



U.S. DEPARTMENT OF ENERGY
Electronic Recordkeeping System Questionnaire

DOE F 243.5
(11/2016)

Electronic Recordkeeping System Questionnaire Directions

Complete one form for each electronic information system in coordination with the system administrator, records contact, and subject matter expert. Local General Counsel may also be consulted during completion of this form.

Multiple pages may be submitted if there is not enough room for all of the information required.

Submit the completed form to DOERM@hq.doe.gov for consideration. DOERM will follow up and work with the program to schedule the system as needed, prior to NARA submission.

1. What is the name of the system?

Provide the full name and acronym (if applicable) of the system.

2. Who are the primary contacts for this system?

System Owner: List the program responsible for the overall procurement, development, integration, modification, operation, maintenance, and retirement of the electronic information system. The System Owner is a key contributor in developing system design specifications to ensure the security and user operational needs are documented, tested, and implemented.

For this field, list both the primary organization and the sub-organization if appropriate. Be sure to spell out any acronyms or organization codes.

Example:

“Office of the Chief Information Officer (OCIO), Enterprise Records Management Division (IM-23.1)”

System Administrator: List the system administrator is the individual who primarily operates and deals with the system on a day to day basis. Please provide any applicable phone numbers and email addresses.

Subject Matter Expert: List a subject matter expert who is familiar with the records and the associated business process. Please provide phone numbers and email addresses.

Program Records Contact: List the records contacts who can answer or assist with records associated questions for this system. Records contacts would include: any PROs, RLOs, RMFOs, or CRCs. Please provide phone numbers and email addresses.

3. What is the purpose and function of the system?

Provide a brief summary (approximately 2-5 sentences) to include:

- The reason for the system
- Any requirements the system meets
- What business process or function it supports
- What type of information does it compile and about what?

4. What are the statutes, regulations, or policies that cover the information retained within the system?

Provide any relevant statutes, regulations, or policies that pertain to the data production and retention associated with the system. Provide a summary of the requirements.

If unknown, coordinate with subject matter expert or General Counsel.

Example:

44 USC 2111, 44 USC 2904, 36 CFR 1224.10 - requires retention of appropriate records according to approved records schedules

DOE O 243.1b, Records Management Program – Requires retention of appropriate records according to approved DOE records schedules and GRS

5. What is the date range of the information held within the system?

Provide the inclusive date range of the records held in the system.



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Example:

Date range: 1996 through 2005

6. What is the current volume and the estimated annual growth of the information within the system (if known)?

Provide the volume and estimated annual growth by dividing the current volume by the number of years of information contained within the system.

Example:

Volume: 300 GB

Annual Growth: 15 GB

7. Is the system (and the records within) regularly backed up?

Select "yes" or "no."

If "yes" is selected, please provide any details regarding the backup process including, but not limited to, how often and when the records are backed up.

8. Does the system have any controls or protections to ensure unauthorized changes or destruction of records does not occur?

Select "yes" or "no."

If "yes" is selected, please provide any details available including:

- How the records are protected from loss (such as from system hardware failure, application updates, database structure changes, etc.)
- How the record is protected from changes once an approval or declaration of the record has occurred
- How changes to the application are controlled and documented

If "no" is selected, please explain.

9. Is there any system documentation available, such as user manuals, screenshots, etc.?

Select "yes" or "no."

If "yes" is selected, please provide any details on the documentation available. Documentation might include but is not limited to codebooks, records layout, wireframes, user manual, screenshots, etc. Any documentation that provides details on the retirement process for the system should also be provided, including how the data will be migrated or transferred to another system.

10. Does this system receive information (also called inputs) from other systems, whether internal or external to DOE, or from any other sources?

Select "yes" or "no."

If "yes" is selected, please list:

- The information that is received
- Any system(s) from which the information is received
- How the information is inserted or received by the system
- Whether the information is:
 - Hardcopy scanned from a paper record (provide details on scope of automation and process for replacing hardcopy records)
 - An electronic record
 - Information from a migration
 - Other, etc.



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If the list is very long or there is associated documentation that would be useful during review of the completed form, please select "additional pages are attached" and provide along with submission of form.

11. Does this system produce any information or documents (also called outputs), such as tables, charts, reports, electronic files, etc.?

Select "yes" or "no."

If "yes" is selected, provide the documents that are produced by the system and describe their overall purpose/function, content, and frequency with which it is generated. Include any details that may assist with understanding their use within the office.

12. Does this system receive, contain, or produce any information with Personally Identifiable Information (PII) or special security classifications or concerns?

Select "yes" or "no."

If yes is selected, please provide more information.

For systems containing PII, please provide details on the types of PII and any special controls or protections. This might include but is not limited to: encryption, access controls, Privacy Impact Assessments (PIAs) completed, System of Record Notice (SORN), etc. If a PIA and SORN has been completed for this system, please provide the assessment and notice as supplement to this questionnaire.

If no PIA or SORN exists for a system containing PII, contacting the Privacy Office or your local privacy officer is highly recommended.

For systems with special security classifications or concerns, please list the concerns such as: level of classified information, Restricted Data (RD), Formerly Restricted Data (FRD), National Security Information (NSI), etc. Also briefly describe any special controls or protections that might impact how the information is maintained and eventually destroyed or permanently transferred.

