated by the Departmental Records Officer. The Records Management Division sends the original to the appropriate address 60 days before the records are to be transferred to the National Archives.
  - (2) When Initiated at DOE. Prepare a separate SF-258 for each series or SF-115 item being transferred. The program office completes blocks 2 and 4 through 14 on the SF-258 using the instructions below and forwards the original to the Departmental Records Officer for review and signature in block 2.
  - (3) Instructions for Completing SF-258, “Agreement to Transfer Records to the National Archives of the United States.”
    - (a) Interim Control Number. Leave blank. NARA will fill in (box 1).
    - (b) Agency Approval. The Departmental Records Officer will sign and date the form here (box 2A) and provide his/her name, title and mailing address (box 2B).

- (c) NARA Approval. Leave blank. When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes boxes 3A and 3B.
- (d) Records Series Title/Date Span of Series (boxes 4a/4b). The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If records are in an FRC, attach each applicable SF 135, Records Transmittal and Receipt. For electronic records, describe any related documentation.
- (e) Fully identify the unit (5D) that created or organized the records. Place the creating unit within its organizational hierarchy (5A-5C). For example, the responsible unit is a branch (5D), within a division (minor subdivision) (5C), within an office (major subdivision) (5B), and within the agency or major component of a department (5A). Block 5A should be the official or legal name of the agency or bureau as published in the U.S. Government Manual. In block 5E include the name and telephone number (including the area code) of a person who should be contacted if NARA has any questions about the records. If the originating organization no longer exists, provide the name of the contact person at the successor organization.
- (f) Disposition Authority (box 6). This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number assigned to the records based on a NARA-approved DOE record schedule.
- (g) Is Security Classified Information Present? (box 7) If the records contain security classified information, check "Yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions (e.g., Sensitive Compartmented Information - SCI or North Atlantic Treaty Organization - NATO). Restricted Data and Formerly Restricted Data - RD/FRD - refers to information subject to the Atomic Energy Act of 1954. Check "Segregated" to indicate that security classified records have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check "Declassified" to indicate whether any records have been

declassified, and provide both the authority for declassification and a description of the declassified records.

- (h) Current Location of Records. Check the appropriate box for the current location of the records.
  - 1 8A. For records located in the transferring agency or other location, provide a complete address.
  - 2 8B. For records located in an FRC, name the center, provide the FRC accession number and container number(s), and the FRC location.
- (i) Physical Form(S) (box 9). Check all the boxes that apply to the records included in the transfer.
- (j) Volume (box 10). Include both the cubic feet of the records and the number and type of containers holding the records. For example: Cu. ft. 15; Number 15; Type FRC boxes. Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.
- (k) Date Records Eligible for Transfer to Archives (box 11). Indicate the date the records are eligible for deposit in the National Archives. This date is determined by the disposition instructions for each item in the approved SF 115.
- (l) Are The Records Fully Available For Public Use? (box 12) If the records are exempt from release pursuant to the FOIA, 5 U.S.C. 552(b)(1)-(9) and (c)(1)-(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.
- (m) Are These Records Subject To The Privacy Act? (box 13) The National Archives is required to notify the public, through the Federal Register, when it takes custody of records subject to the provisions of the Privacy Act, 5 U.S.C. 552a. Use this block to indicate whether the records covered by this SF 258 are part of a Privacy Act "system of records" and include a citation to and a copy of the Privacy Act notice published for the systems. NARA will use the transferring agency's notice to inform the public, through the Federal Register, that the records have been

transferred to the National Archives and that no further modification of them is possible.

- (n) Attachments (box 14). Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.
  - (o) Shipping Instructions to Agencies/Remarks Regarding Disposition. NARA uses this space to provide shipping instructions relating to transfers (box 15)
  - (p) Records Accepted into the National Archives of the United States. The appropriate NARA representative signs block 16 after the records have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. NARA sends the agency a copy of the completed form.
  - (q) National Archives Accession No (box 17). NARA assigns this unique, permanent control number to each transfer of records.
- (4) The Departmental Records Officer forwards the SF-258 for review and processing to a management analyst on staff. The analyst will make required revisions or create a new SF-258 and coordinate approvals for transfer by the History and Records Group and with NARA.
  - (5) The management analyst will make a copy of the SF-258 and hold it in a pending file.
  - (6) The Departmental Records Officer approves the original SF-258 by signing the form.
  - (7) The management analyst will update the electronic database and will mail it to the National Archives.
  - (8) NARA assigns the SF-258 a control number, approves the form (or proposes changes), and sends a copy of the form back to the Departmental Records Officer.
  - (9) The management analyst updates the SF-258 in the electronic database with the NARA control number.
  - (10) The analyst verifies that the boxes are located in the Program Office or stored at the WNRC.



- (11) The analyst prepares and forwards a work order to Assets Management and Support Services Group requesting the boxes identified for transfer be staked on a skid (copy of the work order is held until work is complete and then destroyed).
- (12) The Assets Management and Support Services Group process the request, schedules the job, and provides the Records Management Division with a proposed date of service.
- (13) The analyst coordinates the records transfer and date of delivery with the Archival Projects Branch of the National Archives and the program office if they hold the records.
- (14) Assets Management and Support Services Group movers stack the boxes on a skid and take them to the loading dock for pick up by National Archives personnel.
- (15) The analyst pulls the SF-258 from the pending file and escorts the boxes to the loading dock.
- (16) The National Archives person picking up the records signs the SF-258 acknowledging receipt of the boxes and gives the form to the analyst before departing DOE.
- (17) The analyst xeroxes one copy of the SF-258 and forwards it to the program office for their files.
- (18) The date the records were transferred to NARA is inputted into the SF-258 database and the records database by the analyst. The analyst files the SF-258 in the file cabinet.

|   |  |   |
|---|--|---|
| <b>AGREEMENT TO TRANSFER RECORDS TO<br/>THE NATIONAL ARCHIVES OF THE UNITED STATES</b>  |  | 1. INTERIM CONTROL NO. (NARA Use Only)      |
| <b>TERMS OF AGREEMENT</b>   |  |   |
| <p>The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.</p> <p>In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the <i>Guide to the National Archives of the United States</i>. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.</p> |  |   |
| 2A. AGENCY APPROVAL   |  | 3A. NARA APPROVAL                           |
| Signature _____ Date _____  |  | Signature _____ Date _____                  |
| 2B. NAME, TITLE, MAILING ADDRESS  |  | 3B. NAME, TITLE, MAILING ADDRESS            |
| <b>RECORDS INFORMATION</b>  |  |   |
| 4A. RECORDS SERIES TITLE  |  |   |
| 4B. DATE SPAN OF SERIES   |  | <i>(Attach any additional description.)</i> |
| 5A. AGENCY OR ESTABLISHMENT   | 9. PHYSICAL FORMS  |   |
| 5B. AGENCY MAJOR SUBDIVISION  | <input type="checkbox"/> Paper Documents <input type="checkbox"/> Posters<br><input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts<br><input type="checkbox"/> Microfilm/Microfiche <input type="checkbox"/> Arch / Eng Drawings<br><input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion / sound / Video<br><input type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____ |   |
| 5C. AGENCY MINOR SUBDIVISION  | 10. VOLUME: _____ (Cu. _____ CONTAINERS: _____<br>Cu. Mtr. _____ Ft. _____ ) Number _____ Type _____   |   |
| 5D. UNIT THAT CREATED RECORD  | 11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES   |   |
| 5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS<br>Name _____<br>Telephone Number ( _____ ) _____   | 12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?<br><br><input type="checkbox"/> YES <input type="checkbox"/> NO <i>(If no, attach limits on use and justification.)</i>  |   |
| 6. DISPOSITION AUTHORITY:   | 13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?<br><br><input type="checkbox"/> YES <input type="checkbox"/> NO <i>(If yes, cite Agency system Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)</i>   |   |
| 7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input type="checkbox"/> YES<br>LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret<br>SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO<br><input type="checkbox"/> Other _____<br>INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified  | 14. ATTACHMENTS<br><input type="checkbox"/> Agency Manual Excerpt <input type="checkbox"/> Listing of Records Transferred<br><input type="checkbox"/> Additional Description <input type="checkbox"/> NA form 14097 or Equivalent<br><input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report<br><input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> SF(s) 135                            |   |
| 8. CURRENT LOCATION OF RECORDS<br>_____ Agency (Complete 8A only)<br>_____ Federal Records Center (Complete 8B only)  | 8B. FRC ACCESSION NUMBER                      CONTAINER NUMBER(S)                      FRC LOCATION  |   |
| 8A. ADDRESS<br>_____<br>_____<br>_____  |  |   |
| <b>NARA PROVIDES</b>  |  |   |
| 15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION   |  | RG  |
| 16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES<br><br>Signature _____ Date _____  |  | 17. NATIONAL ARCHIVES ACCESSION NO.         |

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (9/95)  
Prescribed by NARA 36 CFR 1226

**Figure 7**

**SF 258, "Agreement to Transfer Records to the National Archives of the United States"**

11. UNSCHEDULED RECORDS.

- a. Permanent Retention. Unscheduled records have the potential to be permanently valuable, historical records. Until such time as the National Archives determines the records to be of either permanent or temporary value, they are required to be treated as if they were permanent. This will prevent those that really are permanent from being mistreated or lost during the period of time they remain in the category "unscheduled."
- b. Records Series. All records in a records series must be scheduled. Various categories of records may comprise a single records series: Architectural, Audiovisual, Cartographic, Electronic (Includes but is not limited to Optical Disk, Punched Cards, and Magnetic Tape), Emergency Operating, Micrographic, Paper, Quality Assurance, and Rights and Interests. There are other factors too, such as legal, state requirements, and fiscal that may affect retention requirements also. Retention requirements known to be applicable to any of the records comprising the series should be factored into the schedule so that the schedule reflects them in their totality.

12. RECORDS OF SENIOR OFFICIALS AND STAFF. The creation of adequate documentation and the preservation of Federal records are required by law and regulation (contained in 36 CFR Chapter XII). Federal records may not be destroyed or removed from Government custody without the approval of the Archivist of the United States, and criminal penalties may be applied to the unlawful removal or destruction of Federal records. Departing senior officials must not remove Federal records. Only the Archivist of the United States has the authority to approve the removal of Federal records from Government custody.

- a. Definition of Senior Officials. Senior Officials are defined as secretarial officers, heads of program offices, heads of offices, their deputies and assistants; the heads of staff offices, directors of offices, or equivalent; principal field officials; and staff assistants to all these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions; also includes corresponding staff at DOE contractor operated facilities.
- b. Work-related, nonrecord senior official materials. Though excluded from the definition of "record," work-related, nonrecord senior official materials belong to and are controlled by the Department and must not be removed unless approved by the Departmental Records Officer, the PRO, or Records Management Field Officer (RMFO). Nonrecord materials containing sensitive, classified, or other restricted information must remain under the control of the Department.
- c. Removal of Sensitive, Classified, or Other Restricted Information. Senior officials must not remove from DOE custody copies of any documentary materials that contain sensitive, classified, or other restricted information restricted by law.

- d. Removal of Personal Materials. Senior officials may remove documentary materials that are of a purely personal nature when they leave the Department. Personal materials include family and personal correspondence and materials documenting outside professional activities and outside business or political pursuits. The PRO, RLO, or RMFO must review and approve the removal of personal materials to ensure that all Departmental policies are properly followed.
- e. Removal of Nonrecord Materials. Senior official nonrecord materials are disposable without reference to the requirements of 44 U.S.C. Chapter 33. Although these materials cannot be considered as personal papers, a DOE senior official may accumulate for convenience of reference extra copies of papers and other materials that he or she has drafted, reviewed, or otherwise acted upon. DOE senior officials may retain these extra copies, provided the retention will not:
  - (1) Diminish the official records of the Department;
  - (2) Violate confidentiality required by national security, privacy, or other interests protected by law; or
  - (3) Exceed normal administrative economies, such as the administrative costs of storage and maintenance.
- f. Donation. In accordance with 36 CFR 1228.60, when the public interest will be served, a Departmental organization may propose the transfer or donation of senior official records eligible for disposal to an appropriate person, organization, institution, corporation, or government (including a foreign government) that has made written application for them. Records must not be transferred without prior written approval of the Secretary or his designee(s) and NARA.
- g. Temporary Records. In accordance with 36 CFR 1228.58, temporary paper records of senior officials to be disposed of normally must be sold as wastepaper.
  - (1) Restricted Records. If the records are restricted because they are national security classified or exempted from disclosure by statute, including the Privacy Act, or regulation, the wastepaper contractor must be required to pulp, macerate, shred, or otherwise definitively destroy the information contained in the records, and their destruction must be witnessed either by a DOE employee or, if authorized, by a contractor employee. The contract for sale must prohibit the resale of all other paper records for use as records or documents.
  - (2) Records Other Than Paper Records. Records of senior officials other than paper records (audio, visual, and data tapes, disks, and diskettes) must be salvaged and sold in the same manner and under the same conditions as paper records. All

sales must be in accordance with established procedures for the sale of surplus personal property.

