U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 243.1

Approved: 2-3-06
Review: 2-3-08
Expires: 2-3-10

SUBJECT: RECORDS MANAGEMENT PROGRAM

1. OBJECTIVES.

   a. To set forth requirements and responsibilities for implementing and maintaining a cost-effective records management program throughout the Department of Energy (DOE).

   b. To provide for—

      (1) awareness that records management is a part of the job of every DOE employee and contractor (i.e., documentation of activities is essential to ensuring that DOE's performance and accomplishments can be preserved and made available to the citizens of the United States and the Department's staff);

      (2) adequate and proper documentation of DOE activities, organization, functions, policies, decisions, procedures, and essential transactions;

      (3) maintenance and use of records supporting DOE activities;

      (4) proper records disposition; and

      (5) economy and efficiency in the execution of the DOE Records Management Program.

   c. To comply with the Federal Records Act [Public Law (P.L.) 81-574], as amended, and other legislation as listed in the references (paragraph 7).

   d. To protect the legal and financial rights of the Government and individuals directly affected by Government activities.

   e. To preserve historical information, thereby enabling DOE and DOE contractors and their successors to retrieve information needed to make informed decisions.

2. CANCELLATIONS. None.

3. APPLICABILITY.

   a. DOE Elements. Except for the exclusions in paragraph 3c, this Order applies to all DOE elements. (See Attachment 1 for a complete list of DOE elements.) This Order automatically applies to DOE elements created after it is issued.

The National Nuclear Security Administration (NNSA) Administrator shall assure that NNSA employees and contractors comply with their respective responsibilities under this Order.

b. DOE Contractors. Except for the exclusions in paragraph 3c, the CRD (Attachment 2) sets forth requirements to be applied to contractors that create, receive, use, maintain, disseminate, and/or dispose of DOE records in connection with the performance of DOE-funded tasks or activities.

(1) The Contractor Requirements Document (CRD), Attachment 2, sets forth requirements of this Order that will apply to site/facility management contractors. Contractor compliance with the CRD will be required to the extent set forth in a contract

(2) The CRD must be included in site/facility management contracts that may involve the receipt, creation, use, maintenance, dissemination and/or disposition of DOE records.

(3) The office identified in the responsibilities paragraph is responsible for notifying the contracting officer of which site/facility management contracts are affected. Once notified, the contracting officer is responsible for incorporating the CRD into the laws, regulations, and DOE directives clause of each affected site/facility management contract.

(4) As the laws, regulations, and DOE directives clause of a site/facility management contract states, regardless of the performer of the work, the site/facility management contractor with the CRD incorporated into its contract is responsible for compliance with the requirements of the CRD.

(a) An affected site/facility management contractor is responsible for flowing down the requirements of the CRD to subcontractors at any tier to the extent necessary to ensure the site/facility management contractor's compliance with the requirements.

(b) The contractor must not flow down requirements to subcontractors unnecessarily or imprudently. That is, the contractor will—

1 ensure that it and its subcontractors comply with the requirements of the CRD to the extent necessary to ensure the contractor's compliance and

2 only incur costs that would be incurred by a prudent person in the conduct of competitive business.

c. Director, Naval Nuclear Propulsion Program. In accordance with the responsibilities and authorities assigned by Executive Order 12344 [statutorily prescribed by 42 United States Code (U.S.C.) 7158, note] and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, the Director will implement and oversee all practices pertaining to this DOE Order for activities under the Director's cognizance.

4. REQUIREMENTS. The following requirements must be met to ensure a DOE records management program that meets the objectives of this Order.

a. Implement a records management program that complies with the requirements for managing records in all formats, including early capture and control throughout their life cycles.

(1) Electronically formatted records will be maintained in an approved electronic records management application meeting the requirements of DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000.

(2) E-mail records will be managed along with their metadata, including a list of recipients and time of receipt, if available.

(3) Electronic systems, such as instant messaging, that are not regularly backed up and controlled should not be used for conducting official Departmental business.