13. Are there any approved General Records Schedules (GRS) or DOE records schedules that apply to this system?

Select "yes," "no," or "don't know."

If "yes" is selected, provide all NARA Authority numbers with the appropriate item number, name, description, and disposition. Also provide any internal DOE Records schedules (such as DOE Administrative Schedules) as well.

Example:

NARA Authority Number: N1-434-01-8, item 1.1.1 a

DOE Records Schedule: DOE ADMIN 16 item 1.1.1 a

Name: Internal Publications

Summary: Internal publications such as newsletters and bulletins that relate to the mission of the Department and include articles on major program and laboratory activities, personnel (at work), experimental methods and results which document projects of scientific, technical or public interest, agency sites and their growth, high-level, one-of-a-kind meetings, ceremonies or events, and/or high-level officials carrying out transactions of political, scientific, technical or public interest. These publications provide unique historical documentation of the internal operations and development of DOE's programs and organizations.

a. Official/Editor's Copy

Disposition: Permanent. Cutoff file annually. Transfer to NARA 20 years after cutoff.



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If “no” or “don’t know” is selected, the DOERM program will work with you to identify any existing schedules and/or schedule as needed.

If documentation exists that would be useful for this question, please select “Additional pages are attached” and provide in submission with form.

14. If a GRS or DOE records schedule does not currently exist, has the program drafted a proposed records schedule?

Select “yes” or “no.”

If “yes” is selected, provide the recommended series titles, summaries, and disposition periods for the records. A justification for the proposed disposition is required. Justification must include: a verifiable reason, fact, or circumstance that requires why a records must be maintained for the period being proposed.

If a schedule is already being drafted, provide the name of the schedule and current status.

If “no” is selected, and the program doesn’t wish to provide a proposed disposition, DOERM will work with the program to begin to draft a schedule. Without a proposed schedule, the time to process the request to schedule the system could be longer.

If there is not enough room to type the proposed schedule(s) or documentation exists that would be useful for this question, please select “Additional pages are attached” and provide in submission with form.

Definitions:

Codebook: a type of document used for gathering and storing codes. This document may have to be scheduled if an appropriate schedule does not exist.

Classified Information: Information designated as classified, based on the authorities granted to DOE under the Atomic Energy Act (AEA) and under Executive Order (EO) 13526. In both authorities, classification uses three levels (confidential, Secret, Top Secret) to define the severity of damage to national security. Classified information is subdivided into different categories depending on the authority and rules used to handle the specific information.

Electronic Information System: A system that contains and provides access to computerized federal records and other information (36 CFR 1236.2). The system is the organized collection, processing, transmission and dissemination of information in accordance with defined procedures. The system includes the inputs and outputs that are generated, as well as the master files. The system may contain budgetary, fiscal, social, economic, scientific-technical or program-related data and information, operated in support of DOE programs and management responsibilities.

Formerly Restricted Data: Classified information which has been removed from the Restricted Data category after DOE and the Department of Defense have jointly determined that it relates primarily to the military utilization of atomic weapons, and can be adequately safeguarded as national security information.

Inputs: Input records are the source of the information someone enters into an electronic system. You use them to create, update, or modify master files DOE keeps to meet recordkeeping requirements under a NARA-approved records schedule. Input records may be electronic or hardcopy documents. They may include records such as upload files staged for ingest into a system or hardcopy forms scanned or otherwise entered into the system.

Master file: Master files are the actual content of the electronic system or, in other words, the recordkeeping copy of an electronic system. Master files may consist of data, scanned text, PDFs, digital images, or some other form of electronic information. They may include the information content of an entire system or that of a group of related files. Related records within a single master file are not always the same format.



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Outputs: Output records are derived directly from the system master file. An example is a report that DOE staff prints from the system by clicking on a field or radio button in the system. By contrast, reports created using system information but not created directly from the system itself are not system output records. An example is an annual report that DOE staff prepares based on reviewing information in the system.

Privacy Impact Assessment (PIA): A process used to evaluate the collection of personal data in information system. The PIA determines if collected personal information data is necessary and relevant. The PIA identifies and addresses information privacy when planning, developing, implementing and operating individual agency information management systems and integrated information systems. A PIA will assess security and privacy risks associated with operating information systems that collect, access, use, or disseminate personal information.

Recordkeeping system: A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

Record Layout: Describes out a record is laid out or displayed in a system. It can define a sequence or order of items or can be a visual resource, where tables are drawn to show how information is going to be presented.

Restricted Data: All data concerning (1) design, manufacture, or utilization of atomic weapons; (2) the production of special nuclear material; or (3) the use of special nuclear material in the production of energy, but shall not include data declassified or removed from the Restricted Data category pursuant to section 142 of the Atomic Energy Act of 1954.

System of Record Notice: A group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifier assigned to the individual. The Privacy Act requires each agency to publish notice of its systems of records in the Federal Register. This notice is generally referred to as a System of Records Notice or SORN.

Wireframe: A visual guide that portrays how a page or screen of a system may look. Wireframes can help determine the structure of a page or screen, the layout of content, functionality of the system,