- (3) The cognizant DOE RMFO or PRO and the Departmental Records Officer must be consulted prior to the removal from DOE custody of senior official record materials eligible for disposal, but which are not to be salvaged and sold as wastepaper.

h. Maintenance of Records. Senior official records must be maintained in Departmental files or electronic recordkeeping systems.

- (1) Records of senior officials must be incorporated into files or electronic recordkeeping systems, especially records that were generated electronically on personal computers.
- (2) Senior officials must only maintain records needed for current operations at his/her desk. When the record is finalized, when a case file is closed, or at another appropriate time, the record must be incorporated into an appropriate recordkeeping system.
- (3) Policy and decision making accomplished by senior officials orally over the telephone or in meetings must be adequately and properly documented by preparing a dated and signed memorandum or form identifying the participants and summarizing the conversation or meeting. All personnel should ensure that records of policy and decision making made or received through electronic mail and facsimile are retained in appropriate recordkeeping systems.
- (4) Supporting documents such as drafts and working files for reports, special studies, memorandums, and correspondence that contain high-level policies and decisions, policy formulation, and execution must be incorporated into office files. These support documents are needed to fully understand the alternatives and options considered for high-level program initiatives and the basis for deciding on a course of action.

i. Responsibilities. PROs, RLOs, and RMFOs must ensure that senior officials are fully informed of the requirements of Federal law concerning records held by their organizations, including:

- (1) The legal requirements governing the disposition of DOE and DOE-contractor records. Removal or destruction of DOE and DOE-contractor records may occur only when authorized by NARA in a DOE records schedule or in the NARA-published General Records Schedules, or as approved on a Standard Form 115, "Request for Records Disposition Authority," signed by the Archivist of the United States.

- (2) The criminal penalties for the unlawful removal or destruction of Federal records (18 U.S.C. 2071 and [36 CFR 1228.102](#)) and the unlawful disclosure of national security information (18 U.S.C. 793, 794, and 798).
- (3) The handling of records containing other information exempt from disclosure under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a) or other information restricted by law.
- (4) The legal responsibility of an employee to inform their PRO of any actual, impending, or threatened unlawful removal, alteration, or destruction of records. The PRO receiving the information must ensure that the Departmental Records Officer is immediately informed in accordance with accepted reporting procedures.

13. VITAL RECORDS PROGRAM. The vital records program is conducted to identify and protect those records that specify how the Department will operate in case of emergency or disaster, those records vital to the continued operations of the Department during and after an emergency or disaster, and those records needed to protect the legal and financial rights of the Government and of the persons affected by its actions. See DOE O 243.2, *Vital Records*, for additional requirements related to vital records.

- a. Vital Records. Essential records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).
- b. Emergency Operating Records. Emergency operating records are that type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical Departmental operations, as well as related policy or procedural records that assist staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Other records included are those necessary for the military effort; the mobilization and protection of material and manpower resources, of services, and systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at or in the vicinity of Emergency Operations Centers (EOC's). Additional records included are: General Management Records, Lists of Key Personnel, Emergency Mission Records, and Industrial Records.
  - (1) Requiring Regulation. The regulation establishing the requirements for the Departmental emergency operating records protection program is DOE O 151.1, *Emergency Management System*, dated 9-25-95. (See also 36 CFR 1236.)

- (2) Approval. As do all records, emergency operating records in a records series require disposition approval.
  - (3) Action Required. Identify EOCs. Also, identify and maintain emergency operating records at EOCs. Ensure that mechanisms are in place to ensure access to records during emergency situations.
- c. Legal and Financial Rights Records Protection Program. Legal and financial rights records are that type of vital records essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. These records include accounts receivable records and social security records. Other records include payroll, leave, retirement, and insurance; records of significant amounts of money owed to the Department or to contractors and, if needed, supporting records such as periodic summaries of financial status; and valuable research records.
- (1) Requiring Regulation. The regulation establishing the requirements for the Departmental legal and financial rights records protection program is issued in 36 CFR 1236, MANAGEMENT OF VITAL RECORDS.
  - (2) Approval. As do all records, legal and financial rights records in a records series require disposition approval.
  - (3) Action Required. Legal and financial rights records require protection, but storage locations do not have to be at or in the vicinity of EOCs. When they consist of a small quantity of records, they are usually packaged, identified (clearly marked), and numbered for easy identification; and when replaced, the package(s) of records is(are) often destroyed.
  - (4) Storage Locations. Federal Archives and Records Centers or other suitable storage facilities are used for the storage of legal and financial rights records.

#### 14. ELECTRONIC MAIL (E-MAIL) RECORDS.

- a. Background. The courts have ruled that e-mail records must be preserved, not simply printed out on paper and then erased. E-mail systems omit receipt times and recipient names information from the hardcopies and, therefore, the hardcopies are not identical copies of the e-mail records. E-mail records must be "scheduled" for disposition and may not be destroyed without such authorization.

Records created or received on electronic mail systems must be managed in accordance with the provisions and following the standards outlined in 36 C.F.R., part 1234, and as it pertains to the adequacy of documentation, recordkeeping requirements, agency records

management responsibilities, and records disposition (36 CFR parts 1220, 1222, and 1228). All DOE employees and contractors are required by law to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency.

NARA issued a “Final Rule on the Disposal of Transitory Email Records” providing agencies with guidance on defining and maintaining short-term electronic mail records. As part of NARA’s Records Management Initiatives to redesign Federal Records Management, this rule authorizes agencies to dispose of short-term electronic mail (e-mail) records without creating a separate paper or electronic recordkeeping copy as was required under NARA’s old regulation.

Electronic e-mail records are documents created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted by message.

Electronic e-mail systems do not identify records or ensure their proper retention; therefore, Federal employees and contractors are assigned the responsibility to manage, maintain, and dispose of e-mail using their agency’s records schedule.

b. Maintaining and Preserving Electronic Mail. Electronic Mail that is a Federal Record falls into three categories; *permanent records*, *temporary records*, and *transitory records*.

(1) *Permanent electronic mail:* Messages that have sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States. Electronic mail is scheduled as permanent by a NARA-approved Request for Records Disposition (SF 115) if the records have continuing documentary or evidential value of an agency’s organization and functions, or historical information on persons, things, problems, and conditions. Permanent electronic mail can be scheduled as part of a larger series or as mail of a designated agency official.

(2) *Temporary electronic mail:* Messages that NARA approves for either immediate disposal or for disposal after a specified period of time or an event in accordance with a NARA approved Request for Records Disposition or the General Records Schedules. Temporary records provide documentation of agency business processes or legal rights of the government or public, government accountability, or hold information of administration or fiscal value. Depending on the type of record, the retention period varies.

(3) *Transitory electronic mail records:* Messages of short-term (180 days or less)



interest, which has little or no documentary or evidential value. These records include:

- (a) Regular requests for information, publications or copies of replies that do not require administrative action, policy decision, special compilation or research;
- (b) Copies of letters of transmittal that do not include additional information to that contained in the original material and the receipt copy of this material;
- (c) Quasi-official notices like memoranda and records that do not serve as the basis of official actions including holiday notices or charity appeals, bond campaigns, and similar records;
- (d) Those records documenting routine activities and containing no substantive information or value, such as meeting notifications or visit schedules;
- (e) And task-list or “to-do” notifications that serves as a reminder of a required action.

c. Retaining Electronic Mail:

- (1) Electronic mail must be preserved for its retention period, however transitory, along with all essential transmission and receipt data. Disposition of all electronic mail records will be made in accordance with authorized disposition schedules.
- (2) *Permanent and temporary electronic mail* are maintained and made available for office use by:
  - (a) Printing the e-mail message and filing in a recordkeeping system.
  - (b) Filing the e-mail electronically when an electronic recordkeeping system is used. Note that organizations that choose to manage electronic recordkeeping systems must: be able to perform all the requirements of preservation and disposition through the application system itself, or copy electronic mail records into an electronic recordkeeping system able to perform all the functional requirements of the federal regulations.
- (3) *Transitory electronic mail* may be retained in the “live” e-mail system. NARA issued a “Final Rule on the Disposal of Transitory Email Records” providing agencies with guidance on defining and maintaining short-term electronic mail records. Under this rule, agencies are allowed to maintain and delete transitory e-

mail records from their live e-mail systems without copy and transfer of these records into a recordkeeping system, providing users withhold deleting records before the expiration of the NARA-approved retention period and the e-mail system's automatic deletion rule ensures the preservation of records during this retention period.

- (a) If the "auto-delete" is set for 180 days, this may be applied to records with a shorter retention period as well; however, agencies are not allowed to use "auto-delete" for records with a retention period exceeding 180 days.
- (b) This new regulation provides agencies with an alternative process for managing transitory e-mail; agencies may continue to create and file separate copies of all e-mail records including transitory records in a recordkeeping system.

d. Retention and Disposition of Electronic Mail Records

- (1) After electronic mail is determined to be a Federal record, the retention period is governed by NARA-approved DOE records schedules. Temporary records are held for defined periods of time awaiting destruction and permanent records are transferred to the National Archives for permanent preservation.
- (2) Government employees and contractors who are uncertain about the disposition of electronic mail messages should contact their PRO.
- (3) If electronic mail items are Federal records, it is the responsibility of the DOE employee to ensure a copy is preserved for agency files, unless it is a transitory e-mail.
- (4) Besides the text of electronic mail messages, electronic mail systems may provide record transmission and receipt data. Transmission data should be preserved with all electronic mail items classified as Federal records. Similar to a paper record, this information is necessary for a complete record.
- (5) Electronic mail users should request receipt data when it is necessary for adequate and proper documentation of agency activities and in such instances when receipt data is associated with the record copy documenting these activities, the electronic mail message must be preserved.

(6) When using a paper recordkeeping system, the printed electronic mail with attachments must be annotated to document that it is the official file copy before being placed in the file system.

e. Electronic Mail Received From External Sources: The procedures outlined above apply to all electronic mail received from nonagency and other outside sources.

## CHAPTER V. RECORDS MANAGEMENT ASSESSMENT PROCESS

### 1. GENERAL.

Periodic assessments/evaluations are a key factor in maintaining an effective, efficient records management program. Once policies and procedures are established, it is important to monitor effectiveness, adherence, and performance. In addition, such assessments provide opportunities for refining and improving the records management program through establishment of best practices and identification of new cost efficiencies.

To achieve the goals of a comprehensive records management program, the assessment process is divided into three phases: self-assessments, program assessments, and departmental evaluations.

### 2. SELF-ASSESSMENTS.

Self-assessments are conducted every three years by Headquarters Offices, field offices, and contractor sites.

#### a. Purpose

- (1) Determine whether the basic requirements of the records management program are being met at the local Federal level.
- (2) Highlight outstanding work, deficiencies, and local issues that need to be addressed.
- (3) Prepare for a program assessment by identifying areas that require attention.

b. Findings and Recommendations for corrective action should be summarized at the Headquarters, field, and contractor-site levels and provided to the designated PRO for evaluation and action as necessary. Summaries and completed forms shall be maintained until the next assessment period.

c. Checklists. Self-assessment checklists are available in Attachment 3 and on the OCIO Records Management website (<http://cio.doe.gov/RBManagement/Records/DOC/Assessment-A-Self3..doc>). These checklists can be used as provided or customized to be more specific to your organization's local or programmatic issues. The form selected, however, should be usable by all Federal and contractor offices within your Departmental program to ensure a standardized assessment that presents a clear comparison of the records programs and practices in use.