(4) Until an electronic records management system is available and implemented, electronic records will be printed and retained as paper files.

b. Create and maintain current file plans/indexes that describe all categories of records created, received, and maintained by personnel in the course of their official duties.

c. Preserve and disposition records in accordance with National Archives and Records Administration (NARA)-approved records disposition schedules, as posted on the DOE Office of the Chief Information Officer (OCIO) Records Management Web pages (http://cio.doe.gov/RBManagement/Records/records.html).

d. Preserve records placed under a destruction moratorium (freeze) as necessary to support audits, court cases, Freedom of Information Act appeals, or similar obligations.

e. Request disposition authority from NARA, through the Departmental Records Officer, for all unscheduled records.

f. Store records in a manner that meets the requirements of Title 36 Code of Federal Regulations (CFR) 1228, Subpart K [36 CFR 1228.220-1228.244]. Unscheduled records are not to be sent offsite for storage at either NARA or commercial facilities.

g. Review capital planning and investment control (CPIC) proposals and information architecture plans for electronic records management provisions.

h. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.

i. Ensure records management program training is provided for all personnel with records management responsibilities on a regular basis.

j. Identify vital records and preserve them to ensure they are maintained, kept current and where appropriate, available in the event of a continuity of operations or catastrophic event (see reference paragraph 7a and related directives).

k. Ensure the site exit process includes a requirement for the transfer of custodianship of Federal records to another employee or a records liaison officer (RLO) when employees leave on a permanent or long-term basis to prevent inadvertent loss, destruction, or alienation of Federal records.

5. RESPONSIBILITIES.

a. DOE Chief Information Officer (through the Departmental Records Officer).

(1) Develops and administers DOE policies and directives related to the requirements of this Order and provides oversight in their implementation.

(2) Provides overall leadership and management of DOE records management-related activities as required by Federal laws, Executive orders, regulations, DOE directives, and Departmental established or accepted standards.

(3) Serves as the DOE point of contact with NARA, other Federal agencies, and the public sector for issues related to the records management program.

(4) Provides oversight to ensure implementation of policies and procedures for the adequate and proper documentation of DOE activities and decisions.

(5) Identifies the responsibilities of DOE Headquarters (HQ) program offices senior-level representatives (and their associated field entities).

(6) Coordinates with the HQ program records officials (PROs) in the implementation of the DOE Records Management Program throughout the DOE complex.

(7) Establishes and chairs the Records Management Advisory Council.

b. Heads of DOE Elements.

(1) Establish, implement, and sustain records management programs within their respective organizations for adequate and proper documentation of DOE mission-related programs in accordance with the requirements of all Federal laws and regulations, Executive orders, DOE Orders and directives, accepted external standards, and authoritative issuances (e.g., DOE numbered memos or NARA guidance).

(2) Provide for adequate and proper documentation of actions related to DOE mission-related programs in accordance with recordkeeping requirements.

(3) Provide staff resources to support records management processes within their respective organizations by appointing the following staff members.

(a) A senior-level PRO with HQ and program field site oversight and signature authority to approve records issues for the program and be the program liaison with the Departmental Records Officer.

(b) At least one RLO to provide day-to-day administration of an organization's records management program and to act as liaison with the PRO.

(c) A records management field officer (RMFO) at each field site or office to implement the records management program at field and area offices in their respective organizations and to act as liaison with the HQ PRO and provide oversight and guidance to contractor records management programs.

(4) Provide names and contact information for the designated PROs, HQ RLOs, and RMFOs to the Departmental Records Officer.

(5) Designate responsible individuals (normally PROs) for identifying the contracts in which CRDs must be included and notifying contracting officers of affected contracts.

c. Program Records Officials, Records Liaison Officers, and Records Management Field Officers. The PRO is responsible for the following program activities supporting the DOE Records Management Program. Except for the items marked

"PRO," these activities may be delegated to the RLOs and the RMFOs for their individual offices and sites.

(1) Coordinate the records management programs within their respective organizations to ensure compliance with this Order through the designated RLOs and RMFOs. (PRO)

(2) Identify site/facility management contracts to which the CRD of this Order applies, and notify the contracting officials if designated pursuant to paragraph 5b(5). (PRO)

(3) Work in partnership with DOE contracting officials and contractors to ensure records are managed and delivered properly in accordance with the contract. (PRO)

(4) Identify program-specific records and ensure that they are listed on a NARA-approved records disposition schedule.

(5) Identify vital records, which require special handling to ensure their availability for use.

(6) Ensure permanent records are preserved and temporary records are retired, transferred, or destroyed promptly according to NARA-approved records disposition schedules.