3. PROGRAM ASSESSMENTS.

Program assessments are conducted by the PRO within an initial year and every three years thereafter.

a. Purposes

- (1) Ensure that records management requirements are implemented properly at all levels within each departmental program
- (2) Identify and address any existing organization-wide issues
- (3) Establish consistency and best practices
- (4) Identify manpower and cost efficiencies wherever possible

b. Improvement Plan. An improvement plan outlining the deficiencies identified by the program assessment and the best practices and improvements to the program that will be implemented to address those deficiencies shall be developed within 90 days of the completion of the program assessment. For information purposes, the summarized findings and a copy of the improvement plan shall be provided to the Departmental Records Officer, Office of the Chief Information Officer (OCIO). A record of the program assessment and results shall be maintained until the next assessment period.

c. Contractor Programs. Program assessments shall be performed on contractor programs by the appropriate RMFO. Program assessments shall be scheduled by mutual agreement with the contractor and conducted initially at least every three years and one year prior to completion of a contract term. A summary of findings and recommendations and, if warranted, copies of the assessment forms and feedback provided to the contractor(s) shall be forwarded to the PRO and the Departmental Records Officer.

d. Program Assessment Criteria. The following criteria have been developed to assist you in performing program assessments criteria and may be altered as needed to include information specific to your program office's records.

(1) Program Management

- (a) Number of FTEs devoted to records management:
- (b) Full-time (Federal and contractor)
- (c) Part-time - Federal and contractor percent of time spent on records management duties

(2) Percentage of time each records management employee is assigned to:

- (a) Program Management

- (b) Operations - Training/assistance, schedule application, records holding/storage area activities, Energy Employees Occupational Illness Compensation Program Act (EEOICPA) claims (monthly claim volume), other (specify)
  - (c) Contractor Oversight
- (3) Manpower/Support Costs:
  - (a) Series and grade levels for Federal FTEs
  - (b) Contractor costs
- (4) Records Management Expertise:
  - (a) Federal and Contractor - Records-related training received within the last three years, years of experience
- (5) Records Management Budget:
  - (a) Training, Travel, Electronic Systems (Federal and contractor)
- (6) Internal Policies/Procedures have been established and distributed and best practices identified:
  - (a) Federal and Contractor - Retiring and retrieving records, exit procedures, other
- (7) Self-Assessments have been completed within the past year (Federal and contractor)
- (8) Federal and Contractors Records are managed/tracked:
  - (a) Manually - Estimated volume
  - (b) Electronically - Estimated volume, type of system(s) and years in use, estimated cost of system and maintenance
- (9) Estimated Volume of records that are:
  - (c) Active - Percentage in paper, percentage electronic

- (d) Inactive - Percentage in paper, percentage electronic
- (e) Classified - Percentage in paper, percentage electronic

- (10) Date of last complete inventory
- (11) Number of site-specific schedules in use

4. DEPARTMENTAL EVALUATIONS.

Departmental Evaluations shall be conducted at least every three years. Analysts from the Records Management Division, Office of the Chief Information Officer, shall conduct the evaluations, and if required, assistance will be provided by the National Archives and Records Administration (NARA).

a. Purpose

- (1) Ensure that programs have been put into place that meet Federal regulations for the management of records;
- (2) Ensure records are created, maintained and dispositioned according to NARA regulations and guidance;
- (3) Ensure permanent records are preserved and sent to the National Archives in a timely manner;
- (4) Ensure assessments of the records program are conducted with visible results; and
- (5) Ensure policy and guidance provides sufficient support to the program.

b. Scheduling the Evaluations. Departmental evaluations shall be scheduled with the PRO and evaluations will include a visit to at least one Field site, if the program has oversight of Field entities. A list of the site(s) to be visited and the areas to be examined will be provided to the PRO at least sixty days prior to the evaluation. Preliminary findings and recommendations shall be provided to the PRO and a final report sent to the Head of the Program Office by the Chief Information Officer or a designee. The PRO shall respond in writing outlining corrective actions to be taken and anticipated completion dates within ninety days of receiving the final report. Copies of evaluations and findings shall be maintained by the Departmental Records Officer. The protocol to be used for evaluations is included as Attachment 4.

## CHAPTER VI. RECORDS MANAGEMENT EXIT POLICY AND PROCEDURES

1. RECORDS MANAGEMENT EXIT POLICY. The Department-wide Records Management Program Order, DOE O 243.1, provides the Department's final exit policy for records. By law, Federal records may not be removed from Government custody nor may they be destroyed without a records disposition schedule that has been approved by the Archivist of the United States. Accordingly, every employee has an obligation to preserve and protect Federal records. Occurrences of unauthorized records destruction or removal of records from Departmental custody without appropriate approval must be reported immediately to the Departmental Records Officer.
2. RECORDS INVENTORY. Prior to departure, Federal and contractor employees shall identify Federal records for which they have custody.
  - a. Records, regardless of media, shall be inventoried and those on file servers, hard drives, and in e-mail systems shall be copied and removed or reassigned.
    - (1) Inactive records shall be transferred to a records management custodian and active records shall be reassigned to another employee.
    - (2) Depending on the status of the contract, the departing contractor employee's records shall be reassigned to another contractor or Federal employee or incorporated into the Department's official files.
    - (3) All file searches for which the employee has been tasked must be completed or reassigned, such as those for FOIA, Congressional or litigation-related document requests.
3. VAULT AND RESTRICTED AREA COMBINATIONS, PASSWORDS, AND FILE CABINET KEYS. Vault and restricted area combinations, computer and system passwords, and filing cabinet keys shall be turned over to the departing Federal employee's supervisor or the contractor employee's supervisor or Contracting Official's Technical Representative (COTR) (assuming appropriate security clearance).
4. DEPARTING SENIOR OFFICIALS. Although Federal records may not be removed, departing senior officials are allowed to create a *limited* number of duplicate copies of unclassified documents for personal use when warranted by the level of the position, significance of the work or research, or the prestige of the researcher. Such copies are considered nonrecord material and must be reviewed and approved by the PRO, RMFO, or the Departmental Records Officer before they may be removed. An accounting must be made of



all nonrecord and personal papers that are removed. Classified and Privacy Act documents may not be duplicated or removed from Federal custody.

5. CERTIFICATION. A certification must be made by the departing employee that all Federal documents, records, and files, regardless of media, have been identified and transferred to a records management custodian or Contract Officer's Technical Representative (COTR), or have been reassigned to another employee. The appropriate records official (Headquarters – PRO; Field – RMFO) or contractor's COTR must initial the certification.
6. PENALTIES. Penalties may be enforced for the unlawful removal or destruction of records. The maximum penalty for the willful and unlawful destruction, damage, or alienation of Federal records is a \$250,000 fine, three years in prison, or both (18 USC 2071).
7. RECORDS MANAGEMENT EXIT PROCEDURE.
  - a. Departing employees and departure dates should be identified as soon as possible and the departing employees should be made aware of their records responsibilities.
  - b. The departing employee shall meet with their Federal supervisor or COTR and the RL or RMFO to:
    - (1) Identify the location and content of all record/nonrecord material in the employee's custody, regardless of media (paper, computer hard drive, compact disks, servers, cam systems, etc.)
    - (2) Identify for reassignment all active records needed for work in progress
    - (3) Identify for reassignment all quality assurance, classified, and vital records
    - (4) Identify employee personal papers and nonrecord copies for removal
    - (5) Return any records taken from file stations or records repositories
    - (6) Turn in filing cabinet keys, vault/restricted access combinations (appropriate clearance assumed), and computer/system passwords needed for access
  - c. RLOs or RMFOs shall ensure that:
    - (1) All record/nonrecord documents and files of departing employees are inventoried. (Note: Such inventories shall be maintained for one year after employee departure or when no longer needed.)

- (2) All records are scheduled and sent to a records management custodian unless reassigned to another employee by the Federal supervisor or COTR.
  - (3) An SF-115 Worksheet is prepared to schedule any unscheduled records.
  - (4) Permanent records that are no longer needed by the Department are sent to the National Archives.
  - (5) Employee files residing on servers, hard drives, and in e-mail systems are:
    - (a) Reviewed for record material
    - (b) Reassigned to another employee, and/or dispositioned in accordance with approved schedules
  - (6) Records are not destroyed:
    - (a) Without an approved records disposition schedule
    - (b) Until they have satisfied retention requirements
    - (c) If they come under an epidemiology, litigation, or other moratorium
- d. RLOs and RMFOs may arrange an oral history recording to document the employee's experiences in the Department's service if the employee's position, expertise, awards, or length of service warrant documentation. Oral history recordings should be coordinated with Program Office Knowledge Management Officials.
- e. The Federal employee's supervisor or contractor's COTR shall ensure that:
- (1) Active records needed for work-in-progress and classified, quality assurance, and vital records are reassigned to another employee (with appropriate clearance).
  - (2) Inactive records are transferred to a records management custodian.
  - (3) Controlled operating manuals and handbooks are collected.
  - (4) Removal of material by the employee is documented and limited to personal papers and a pre-approved amount of nonrecord copies.
- f. Federal supervisors, COTRs, and records staff shall document and report the unauthorized destruction or loss of records to the Departmental Records Officer.

- g. The employee shall certify that all Federal documents, records, and files created or received have been transferred to a records management custodian or a COTR or have been reassigned to another employee.
- h. The Federal employee's records official (Headquarters – PRO; Field – RMFO) or the contractor employee's COTR shall initial the certification.

## **ATTACHMENT 1 – CONDUCTING A RECORDS INVENTORY**

1. GENERAL. A records inventory is compiling a descriptive list of each record series or system, including the location of the records and any other pertinent data. A records inventory is not a list of each document or each folder.
2. DEFINE THE RECORDS INVENTORY GOAL(S). The goals of a records inventory should be to:
  - a. Gather information for scheduling purposes;
  - b. Prepare for conversion to other media or to identify the volume of classified and/or permanent records in your organization’s custody; and
  - c. Identify any existing shortcomings, deficiencies, or problems with the recordkeeping.
3. DEFINE THE SCOPE OF THE RECORDS INVENTORY. The inventory scope may include records from your entire organization or a specific subset of your records. In planning your inventory scope, keep in mind that:
  - a. Records are commonly inventoried at the record series level.
  - b. Both record and nonrecord material should be addressed.
  - c. Management’s concurrence with and support for the inventory is required.
  - d. Management and staff should be informed, as appropriate, regarding every stage of the inventory.
4. PLAN THE INVENTORY.
  - a. Decide what information is to be collected (i.e., the data elements to be included in the inventory). See paragraph 3, RECORDS INVENTORY ESSENTIAL INFORMATION.
  - b. Schedule the offices to be inventoried.
  - c. Decide who will conduct the inventory.
  - d. Train the inventory team as needed.

- e. Notify the staff of the purpose and plan for the inventory.
- f. Learn where files are located, both physically and organizationally.
- g. Initiate a series inventory form using the appropriate form from the NARA's "Disposition of Federal Records: A Records Management Handbook" <http://www.archives.gov/records-mgmt/publications/disposition-of-federal-records/index.html>. In this handbook, there are forms and instructions for the Series Inventory Form (used for all media except Audiovisual and Electronic Information Systems); Audiovisual Records Series Inventory; and Information System Description Form (which is used for Electronic Information Systems). Each of these forms is discussed below. You may design your own inventory forms, provided they contain, at a minimum, the information contained in the NARA forms.

5. CONDUCT THE INVENTORY.

- a. Interview staff to identify the records series created and maintained by each office or program.
- b. Estimate the value of the records to be inventoried.
  - (1) Administrative, legal, and fiscal value to agency.
  - (2) Historical value to future researchers.
  - (3) Temporary and permanent status.
- c. Inspect all files and record all information by series (See paragraphs 7-9).
- d. Include records in all media.
- e. Include all records created by contractors.
- f. Complete the inventory form.

6. VERIFY AND ANALYZE THE RESULTS. Consolidate similar records into a single record series where the descriptions and necessary retention period are the same.

- a. Match and Apply Records Retention Schedule. Match the records series inventoried with the records schedules. If a series of records cannot be "matched" with an existing schedule, complete an SF 115, "Request for Records Disposition Authority," to obtain a new schedule and submit it to the Departmental Records Officer through the organization's PRO.

- b. Evaluate the Unscheduled Records. Evaluate the unscheduled records series by determining the use made of the records and then analyze the values inherent in the records. Values are determined by considering the usefulness of records in documenting fiscal, legal, administrative, emergency operating, and rights and interests uses. The result of the evaluation process is to recommend the records as either permanent (historical) or temporary (kept for some period of time); and whether the records are needed for emergency operating activities, or for legal and financial rights protection.
  - c. Identify Nonrecord Material. Appropriate “nonrecord series” or categories are created for nonrecord materials maintained in an office so that the responsible official can designate the retention period for which the nonrecord materials will be held in the office before they are destroyed. For nonrecord material, only the head of the office needs to approve the disposition with no additional authorization needed. An approval on the organization’s inventory will permit the recordkeeper to destroy the nonrecord material after keeping it for its approved retention period. No additional authorization will be needed.
  - d. Information Disclosure. A records series affected by either the Freedom of Information Act (FOIA) or the Privacy Act should have that fact reflected in the descriptive information about the series so that compliance with these Acts will be facilitated.
    - (1) FOIA Applicability. The FOIA addresses records that have an affect on a member of the public. These are the types of records that may contain this type of material: Departmental Orders, opinions, statements of policy, interpretations, manuals, or instructions. See Title 5, United States Code, Section 552, “Public Information; Agency Rules, Opinions, Orders, Records, and Proceedings.”
    - (2) Privacy Act Applicability. The Privacy Act imposes requirements on the Department regarding the collection and dissemination of information about individuals when the information is retrievable by name or other personal identifier, such as a social security, license, badge, or other number or identifier assigned to particular individuals. See Title 5, United States Code, Section 552a, “Records Maintained on Individuals.” See also, “INFORMATION REQUIRED FOR SYSTEM OF RECORDS.”
7. SERIES INVENTORY FORM. A record series is a group of related documents that support a common activity and usually have a common name such as general correspondence, budget reports, purchase orders, and human resources files. For each record series, the following information is commonly collected:
- a. Date Prepared. The date the inventory was prepared.

- b. Office Responsible for Maintaining the Records. The name and symbol of the office that maintains the records. If this office received this series from another office, indicate the name and symbol of that office as well and designate it as the “creating office.”
- c. Person Conducting the Inventory. The name, office, and telephone number of the person who is conducting the inventory.
- d. Series Location. The precise location of the series (e.g., Room 8F-084, Building FORS). If the series is located in more than one office, conduct only one inventory and indicate multiple locations.
- e. Series Title. The title given to each series for reference purposes. Such titles can come from several sources:
  - (1) A Government agency may use a generally accepted title in its normal day-to-day procedures (e.g., employee locator file, project progress report).
  - (2) The person who conducts the inventory can supply a descriptive title (e.g., property control records, meeting transcripts file, loan analysis file).
  - (3) The title of a single form or type of document may be used if it applies to the entire series (e.g., bills of lading, notifications of personnel action, narrative quarterly reports).
- f. Inclusive Dates. The earliest and latest dates of the records in each series. This information supplements or is a part of the description and is needed to schedule records proposed for permanent retention. It is also needed to determine when to cut off (“break”) records and transfer them to FRCs or other Government agency storage facilities. In addition, it can provide a clue to the growth rate of a series.
  - (1) For case files or correspondence files, express the earliest date as the year only.
  - (2) For series that are created at the time of the inventory, indicate the latest date by the designation “to date” or “to present.”
- g. Series Description. A description of the information included in the records series. A clear description of the series is basic to the success of the inventory and the schedule. It is also necessary for NARA’s later appraisal of the records.
- h. Medium. The form of the records (e.g., paper, microform, electronic, audiovisual, or a combination).

- i. Arrangement. The arrangement or filing system used, e.g., subject classification systems and arrangements that are ordered alphabetically by subject, name, or claimant; geographically by state; numerically by contract number; or chronologically by date or report. If the series has no apparent arrangement, mark it “unarranged.” If there is an arrangement within the series, list it as well. NARA requires agencies to indicate the arrangement of records proposed for permanent retention, but not for those proposed for disposal.
  
- j. Volume. The amount of space occupied by the records is expressed in cubic feet rather than in linear feet or any other measurement. Volume is measured in cubic feet because this figure represents height, width, and depth, and thus realistically indicates the amount of space actually required to store the records. Also include the volume of older records, which may be wrapped in bundles or packages, and of oversized materials, which are too large to be stored in conventional filing equipment.

Estimate the volume of records in cubic feet using the conversion information below. Although volume information is important, the figure for each series need not be measured with extreme accuracy. Precise accuracy is not needed in gauging the volume of any series that is obviously large. Simply sample the file drawers to see if they are relatively full, and then multiply the number of full file drawers by the pertinent conversion ratio. For those records not stored in filing equipment, estimate the number of file drawers the records would occupy, and then apply the appropriate conversion ratio.

### **Cubic Footage Conversion Table**

- (1) One letter-size file drawer holds *1.5 cubic feet* of records.
- (2) One legal-size file drawer holds *2 cubic feet* of records.
- (3) Seven reels of standard digital computer tape (2,400 feet long, ½-inch wide) equal *1 cubic foot*.
- (4) One standard records center carton holds *1 cubic foot*.
- (5) Fifty 100-foot 35 mm microfilm reels equal *1 cubic foot*.
- (6) One hundred 100-foot 16 mm microfilm reels equal *1 cubic foot*.
- (7) One letter-size National Archives box holds *0.35 cubic feet* of records.
- (8) One legal-size National Archives box holds *0.43 cubic feet* of records.

### **Document Conversion Table**



- (1) One cubic foot contains 2,000 sheets of paper.
- (2) One compact disk contains about 2,000 sheets of paper.
- (3) One gigabyte is equivalent to about a:
  - Pick-up truck filled with paper
  - Symphony in high-fidelity sound
  - Movie at television quality

k. Annual Accumulation. The annual rate of records accumulation specific to each series. This figure is estimated based on information obtained from the file administrator of each series if the records are current and continuing. NARA requires agencies to furnish the rate of accumulation of those records that are proposed for permanent retention, but not those which are proposed for disposal. If the records are no longer accumulating, indicate “none.”

l. Cutoff. Indicates how often the records are “cut off” and when the last “cutoff” occurred. Cutoff is defined as breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break.

If the records are not cut off, explain on the form how inactive records are separated from active records.

m. Reference Activity. A rating of the reference activity of a paper record series after the regular cutoff using one of the three following categories:

- (1) Current or active (used more than once a month per file drawer).
- (2) Semicurrent or semiactive (used less than once a month but more than once a year per file drawer).
- (3) Noncurrent or inactive (not used for current operations).

n. Vital Records Status. The current status of records considered vital to the continued functioning or reconstitution of an organization during and after an emergency, as well as those records considered essential to protect the rights and interests of an organization and those individuals directly affected by its activities. Vital records may also be called “essential records” and include both emergency operating records and rights-and-

interest records. Vital records considerations are part of an agency's disaster prevention and recovery program.

- o. Duplication. Indicates duplication in form or content in one of the following ways:
  - (1) Carbon or other copies may exist within the same organizational unit or elsewhere in the agency. The copies may contain significant differences or notations.
  - (2) Similar dates or other information may be available elsewhere in the agency in either physically duplicated or summarized form.
  
- p. Arrangement. Indicates the filing arrangement of the records series; e.g., subject, alphabetical.
  
- q. Restrictions on Access and Use. Restrictions on access to and use of a particular series. Such restrictions may result from statutes, executive orders, or agency directives. The two most common types of restrictions are:
  - (1) Personal privacy. These files are restricted because they contain information about individuals whose privacy would be violated if the information were made know to others. Examples are tax returns, medical records, and some personnel investigative files.
  - (2) National security. These files bear classification markings such as "top secret," "secret," or "confidential" because their release or the release of some information contained within them to unauthorized persons might harm national security.
  
- r. Condition of Permanent Records. The physical condition of records being inventoried that are actually or potentially permanent, especially those stored offsite. As appropriate, identify threats to their preservation and security and take appropriate corrective action. Threats may include overhead water pipes, electrical equipment, excessive heat and/or humidity, vermin, and inadequate security.
  
- s. Disposition Authority. Legal approval obtained from NARA (and from the General Accounting Office (GAO) for certain records proposed as temporary) that empowers an agency to transfer permanent records to NARA or to dispose of temporary records. If the series has an approved disposition authority, list the schedule and item number and the retention period. If the series has no such authority,
  - (1) List the files as "unscheduled";

- (2) Make sure they are preserved; and
- (3) Ask the program office to recommend a suitable retention period.

8. AUDIOVISUAL RECORDS SERIES INVENTORY FORM.

- a. Person Performing the Inventory. Identify the person by name, organization and phone number.
- b. Series Location and Creating Office.
- c. Series Description. In the description include the following
  - (1) Format (4x5, 16 mm, and 1/2-inch) and generation
  - (2) Subject matter covered in the series
  - (3) Purpose served by the series
  - (4) Finding aids such as data sheets, shot lists, continuities, review sheets, catalogs, indices, and caption lists. Location of aids.
  - (5) Related documentation.
- d. Dates. Indicate the date space of the series.
- e. Arrangement. What is the arrangement of the series (e.g., alphabetical by subject chronological, numerical)?
- f. Volume. Use these conversions to equal 1 cubic foot:
  - (1) Still Pictures
    - (a) Negatives 1,200 35 mm 6-exposure strips
      - 8,640 2x2-inch mounted slides
      - 2,184 4x5-inch file sheets
      - 5,960 2 1/4x3 1/4-inch file sheets
    - (b) Prints 2,350 8x10-inch glossies
      - 9,400 4x5-inch glossies
  - (2) Motion Pictures
    - (a) Six 35mm reels (1,000 feet)
    - (b) Eleven 16mm reels (1,200 feet)
    - (c) Fifteen 16 mm reels (800 feet)
    - (d) Thirty-two 16 mm reels (400 feet)
  - (3) Video Recordings

- (a) Ten ¾-inch cassettes
  - (b) Two 2-inch reels
  - (c) Nine 1-inch reels
  - (d) Forty-two ½-inch reels
- (4) Sound Recordings
- (a) Seventy-six 16-inch disc recordings
  - (b) One hundred and forty-four 12-inch disc recordings
  - (c) Forty-eight 7-inch audiotape reels
  - (d) Sixteen 10-inch audiotape reels

9. ELECTRONIC INFORMATION SYSTEM INVENTORY FORM. An Electronic Information System is defined as the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. An electronic system includes the inputs and outputs that are generated, as well as the information on electronic media. This system may contain budgetary, fiscal, social, economic, scientific-technical or program-related data and information.

NARA Form 14028 (available at <http://www.archives.gov/records-mgmt/publications/disposition-of-federal-records/figure-3-3a.html>) lists the information needed to inventory electronic records. The example in Figure 8 following shows NARA Form 14028 with explanations for the information requested. The explanations are also available online at <http://www.archives.gov/records-mgmt/publications/disposition-of-federal-records/figure-3-3b.html>.

|  |  |
|--|--|
| <b>1. SYSTEM TITLE</b><br>[The commonly used name and acronym of the system (e.g., Budget System, Grain Monitoring System)]  | <b>2. SYSTEM CONTROL NUMBER</b><br>[The number assigned for reference, control, or cataloging purposes (e.g., Information System Inventory Number, ADP Plan control number)] |
| <b>3. AGENCY PROGRAM SUPPORTED BY SYSTEM</b><br>[Agency programs or missions supported by the system]  | <b>4. PROGRAM AUTHORITY</b><br>[Laws, directives, etc., authorizing the programs supported by the system]  |
| <b>1. SYSTEM DESCRIPTION</b><br>[Includes the following sections:<br>a. <i>Purpose/Function</i> : The reasons for and the requirements met by the system.<br>b. <i>Sources of Data</i> : The primary sources or providers of data to the system (e.g., broadcast license holders, corporations doing business in the U.S.). Does this system receive information from other systems, either from within or outside your agency?<br>c. <i>Information content</i> : The principal subject matter, data coverage, time span, geographic coverage, update cycle, whether the system saves superseded information, major characteristics of the system, and whether the system contains microdata or summary data.<br>d. <i>Outputs</i> : The principal products of the system (e.g., reports, tables, charts, graphic displays, catalogs, correspondence) and an indication of the frequency of preparation. Is information from this system transferred to other systems?] |  |
| <b>5A. PURPOSE/FUNCTION OF SYSTEM</b><br>[Self-explanatory]  |  |
| <b>5B. SOURCE(S) OF DATA</b> (Include inputs from other systems) [Self-explanatory]  |  |
| <b>5C. INFORMATION CONTENT</b><br>(Citations of previous NARA disposition jobs approving disposition of components (e.g., input forms, printouts, COM, output reports) of the system)  |  |
| <b>5D. SYSTEM OUTPUTS</b> (Include outputs from other systems)<br>[Self-explanatory]   |  |
| <b>6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM</b> (Include room numbers)  |  |
| <b>2. AGENCY CONTACTS</b><br>(Names, addresses, and phone numbers of system and program personnel who can provide additional information about the system and the program it supports.)  |  |
| <b>3. PREVIOUS DISPOSITION JOBS</b><br>[Citations of previous NARA disposition jobs approving disposition of components (e.g., input forms, printouts, COM, output reports) of the system]   |  |
| <b>9A. PREPARER'S NAME</b>   | <b>9B. OFFICE NAME AND ADDRESS</b>   |
| <b>9C. PHONE NUMBER</b>  |  |
| <b>SIGNATURE</b>   | <b>DATE</b>  |