(7) Ensure Federal records created or received in connection with major facilities management contracts are—(PRO)

(a) managed in accordance with this Order and with all other relevant Orders, laws, and regulations and

(b) delivered to DOE at intervals, as prescribed by the contracts, or upon termination of the contracts.

(8) Identify new non-major facilities management contract procurements where some or all of the provisions of this Order apply. (PRO)

(a) Ensure records identified as contract deliverables include environment, safety, and health records; financial and technical records; and other records specified as appropriate to the contract scope.

(b) Ensure records identified as contract deliverables are handled in accordance with the requirements of this Order and other relevant Orders, laws, and regulations and are delivered to DOE at appropriate intervals per the contracts or at the termination of the contracts.

(9) Ensure all recordkeeping requirements are established and kept current.

(10) Ensure all personnel with records management responsibilities receive appropriate records management training.

(11) Ensure that DOE Records Management Program provisions and standards are included in the scope and planning for electronic information systems (e.g., the CPIC development and approval process). (PRO)

(12) Assess records management practices in offices under their cognizance at least every 3 years.

(13) Ensure that records are maintained cost effectively and that records storage facilities meet the requirements of 36 CFR 1228, Subpart K. (PRO)

(14) Review and approve costs for the storage of Federal records including the invoices for records stored in the Federal Records Centers, leases for commercial records storage, and requests for construction of onsite storage facilities. (PRO)

(15) Ensure that departing Federal and contractor employees identify and transfer any records in their custody to program files or an appropriate custodian, either the RLO or the person assuming responsibility for the work.

(16) Participate in the Records Management Advisory Council. (PRO)

d. Department of Energy Contracting Officials.

(1) Once notified by their respective PROs, or responsible individuals designated pursuant to paragraph 5b(5), incorporate the CRD into affected contracts.

(2) Work in partnership with PROs/RMFOs/RLOs to ensure that the appropriate records are managed and delivered properly by contractors.

e. Chief Historian.

(1) Assists in identifying, organizing, and preserving records of Secretarial Officers and their staffs.

(2) Works with the Departmental Records Officer to ensure records, archival holdings, photographs, maps, architectural/engineering drawings, and other materials are identified, organized, and preserved in support of DOE's historic records preservation program.

(3) Works with the Departmental Records Officer to provide access to historically significant records throughout DOE.

f. Office of the General Counsel.

(1) Notifies the Departmental Records Officer when a moratorium on records disposition is needed to support litigation or other legal matters.

(2) Supports the submittal of DOE records disposition schedules by reviewing them for legal retention before submittal.

6. DEFINITIONS. See Attachment 3.

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

a. DOE N 150.1, *Continuity of Operations*, dated 1-14-05, https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/150/n1501.pdf.

b. DOE O 200.1, *Information Management Program*, dated 9-30-96, https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/200/o2001.pdf.

c. DOE O 414.1C, *Quality Assurance*, dated 6-17-05, www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf.

d. DOE P 450.4, *Safety Management System Policy*, dated 10-15-96, www.directives.doe.gov/pdfs/doe/doetext/neword/450/p4504.pdf.

e. 36 CFR, Chapter 12, Subchapter B, "Records Management," www.archives.gov/about_us/regulations/subchapter_b.html.

f. 42 U.S.C. 7158, "Naval Reactor and Military Application Programs," http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t41t42+5470+1++%28%29%20%20AND%20%28%2842%29%20ADJ%20USC%29%3ACITE%20AND%20%28USC%20w%2F10%20%287158%29%29%3ACITE%20%20%20%20%20%20%20%20%20.

g. 44 U.S.C., Chapters 21, 29, 31, 33, and 35 www.access.gpo.gov/uscode/title42.html.

h. Office of Management and Budget (OMB) Circular Number A-11, "Preparation, Submission, and Execution of the Budget," Sections 31.8, 53 and Part 7, www.whitehouse.gov/omb/circulars/a11/04toc.html.

i. OMB Circular Number A-130, "Management of Federal Information Resources," www.whitehouse.gov/omb/circulars/a130/a130trans4.html.

j. E-Government Act of 2002 (P.L. 107-347, 44 U.S.C. Ch 36), http://uscode.house.gov/download/pls/44C36.txt.

k. National Nuclear Security Administration Act (Title XXXII of P.L. 106-65), www.nnsa.doe.gov/docs/2004-03-11-Title_XXXII.pdf.

l. Paperwork Reduction Act (P.L. 104-13, 44 U.S.C. 3501 *et seq.*), www.archives.gov/federal_register/public_laws/paperwork_reduction_act/3501.html.

m. Privacy Act [P.L 93-579, 5 U.S.C. 552a(m)], http://uscode.house.gov/download/pls/05C5.txt.

n. Freedom of Information Act [P.L. 89-487, 5 U.S.C. 552 (g)], http://uscode.house.gov/download/pls/05C5.txt.

o. National Archives and Records Administration Publication, "Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications," www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html.

p. Department of Energy Acquisition Regulation, Part 970—DOE Management and Operating Contracts.