Figure 8  
 NARA Form 14028, Information System Description

## ATTACHMENT 2 - FILING RECORDS

1. BASIC TYPES (GROUPS) OF FILES. The files collection will normally consist of more than one basic type of file. A file group consists of a collection of papers that have similar characteristics and that should be kept apart from other groups of files in the office. This separation of files into readily discernible groups makes it easier to file and find papers and assists in the disposal of files with different retention periods. The file groups described in the paragraphs below, should generally be maintained separately.
  - a. General Correspondence (Subject) Files. Often known as the “general file” or the “subject correspondence file,” this file consists of originals or copies of letters, memorandums, telegrams, and reports. Each official file station normally will have a separate correspondence file. Because this file invariably involves a wide variety of subjects, it can best be identified and used when arranged by subject. Use a standard subject coding system for establishing the arrangement of correspondence files.
  - b. Transitory Correspondence Files. These files consist of correspondence and other papers of short-term interest that should not be filed in subject correspondence files. These files involve routine transactions or do not contain information of continuing reference value. They consist of transmittal letters or forms; requests for routine information or publications; communications correcting reports or records; or other documents not requiring action by the receiving office. The recognition and separate maintenance of transitory material is important. Transitory material that has served its purpose should be destroyed immediately. Transitory correspondence that is temporarily needed for reference is normally filed by date so that the papers may be easily destroyed after a short retention period, usually no more than 90 days.
  - c. Case or Project Files. Case files contain material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project but will always be filed by a name or number. This practice aids in distinguishing them from general correspondence, which is filed by subject. A case file documents a transaction or relationship from beginning to end. For example, a grant application may begin a case folder and a final grantee fiscal report may close it. A project file is a case file on a specific project or study that is more voluminous than the normal case file. This file will contain documents and material relating to various phases of the project such as proposals, authorizations, financing, and reports. A list or inventory of standard contents may be prepared for case-related papers. Files commonly case filed include: purchase orders, contracts, investigations, audits, loans, grants, research projects, and personnel transactions.
  - d. Case Working Papers. These are short-lived correspondence and working papers accumulated in connection with specific case and project files. They include background

and working materials such as reference materials and data obtained for the case or project, data analyses, and summaries. Working papers include routine correspondence concerning the administration of a case or project and extra copies of documents and reference material. If case working papers are segregated from the important case documents, the subsequent disposal of the working papers is easy. Segregating them also avoids intermixing them with important papers. They may be filed in the same folder but kept separate by fastening on the opposite side from the essential papers or by filing in separate folders placed one behind the other in the file drawer.

- e. Technical Reference Files. Sometimes called “reference material” or “reference publications,” this file group consists of printed or processed material that is of nonrecord value, but that has a direct relationship to the work of the office and is needed for future reference. It includes such materials as technical reports, periodicals, catalogues, equipment manuals, pamphlets, internal instructional manuals, and informational manuals. Unless the volume is very small, technical reference materials should always be maintained separately from correspondence files. Mixing correspondence files and technical reference papers hampers disposition of both types of materials and overloads the correspondence files.
  
- f. Convenience Files. These consist of extra nonrecord copies of correspondence, forms, and other papers kept solely to satisfy a particular need. Extra copy files should be established only when fully justified. Improperly used, they waste filing equipment, supplies, office space, reproduction costs, and valuable employee time. Examples of convenience files are:
  - (1) Reading Files. Contain extra copies of outgoing material arranged in date sequence and maintained or circulated for informational purposes.
  
  - (2) Suspense Files. Also known as tickler, pending, or follow-up files. Consist of copies of correspondence or other papers that require action or attention on subsequent dates. Papers are arranged by date and serve as a reminder to prepare needed reports and replies.
  
  - (3) Policy Reference Files. These are extra copies of selected documents reflecting policies, precedents, procedures, and instructions governing the performance of the mission and operations of the office. They are used as a ready reference in conducting daily business and as a means of indoctrinating new personnel. The file is kept current by replacing superseded documents, removing obsolete documents, and adding new documents.
  
  - (4) Alphabetical Name Index File. Consists of extra copies of correspondence or name cross reference sheets arranged alphabetically by the names of the individuals or organizations to which correspondence is addressed or to whom it

concerns. It provides an additional source of reference to the subject files. This file is useful when papers are requested by the names of individuals or organizations. The alphabetical name index is not practical unless the subject file is large, perhaps more than one file cabinet a year.

- (5) Duplicate Working Files. Contains identical extra copies of papers found in the official files.

2. BENEFITS OF SEPARATING FILE SERIES INTO BASIC TYPES. The benefits derived from separating files into the basic types are numerous and discount most arguments against separate maintenance. Breaking a file collection down into separate groups facilitates:

- a. Finding Files by reducing the area of search. Recordkeepers need not look through a mass of unrelated material to find the desired document. They will not be confused by a variety of different filing arrangements often encountered when the basic types are combined in one file.
- b. Filing Documents because materials can be broken down into small, similar groups which can then be sorted into one particular filing sequence.
- c. Disposing of Files by keeping folders with different retention periods separated. Essential documents are segregated from those of only temporary value, and official files are not intermingled with nonrecord material. Separation of files into the basic groups permits the retirement or destruction of files in blocks since all papers within any one group have the same retention period.

3. BASIC FILING ARRANGEMENTS. Once the basic file groups have been identified and separated within a files collection, the best method of arranging each type of file must be determined. The arrangement should permit ease of filing and finding and make the use of special indexing systems unnecessary. Frequently, filing procedures for a records series, e.g., personnel folder files, are provided in the prescribing directive. This handbook recommends the arrangement of official general correspondence files and also suggests using a name or number arrangement for case file series. When other types of files are maintained, or when files are accumulated for which specific filing instructions are not prescribed, one of the arrangements described in this paragraph should be selected. Within the basic arrangement selected for the group, one or more additional arrangements can be used for further breakdown or subdivision of the files. For example, files geographically arranged may be further arranged by organization; files arranged by subject can be further arranged chronologically. Following are six basic filing arrangements:

- a. Numerical Arrangement. This system is used to arrange files identified and referred to by number, such as contracts, grants, and purchase orders. Numbers will not be assigned to documents for the sole purpose of arrangement for filing because this practice requires the



establishment of additional indexes to locate the documents.

- b. Chronological Arrangement. Files are arranged in date sequence when the date is the primary means of reference. It is the most useful method for keeping documents in small, manageable groups, usually by year, month, and day. Chronological arrangement is frequently used in conjunction with other arrangements. Transitory, reading, and suspense files are usually arranged chronologically.
- c. Geographical Arrangement. Papers can be arranged by geographical location such as region, state, and county. When location is the primary means of reference, a geographical arrangement is the appropriate one to use. Files are arranged in alphabetical sequence first by the name of the main geographical division, such as a state, then by the next most important subdivision required for reference such as counties, cities, or units of local government.
- d. Organizational Arrangement. When the grouping of documents by the name of the pertinent organization is the primary means of reference, the organizational arrangement is most appropriate. Organizational arrangement is fundamentally an alphabetical arrangement by organization.
- e. Alphabetical Arrangement. This arrangement is used to file documents in alphabetical sequence by name of persons, companies, and organizations. It is very important to follow standard rules to achieve uniformity. The number of alphabetical subdivisions used in a file depends upon the number of names in the file and whether the materials to be filed are papers, index cards, or case files. As a general rule, an alphabetical subdivision guide for each 10 to 20 name folders, or for each 25 to 50 name cards, should be provided.
- f. Subject Arrangement. This arrangement will be used when the grouping of documents by subject is the primary means of reference.

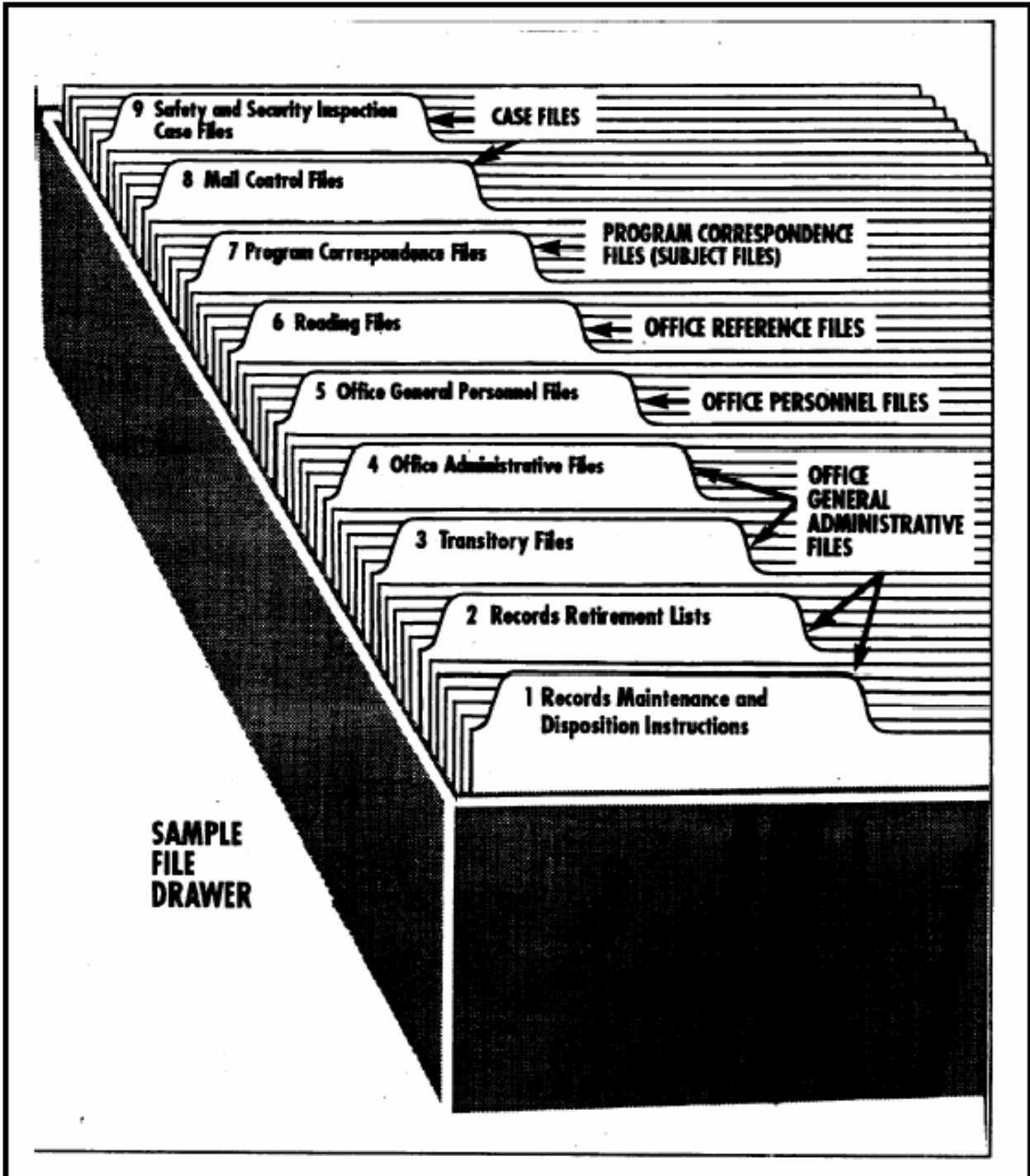


Figure 9  
Sample File Drawer or Folder Structure for Electronic Records

#### 4. MAINTAINING PAPER FILES

- a. Avoid Unnecessary Filing. Filing unnecessary papers results in a waste of time and equipment. Following are some ways of avoiding unnecessary filing:
- (1) Substitution. Substitute a memo or routing slip for a formal letter for routine matters. Alternatively, reply on the incoming communication and return it to the sender.
  - (2) Limit Copies. Limit the number of copies prepared to those which are specifically required or requested or which serve a valid purpose.
  - (3) Eliminate Copies. Eliminate the copies of routine communications which require no record, such as:
    - (a) Routine requests for publications. (Return the requesting letter with the material sent. An alternative is to reply by form letter. In neither case is a file copy needed.)
    - (b) Outgoing form letters. (A notation on the incoming letter showing the form letter identification number will suffice.)
    - (c) Routine transmittals.
    - (d) Copies of letters furnished solely for information, unless it is known they will be subsequently referred to.
    - (e) Limit "Extra Copy" Files. Limit "extra copy" files to those offices having justification for their maintenance.
    - (f) Limit Technical Reference Documents. Restrict the quantity of technical reference documents received to the minimum necessary, and file only those that will be of significant reference value.
- b. Arranging Folders, Guides, and Labels. The orderly appearance and efficiency of any file depends upon the careful preparation, use, and arrangement of folders and guides in the file drawer. Folders are necessary to keep the papers together and in order.

Guides serve as “sign posts” to help speed up the filing and finding operations. The incorrect use of either folders or guides will retard these operations.

- (1) General Correspondence Files. Instructions for arrangement of guide cards, folders, and labels for general correspondence files are contained in paragraph 13e, “Arranging The Subject Files.”
  - (2) Case Files and Other File Series. Guide cards and folders are important for case files and other types of records, especially if the file collection is large. Guide cards reduce the area of the search and help the folders stand erect. A guide card for every two or three folders is wasteful and defeats the purpose of the guides. Four to six guide cards in each drawer or one guide to every ten folders are two rules to follow. As a general rule, place a first position (left) guide card in front of each record series to identify and isolate it from other series in the same drawer. Square-cut folders are recommended for all files. Carefully and uniformly prepared folder labels are important to any file series. Labels should be easy to read, precise, and complete.
  - (3) Label Preparation. The case file label will normally show the identifying file designation such as a name or number reflecting the arrangement pattern of the series. The year or inclusive dates, as appropriate, is included. The disposition schedule number and item number will also be shown. The label is placed on the folder in one position only, the middle position.
  - (4) Label Color Codes. Recordkeepers should consider the use of color coded folder labels to facilitate filing and finding, prevent misfiles, and aid disposition. Color codes can be used to distinguish one series from another, one year from another, or case working papers from case history files.
5. PREPARING FILE COPIES. The following preliminary steps should be taken in preparing documents for filing:
- a. Remove rubber bands, paper clips, and other temporary fasteners.
  - b. Determine that the file is complete and all necessary enclosures or attachments are accounted for.
  - c. Inspect all documents to ensure they have been authorized for filing. Incoming letters that did not require a reply should have the word “File,” the date, and the initials of the person forwarding the communication for filing in the upper right margin. This notation is the file authority and shows that the proper official has seen the document and “certified” the need for filing it. Copies of outgoing letters should be initialed by the originator to indicate authority to file.

- d. Ensure that parts of another file are not accidentally attached.
  - e. Mend, reinforce with transparent tape, all torn or frayed papers.
  - f. Destroy duplicate copies of documents to be placed in the same record series.
  - g. Place the file copy of an outgoing reply on top of the related incoming letter and any pertinent attachments and staple them together.
6. CODING PAPERS FOR FILING. After the papers have been prepared and assembled for filing, the next step is to code them. Coding segregates the papers into logical categories for ease of filing and finding.
- a. Coding Subject File Papers. Coding subject correspondence material is more complex and distinctly different from coding other types of papers. Paragraph 13.f, “Coding File Papers By Subject,” of this Handbook explains the coding of papers for subject files.
  - b. Coding Case Papers. Case filing is the easiest and fastest type of filing if the case identification is prominently placed on the face of all papers to be filed. The recordkeeper can expect difficulties and filing errors if papers have to be read with great care just to determine whether they belong in a case file series or another type of file. The time required for reading and marking files can be greatly reduced if the case file name or number appears on the papers.
  - c. Preparation of Case File Correspondence. Employees who prepare correspondence should place the case identification in the “TO ATTN OF,” “File Reference,” or similar caption printed on the letter, or in the subject line of the letter. Underline or circle the case identification if it appears in the body of the letter. If these practices are not always possible or acceptable, enter the case identification in the lower right corner of file copies.
  - d. Filing of Case Papers. Use the identifying name or number for coding case file documents. In most instances, this identification is somewhere on the paper and need only be underlined or circled. If the case identification is not shown on the paper, determine the proper code and write it in the upper right corner.
  - e. Identifying Temporary Papers. Some recordkeepers may use an abbreviated symbol such as “T” for transitory and “S” for suspense to identify these papers. Reading or chronological file copies are often of a distinctive color, which gives them a built in or self-identifying feature.
7. CROSS REFERENCES. A cross reference is a means of referring to a document by a file identification other than that under which it is filed. If a document being coded by subject matter

involves more than one subject and there is a possibility it might be asked for by either subject, a cross reference should be prepared as a finding aid. Sometimes a case file transaction sets a new precedent and it will be requested by subject matter in the future. Accordingly, if an unusual case file document might be requested by its subject matter, a cross reference by subject should be prepared as a finding aid. Avoid making and filing unnecessary cross reference forms, as they take up valuable space and time.

a. Preparation.

- (1) Extra copies may be used as a cross reference. Select the file designation for an additional subject and write it directly below the file designation for the main subject or case. Mark an “X” by this file designation to show that a cross reference is required.
- (2) A Cross Reference Form, Optional Form 21, is also used for preparing cross references of records maintained in all types of files.
- (3) Cross Referencing Relocated Material. A cross reference is also used to indicate that a record has been moved from one place in the file to another, such as bringing forward a piece of correspondence from a cutoff or closed file for attaching to a letter in the current file. While the cross reference form may be used for this purpose, a specialized form, Optional Form 22, Continuity Reference, is also available.

8. PLACING MATERIAL IN THE FILES. Match the file designation of each file unit with the folder label before placing it in the folder. This simple practice can greatly reduce misfiles. The material should be filed in the appropriate folder with the top of the sheet toward the left of the file drawer as the reader faces it. In this manner, all filed documents can be read easily. In a loose file, staple together directly related papers concerning the same transaction.

a. In a fastened file, arrange units of files in chronological order with most recent date on top. Following are guidelines for fastening papers or filing loose:

- (1) Fasten Papers For:
  - Large case files that receive extensive use and have a long life; or
  - Any other file for which the entire folder is charged out and that contains valuable information.
- (2) Avoid File Fasteners For:

- Subject and other files when individual papers rather than entire folders are charged out;
  - Small, routine case files; or
  - Larger case files with low reference or short life.
- b. Filing Classified Records. For classified records, DOE M 470.4-4, *Information Security Manual*, dated 08-26-2005, provides the applicable requirements.
9. FINDING PAPERS IN THE FILE. The following steps illustrate how to find papers.
- a. Obtain, if possible, sufficient information to identify the file; that is, the file designation such as name, file number or subject, and the date.
  - b. If given the name, title, or number of a case file, go directly to that case file.
  - c. If given the subject of the file, go directly to that subject. If uncertain of the exact subject, consult the program office's unique coding system for the proper subject designation.
  - d. If the material cannot be located in the files and is of recent date, check the unfilled material on the file custodian's or coder's desk.
10. CHARGING MATERIAL FROM THE FILES. When records are removed from the file and forwarded to an individual or office, a record of such loan should be made. A Charge-Out Record such as Optional Form 23 should be filled out and put in the folder or file drawer in place of the withdrawn material. Place the Charge-Out Record at the exact location of the withdrawn material with the "OUT" portion clearly visible. The file custodian should review the Charge-Out Record forms periodically and request the return of records that have been charged out for a long period of time. When the material is returned to the file, remove the charge-out card and draw a line through the entry indicating the charge. Proper and consistent use of this form will eliminate much wasted effort in searching for documents.
11. MAINTAINING THE FILES. Neatness and orderliness are essential to filing efficiency. The following instructions will assist in maintaining this efficiency.
- a. Identify File Drawers. Label file drawers to indicate what files, subjects, or names are filed in them. Indicate the year, if appropriate. The disposition schedule number may also be placed on the drawer label.
  - b. Prevent Overcrowding the Files. Allow at least four inches of space in each active file drawer to permit sufficient working space.

- c. Keep Papers Straight. When placing material in file folders, do not let the papers extend beyond the edges of the folders. Crease or fold papers when necessary.
- d. Avoid Overloading File Folders. When the contents of the folder increase to the point that papers begin to obscure folder labels, crease the bottom of the folder leaves at the second expansion line to increase the capacity of the folder. When the folder content reaches  $\frac{3}{4}$  inches, either:
  - Add a new folder bearing the same file designation in front of the full folder and show inclusive dates on the folders; or
  - Subdivide the contents of the folder, if practical, by adding new file designations.
- e. Avoid Cluttering the Files. Bulky material should be filed in equipment suitable to its size and not mixed with standard size documents. This material can be cross referenced so that it can be readily identified with the related papers in the regular files.

## 12. CODING SYSTEM CONCEPTS

- a. Coding by Subject. Standard subject coding provides a uniform system for organizing files. These files are arranged by subject as a standard practice.
- b. Applicability. A program office may develop their own unique code system to simplify filing. A standard subject coding system should be used at file stations where general correspondence files are maintained. This system is useful in organizing program correspondence. Program correspondence relates to the assigned mission, function, or responsibilities of an office. If there is sufficient volume, also use the subject coding system to organize the correspondence regarding internal administration or housekeeping activities.
- c. Type of System. A standard subject coding system consists of selected main (primary) subject titles with related subjects grouped in outline form as subdivisions of the primary subject titles. These subdivisions are known as secondary (second-level) subjects, tertiary (third-level) subjects, and quaternary (fourth-level subjects). In this example, four-digit codes were assigned through the tertiary level to each subject in a coding structure. Tertiary and quaternary subjects may be required to provide sufficient subject coverage.
- d. Master Outline. A standard coding system or taxonomy with its complete list of subjects may also be referred to as the master outline for managing information.

## 13. SUBJECT FILES



- a. General In setting up a subject file, always keep in mind that the topics refer to subjects and that all the documents to be filed will be classified and filed by subject. For example, the subject topic “Applications for Employment” used in a personnel office means that correspondence and other documents relating to the SUBJECT of employment applications are filed there rather than the individual applications themselves. The actual applications are filed in a case file series that is maintained separately.
  
- b. Master Outline
  - (1) Usage. A master outline or taxonomy is used as the basis for establishing the subject file.
  
  - (2) Primary Subjects. The primary subjects in a master outline represent functional categories for classifying DOE’s various missions. Generally, a primary subject and its subsumed subjects will be used extensively by the office responsible for the function coinciding with the primary topic. However, no primary subject is for the exclusive use of any one office. Any of the subject topics in the master outline may be used as required by any office.
  
  - (3) Secondary Subjects. The secondary subjects and other topics may be elevated and used as primary subjects when they represent functions or missions of the office.
  
- c. Selection of Topics. Use only that part of the master outline that meets the needs of the file station. The system is designed to cover a subject in depth when necessary. However, many offices will not need much depth except in the subject area that covers the office’s functional responsibility. Often the primary subject topics alone will be sufficient to file all papers on a particular subject if another office is responsible for the function represented by that subject. Avoid setting up folders that will contain only one or two papers. A topic is not usually selected unless there will be five to ten papers filed under it during the year. The ideal average is about 25 papers per folder.
  
- d. Addition of Topics. Add new subjects (topics) only when experience indicates reference rate and volume of documents warrant a separate subdivision. The need to add topics usually occurs whenever a subject area coincides with a major function or program responsibility of the office. Make the new subject title as short and clear as possible. Be certain to insert a new topic at the proper level so that it represents subject coverage parallel to other topics at that level.
  
- e. Arranging the Subject Files

- (1) Folders and Guide Cards Arrange folders and guide cards as illustrated in Figure 10. Place folders and guide cards in the file drawer in the exact sequence in which subjects appear in the subject code or taxonomy outline. Start from the front of the drawer. Have the guide cards precede the related folders. The sequence of the drawers should be from top to bottom of the cabinets. Use the first position of one-third cut guide cards for primary subjects, second position for secondary subjects, and third position for tertiary subjects. Normally active files should have one guide card for each 8 to 12 folders. Guide card labels should show the full file code number and title of the topic for the first folder behind the guide card.
  
- (2) Folders and Labels Labels through the tertiary level should be typed and placed in one position only, aligned with the center scored mark (indentation) on the square-cut folder. This arrangement improves the appearance and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer. Folder labels for the subject files will include the file series, a code, if used, from a standard subject coding system, the applicable records disposition schedule and item number, the subject title of the material in the folder, and the fiscal year.

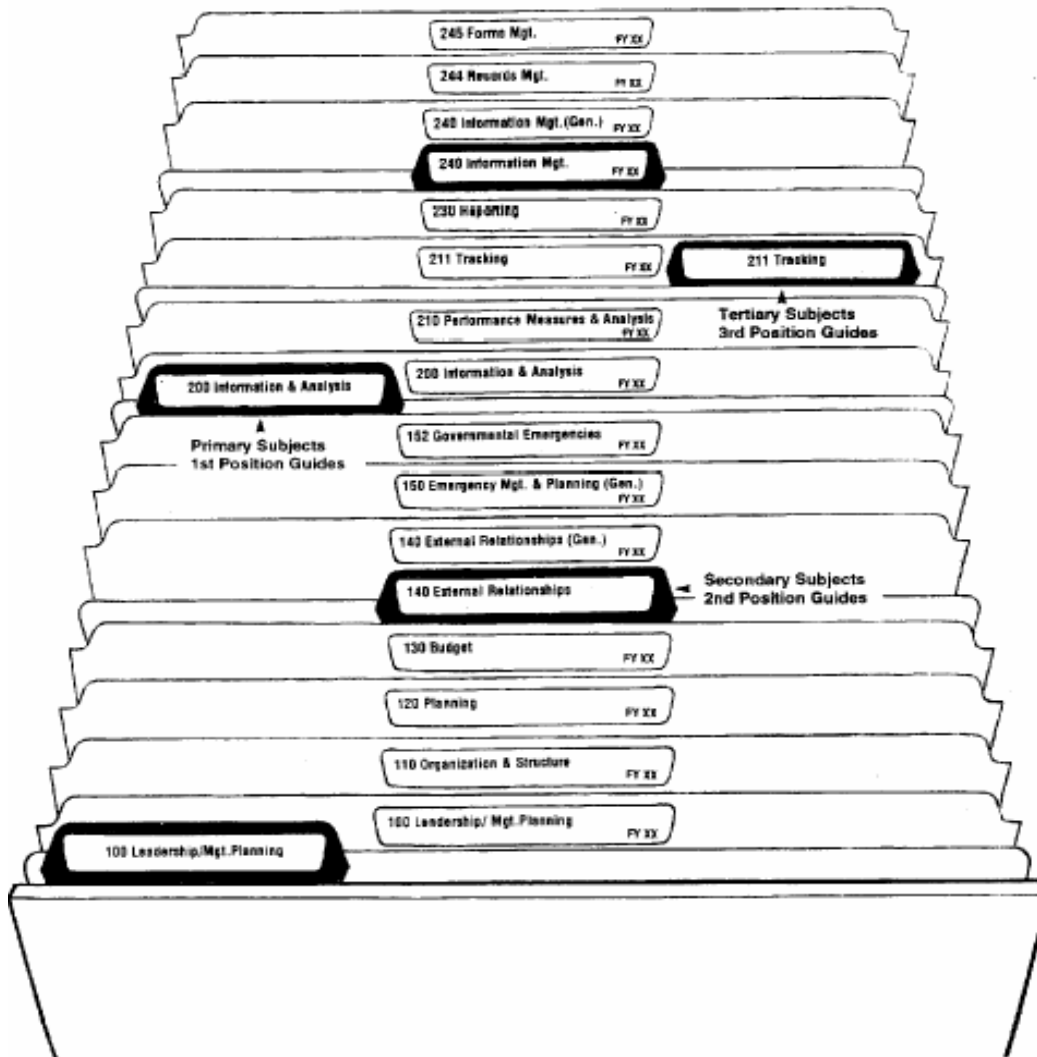


Figure 10  
Arrangement of Subject File Guides, Folders, and Labels

f. Coding File Papers by Subject Coding correspondence by subject is more complex and distinctly different from coding other types of papers. Papers must be read and analyzed, then coded by the appropriate subject on the basis of their informational content. How quickly a particular document can be located after it has been filed depends largely on how carefully it has been coded before filing. The basic steps in coding subject material are as follows:

- (1) Analyze. Read and analyze the document to determine its major subject. The subject line appearing above the body of the correspondence is often helpful in coding but should not be relied upon too heavily. It may be vague, misleading, or even remote from the real subject of the correspondence concerned.
- (2) Select. Select the proper file code from the office subject file outline. First, select the appropriate primary subject code and then the correct subdivision of the primary subject, if any. If no subdivision has been provided, use the primary subject itself as the file designation code. When sufficient volume of paper accumulates on a subdivision that was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers.
- (3) Code. Write the subject's numeric file code in the upper right hand corner of the file copy.
- (4) Underscore. Lightly underscore the reference when papers refer to previous papers already on file. This will emphasize that there are previous papers involved. Earlier material should be consolidated with later correspondence on the same subject.

g. Techniques in Coding

- (1) Noticing. The knack of noticing essential key phrases in correspondence helps one to select the correct file designation. The subject matter is sometimes difficult to determine. In such instances, it is helpful to consider the correspondence in this light: "Why was it written?" Usually the purpose for writing suggests the subject under which it should be filed.
- (2) Reference. It is helpful at times to refer to previous correspondence already on file to verify a tentatively selected file designation.
- (3) Consistency. Being consistent is the first coding rule. This will assure documents being coded will be matched with those previously filed.

- (4) Help. When in doubt, contact someone familiar with the subject.

**ATTACHMENT 3 – SELF-ASSESSMENT CHECKLISTS**

| <b><u>CHECKLIST FOR SELF ASSESSMENT</u></b> |                                |
|---|--------------------------------|
| Site:                                       | Federal or Contractor Program: |
| Name: _____                                 |                                |
| Title: _____                                |                                |
| Organization: _____                         |                                |
| Address: _____                              |                                |
| Bldg and Room Number _____                  |                                |
| Phone Number _____                          |                                |
| E-Mail _____                                |                                |
| Years of Records Management experience?     |                                |
| Length of time in current position?         |                                |
| Training?                                   |                                |
| _____                                       |                                |
| Signature:                                  | Date:                          |

## INSTITUTIONALIZATION

*The following questions are designed to verify the existence of an established program.*

|  | YES | NO | NOT APPLICABLE |
|--|-----|----|----------------|
| 1. Are records management employees familiar with the regulations that govern the program (36 CFR Chapter 12)? |     |    |                |
| 2. Does your records program meet Federal regulations?   |     |    |                |
| 3. Has adequate staff been assigned to the function?   |     |    |                |
| 4. Have the following designations been made?  |     |    |                |
| a. Program Records Official  |     |    |                |
| b. Records Management Field Officer  |     |    |                |
| c. Records Liaisons  |     |    |                |
| d. Records Custodians  |     |    |                |
| e. Contractor Records Managers   |     |    |                |
| 5. Does a records communications network exist between:  |     |    |                |
| a. HQ Program and Field site?  |     |    |                |
| b. Field site and Contractors?   |     |    |                |
| 6. Is your manager/supervisor knowledgeable about and involved with the program?                               |     |    |                |
| 7. Have internal operating policies and procedures been developed and distributed?                             |     |    |                |
| 8. Is Records Management included in the budget process?   |     |    |                |
| 9. Are training and travel funds made available so staff can stay abreast of the latest information?           |     |    |                |
| 10. Is oversight of Contractor Records Programs performed? How?  |     |    |                |
| 11. Are findings documented?   |     |    |                |
| 12. Are policies, procedures, and guidance distributed to Contractors?   |     |    |                |
| 13. Are program assessments performed periodically for:  |     |    |                |
| a. Federal offices?  |     |    |                |
| b. Contractor programs?  |     |    |                |
| 14. Are improvements made as a result of the assessments?  |     |    |                |
| 15. Are steps taken routinely to promote the records program?  |     |    |                |
| Comments:  |     |    |                |

**RECORDS CREATION AND MAINTENANCE**

*An important part of records management is the clear articulation of recordkeeping requirements and the timely capture of records that document agency functions, missions and operations.*

|   | YES | NO | NOT<br>APPLICABLE |
|---|-----|----|-------------------|
| 1. Are RMFO/Liaisons familiar with the concepts and regulations concerning the creation of records? |     |    |                   |
| 2. Have recordkeeping requirements been identified for the site/organization?                       |     |    |                   |
| 3. Has guidance been provided to employees Regarding recordkeeping requirements?                    |     |    |                   |
| 4. Has guidance been provided to employees Regarding adequate and proper documentation?             |     |    |                   |
| 5. Do employees maintain their own records?   |     |    |                   |
| 6. Are employees familiar with basic filing principles?   |     |    |                   |
| 7. Have file stations been designated?  |     |    |                   |
| 8. Are file plans available for each file station?  |     |    |                   |
| 9. Is a standardized classification filing system used?   |     |    |                   |
| 10. Are records transferred into filing systems as they are created?                                |     |    |                   |
| Comments:   |     |    |                   |



## INVENTORY

*A successful records management program is founded on knowing what information is available and where it is located. An inventory of records allows decisions to be made on the information's value and on how the records should be managed. An effective inventory covers all media and includes records, non-record materials, active, and inactive records. It results in a complete, current identification of records.*

|   | YES | NO | NOT APPLICABLE |
|---|-----|----|----------------|
| 1. a. Has a records inventory been conducted within the last three years? |     |    |                |
| b. If not, date of last inventory?  |     |    |                |
| 2. Does the inventory cover electronic and other media?                   |     |    |                |
| 3. Does the inventory include the following?                              |     |    |                |
| • Records   |     |    |                |
| ○ Temporary   |     |    |                |
| ○ Permanent   |     |    |                |
| ○ Active  |     |    |                |
| ○ Inactive  |     |    |                |
| ○ Classified  |     |    |                |
| • Nonrecord materials   |     |    |                |
| 4. Are all offices of the organization/ site included in the inventory?   |     |    |                |
| 5. Was the inventory conducted by :                                       |     |    |                |
| a. Support contractor?  |     |    |                |
| b. Records Liaison?   |     |    |                |
| c. Other, specify?  |     |    |                |
| 6. Was the inventory approved by management?                              |     |    |                |
| 7. Is the inventory maintained electronically?                            |     |    |                |
| 8. Type of system used?   |     |    |                |
| 9. Is the inventory process documented?                                   |     |    |                |
| Comments:   |     |    |                |

**SCHEDULES**

*A key part of any successful records management program is having a schedule of how long a record is kept before it is transferred to inactive record storage facilities, Federal Records Centers, other Federal agencies, NARA, or destroyed. The schedules should be current, clear, specific and verified periodically.*

|   | YES | NO | NOT APPLICABLE |
|---|-----|----|----------------|
| 1. Are all records scheduled?<br>a. Paper<br>b. Electronic<br>c. Other Media  |     |    |                |
| 2. Are existing schedules adequate for administrative and programmatic records?   |     |    |                |
| 3. Number of site-specific or organization-specific schedules used?   |     |    |                |
| 4. Are schedules updated periodically for new series and electronic recordkeeping systems?                                    |     |    |                |
| 5. Are you awaiting approval of draft schedules?  |     |    |                |
| 6. Is an internal process established for developing and submitting schedules for approval?                                   |     |    |                |
| 7. Disposition schedules are identified when:<br>a. Records are created.<br>b. Records become inactive.<br>c. Other, specify. |     |    |                |
| 8. Do employees understand the general requirements of records disposition?   |     |    |                |
| 9. What method is used to make employees aware of new schedules?  |     |    |                |
| 10. Are records destroyed only in accordance with approved schedules?   |     |    |                |
| 11. Does your site have its own schedule database?  |     |    |                |
| 12. Does your site/office have electronic search capability for locating schedules?   |     |    |                |
| Comments:   |     |    |                |

**ELECTRONIC RECORDS AND ELECTRONIC E-MAIL**

*A goal of the DOE electronic records management program is to develop effective guidance for the creation, capture, protection, preservation, use and disposition of all electronic records.*

|   | YES | NO | NOT APPLICABLE |
|---|-----|----|----------------|
| 1. Are electronic records part of your overall records management program?  |     |    |                |
| 2. Have employees been made aware of the regulations governing electronic records?  |     |    |                |
| 3. Has the site/organization published guidance on the management of electronic and e-mail records?   |     |    |                |
| 4. Has the site/organization implemented software to manage:  |     |    |                |
| a. Electronic documents?  |     |    |                |
| b. Electronic records?  |     |    |                |
| c. E-mail records?  |     |    |                |
| 5. Does the electronic software selected comply with DOE-STD-4001-200 "Design Criteria Standard for Electronic Records Management Software Applications"? |     |    |                |
| 6. Does the RLO/RMFO review CPIC proposals (Exhibit 300's) to ensure records management provisions have been addressed?                                   |     |    |                |
| 7. Are electronic records upgraded as software/ hardware changes?   |     |    |                |
| 8. If electronic legacy records are not updated, are older versions of software/hardware maintained so records can be accessed?                           |     |    |                |
| 9. Does the site routinely back up electronic systems to safeguard against loss of data?<br>How long are backups kept?                                    |     |    |                |
| Comments:   |     |    |                |

**INFORMATION ACCESS**

*A successful records management program contains access controls to protect information and records against loss, destruction or alteration; and to ensure security requirements are met.*

|  | <b>YES</b> | <b>NO</b> | <b>NOT<br/>APPLICABLE</b> |
|--|------------|-----------|---------------------------|
| 1. Are RMFO/Liaisons familiar with the requirements governing classified and sensitive material?   |            |           |                           |
| 2. Are appropriate controls provided for records that are viewable only to authorized personnel?   |            |           |                           |
| 3. Are RMFO/Liaisons aware of Privacy Act and FOIA requirements?   |            |           |                           |
| 4. Are RMFO/Liaisons aware of the DOE cyber security requirements for the protection of information and information systems?                         |            |           |                           |
| 5. Are procedural controls in place on electronic systems to protect the integrity of records and their legal admissibility under rules of evidence? |            |           |                           |
| 6. Are exit procedures in place to prevent the alienation of Federal records?  |            |           |                           |
| 7. Are employees familiar with policies regarding personal papers?   |            |           |                           |
| 8. Are finding aids available to help locate records?<br>a. Manual   |            |           |                           |
| b. Electronic  |            |           |                           |
| Comments:  |            |           |                           |

**RECORDS TRANSFER AND STORAGE**

*A successful records management program provides storage that meets regulatory requirements for all records regardless of media.*

|  | YES | NO | NOT<br>APPLICABLE |
|--|-----|----|-------------------|
| 1. Are Federal Records Centers used to store records?  |     |    |                   |
| 2. Do on-site storage locations meet Federal regulations?  |     |    |                   |
| 3. a. Has a dedicated Records Storage Facility been constructed on site?<br>b. Percent of facility in use?               |     |    |                   |
| 4. Is additional commercial space leased for records storage?  |     |    |                   |
| 5. Does the leased space meet Federal regulations?   |     |    |                   |
| 6. Are specialty records such as film stored in appropriate climate-controlled space?                                    |     |    |                   |
| 7. Do procedures clearly define and separate active and inactive records?  |     |    |                   |
| 8. Are inactive records sent routinely to records storage?   |     |    |                   |
| 9. How are inactive records tracked?<br>a. Manually<br>b. Electronically   |     |    |                   |
| 10. Are employees aware of the procedures for retiring and retrieving records?   |     |    |                   |
| 11. Is there an ongoing effort to increase the use of electronic media and reduce the amount of physical space required? |     |    |                   |
| 12. How are temporary electronic records transferred to storage?<br>a. CD ROM<br>b. Other, specify                       |     |    |                   |
| Comments:  |     |    |                   |

**PERMANENT AND VITAL RECORDS**

*Permanent records have historical or other value that warrants preservation beyond their original purpose. Vital records are essential to the continued functioning of the Government during and after an emergency.*

|   | YES | NO | NOT APPLICABLE |
|---|-----|----|----------------|
| 1. Does your site/office create Permanent records?  |     |    |                |
| 2. a. Are Permanent records routinely transferred to the National Archives?<br>b. Date of last transfer?<br>c. Are they transferred electronically? |     |    |                |
| 3. Are RMFO/Liaisons familiar with the procedures for transferring Permanent records?   |     |    |                |
| 4. Do employees understand the definition of Permanent records and how to identify them?  |     |    |                |
| 5. Are Permanent records 20 years or older maintained on site?  |     |    |                |
| 6. Does the site/office have an inventory of vital records?   |     |    |                |
| 7. Are local procedures in place to help employees identify vital records?  |     |    |                |
| 8. Are RMFO/Liaisons aware of how and where vital records are stored?   |     |    |                |
| 9. Are vital records stored properly and duplicates updated routinely?  |     |    |                |
| 10. Was a risk analysis performed to determine the best storage method?   |     |    |                |
| 11. Were the RMFO/Liaisons included in the selection of protection methods and storage facility for vital records?                                  |     |    |                |
| 12. Have local resources been identified that can perform restoration on damaged records?   |     |    |                |
| Comments:   |     |    |                |

**TRAINING**

*A successful records management program provides adequate training in all aspects of records management on an ongoing basis. Records management training is not only crucial for the users but for the records officers, managers, and liaisons as well.*

|  | YES | NO | NOT APPLICABLE |
|--|-----|----|----------------|
| 1. Are employees made aware of the provisions of the law relating to unauthorized destruction, removal, or mutilation of records?  |     |    |                |
| 2. Do employees know to whom to report such actions?   |     |    |                |
| 3. Are personal papers defined in the course of training?  |     |    |                |
| 4. Are working papers defined in the course of training?   |     |    |                |
| 5. Are vital records defined in the course of training?  |     |    |                |
| 6. Are permanent records defined in the course of training?  |     |    |                |
| 7. Is there an effective program in place to ensure records are not removed, destroyed, or lost when individuals leave employment? |     |    |                |
| 8. Is there a regular reminder in place on the management of Federal records?  |     |    |                |
| 9. How often is training provided?   |     |    |                |
| 10. What type of training is provided?<br>a. Classroom<br>b. Online<br>c. One-on-one<br>d. Other, specify.                         |     |    |                |
| 11. To whom is training made available?<br>a. Managers/Supervisors<br>b. Engineers/Scientists<br>c. Records/Administrative Staff   |     |    |                |
| Comments:  |     |    |                |

## ATTACHMENT 4 - DEPARTMENTAL EVALUATION AND SITE VISIT PROTOCOL

1. The Departmental Records Officer will provide in writing to the PRO a sixty-day notice of intent to evaluate, along with recommended sites to be visited and areas to be examined.
2. The PRO will notify sites to be visited and coordinate mutually agreeable dates with the Departmental Records Officer.
3. The PRO will provide an overview of the organization's Records Management Program and make summaries of assessments available for review prior to the evaluation.
4. The PRO will highlight changes made to the program and future plans for improvement.
5. Field site visits may include the PRO and shall not exceed three days unless specified in writing. Field sites will provide an overview of:
  - The general work of the site and types of records created
  - Federal and Contractor Records Programs
  - Records storage facilities
  - Current initiatives
  - Issues and challenges
6. Field sites may be asked to:
  - Provide a tour of:
    - Records storage facilities
    - Central file areas and vaults
  - Arrange meetings with:
    - Records Liaisons.
7. Evaluators may ask to review any of the following:
  - Inventories
  - Records Tracking Systems
  - Internal policies/procedures
  - Budgets
  - Self-assessments and Program Assessments
  - Electronic Document Management/Electronic Recordkeeping Systems
  - E-mail pilots/results
  - Copies of SF-258's/Permanent Records Repository
  - Training materials.
8. Evaluators will summarize preliminary findings and present results to:
  - Site Manager or designated management contact



- PRO
  - RMFO.
9. Final reports shall be prepared and sent to the Head of the Program Office by the Chief Information Officer or a designee.
  10. The PRO shall address in writing the findings and outline corrective actions taken and/or planned within ninety days of receiving the final report.

## ATTACHMENT 5 - DEFINITIONS

1. ACCESSION. The transfer of the legal and physical custody of permanent records from an agency to the National Archives.
2. CASE FILES. Records, regardless of media, that document a specific action, event, person, place, project, or other matter. Case files include personnel, project, or transaction files, which are types of case files.
3. CODING. Usually, coding is used to mean placing a numeric code on subject correspondence. It serves as a shorthand technique. Instead of writing out the complete subject title, a short code is substituted. In another type of usage, coding is used to mean applying a code of some type to other types of records, i.e., placing a numeric code on a case file document. In addition, alphabetic letters are used to code documents.
4. CUTOFF.
  - a. Correspondence Files. Correspondence files are cut off (broken or ended) at regular time intervals to permit their transfer, retirement, or destruction in a complete file blocks. New files are then established.
  - b. Case Files. Case files are generally cut off (broken or ended) at the end of the year in which the case is closed.
5. DISPOSITION. A broad term that may refer to any of the following:
  - a. Destroying records;
  - b. Offering and transferring those records accepted to the National Archives;
  - c. Retiring or transferring records to a records storage facility;
  - d. Transferring records from one office or agency to another; and
  - e. Donating records to a Government or non-Government entity.
6. DOCUMENTARY MATERIALS. A collective term for records, nonrecord materials, and personal papers that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording.
7. ELECTRONIC RECORD. Electronic record means any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.

8. FEDERAL RECORDS CENTER (FRC). A storage facility established for the receipt, maintenance, servicing, and disposition of records that are retired in accordance with schedules established by this handbook. The NARA operates a system of FRCs that DOE is authorized to use.
9. FILES CUSTODIAN. The individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as "recordkeeper."
10. FILE STATION. A file station is an organizational unit where records are maintained.
11. FROZEN RECORDS. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.
12. LIFE CYCLE OF RECORDS. The management concept that records pass through three stages: creation, maintenance and use, and disposition.
13. LOW-COST STORAGE. Facilities specially designed for the storage of records. Includes records holding areas and FRCs.
14. MEDIUM. The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded.
15. NONRECORD MATERIALS. Nonrecord materials consist of information, contained on any media, having no documentary or evidential value. The term includes stocks of publications, library material, duplicate copies of file material such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as worksheets, informal notes, and routing slips. Nonrecord material should be destroyed when its purpose is served.
16. PERMANENT RECORDS. Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes.
17. PERSONAL PAPERS. Personal papers consist of documentary materials belonging to an individual that are not used to conduct official business. They relate solely to the individual's own affairs and are used exclusively by the individual for personal convenience. Personal papers must be clearly designated as such and kept separate from official records. Personal files or personal records are additional terms used to refer to personal papers.
18. PROGRAM RECORDS. Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

19. RECORDS. Records of the Department are books, papers, photographs, machine readable-materials, maps, or other documentary materials, regardless of physical form or characteristics, that have documentary or evidential value. Such materials, created or received in connection with the transaction of official business, are preserved because of their informational value as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities. Records, also referred to as record material or Government records, can be destroyed only according to the provisions of authorized disposition schedules.
20. RECORDS DISPOSITION SCHEDULES. A comprehensive listing and description of records created or accumulated that shows all legally authorized action to be taken in relation to the retention and disposition of the records. Records disposition schedules provide for cutting off records and carrying out their disposition.
21. RECORDS HOLDING AREA. A local low-cost records storage facility, often staffed on a part-time basis, for the economical storage of noncurrent records pending their destruction or transfer to an FRC.
22. RECORDS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.
23. RECORDS SERIES. Also called a file series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes.
24. RETIREMENT. The transfer of records to agency storage facilities or a Federal records center.
25. SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.
26. TEMPORARY RECORDS. Records approved by NARA for disposal, either immediately or after a specified retention period.
27. UNSCHEDULED RECORDS. Records whose final disposition has not been approved by NARA.

28. VITAL RECORDS. Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program.

## ATTACHMENT 6 - REFERENCES

The references listed below provide additional clarification and requirements for the DOE Records Management Program.

1. DOE O 243.1, *Records Management Program*, dated 2-3-06, <http://www.directives.doe.gov/pdfs/doe/doetext/neword/243/o2431.pdf>
2. DOE O 243.1, *Vital Records*, dated 2-2-06, <http://www.directives.doe.gov/pdfs/doe/doetext/neword/243/o2432.pdf>
3. DOE N 150.1, *Continuity of Operations*, dated 1-14-05, <https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/150/n1501.pdf>.
4. DOE O 414.1C, *Quality Assurance*, dated 6-17-05, [www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf](http://www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf).
5. 36 CFR, Chapter 12, Subchapter B, "Records Management," [www.archives.gov/about\\_us/regulations/subchapter\\_b.html](http://www.archives.gov/about_us/regulations/subchapter_b.html).
6. 44 U.S.C., Chapters 21, 29, 31, 33, and 35 [www.access.gpo.gov/uscode/title42.html](http://www.access.gpo.gov/uscode/title42.html).
7. E-Government Act of 2002 (P.L. 107-347, 44 U.S.C. Ch 36), <http://uscode.house.gov/download/pls/44C36.txt>.
8. Freedom of Information Act [P.L. 89-487, 5 U.S.C. 552 (g)], <http://uscode.house.gov/download/pls/05C5.txt>.
9. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
10. Records management section of the DOE Chief Information Officer Web site, <http://cio.doe.gov/RBManagement/Records/records.html>.
11. DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000, [www.eh.doe.gov/techstds/standard/std4001/std400100.pdf](http://www.eh.doe.gov/techstds/standard/std4001/std400100.pdf).
12. DOE Numbered Memorandum 05-01, "Interim Records Management Policy for Records Management"