(1) 48 CFR 970.5204-3, "Access to and Ownership of Records," http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5204-3.htm.

(2) 48 CFR 970.5232-3, "Accounts, Records, and Inspection," http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5232-3.htm.

(3) 48 CFR 970.0404, "Safeguarding Classified Information," www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.

(4) 48 CFR 970.0407, "Contractor Records Retention," www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.

q. DOE Reference Book for Contract Administrators (Chapter 9), http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/ReferenceBookforContractAdministrators?OpenDocument.

r. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, http://cio.doe.gov/RBManagement/Records/dissched.htm.

s. Records management section of the DOE Chief Information Officer Web site, http://cio.doe.gov/RBManagement/Records/records.html.

t. 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.

8. CONTACT. Questions concerning this Order should be addressed to the Departmental Records Officer, HQ Records Management Division, at 301-903-3455.

BY ORDER OF THE SECRETARY OF ENERGY:

CLAY SELL
Deputy Secretary

DOE ELEMENTS TO WHICH DOE O 243.1 IS APPLICABLE

Office of the Secretary
Departmental Representative to the Defense Nuclear Facilities Safety Board
Energy Information Administration
National Nuclear Security Administration
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Economic Impact and Diversity
Office of Electricity Delivery and Energy Reliability
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management, Budget and Evaluation/Chief Financial Officer
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Bonneville Power Administration
Southeastern Power Administration
Southwestern Power Administration
Western Area Power Administration

CONTRACTOR REQUIREMENTS DOCUMENT
DOE O 243.1, *Records Management Program*

This Contractor Requirements Document (CRD) establishes the requirements for Department of Energy (DOE) and National Nuclear Security Administration contractors who create, use, maintain, receive, disseminate, or dispose of DOE records in connection with the performance of DOE-funded tasks or activities. Contractors must comply with the following requirements.

Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure contractor compliance with the requirements.

As directed by the contracting officer, the contractor must do the following.

1. The following requirements to ensure a DOE records management program that complies with objectives of this CRD.

    a. Implement a records management program in compliance with requirements for managing records in all formats, including early capture and control throughout their life cycles.

        (1) Electronically formatted records will be maintained in an approved electronic records management application meeting the requirements of DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000.

        (2) E-mail records will be managed along with their metadata, including a listing of recipients and time of receipt, if available.

        (3) Electronic systems that are not regularly backed up and controlled (e.g., instant messaging) should not be used for conducting official Departmental business.

        (4) Until an electronic records management system is available and implemented, electronic records will be printed and retained as paper files.

    b. Create and maintain current file plans/indexes that describe all categories of records created, received, and maintained by personnel in the course of their official duties.

    c. Preserve and disposition records in the same manner as National Archives and Records Administration (NARA)-approved records disposition schedules [Title 36, Code of Federal Regulations (CFR), Chapter 12], as posted on the DOE

Office of the Chief Information Officer (OCIO) Records Management Web pages (http://cio.doe.gov/RBManagement/Records/records.html).

d. Preserve records placed under a destruction moratorium (freeze) as necessary to support audits, court cases, Freedom of Information Act appeals, or similar obligations.

e. Request disposition authority from NARA, through the Departmental Records Officer, for all unscheduled records.

f. Store records in a manner that meets the requirements of 36 CFR 1228, Subpart K placed on DOE [36 CFR 1228.220-1228.244]. Unscheduled records are not to be sent offsite for storage at either NARA or commercial facilities.

g. Review capital planning and investment control (CPIC) proposals and information architecture plans for electronic records management provisions.

h. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.

i. Ensure that records management program training is provided for all personnel with records management responsibilities on a regular basis.

j. Identify vital records and preserve them in a manner that ensures they are maintained, kept current and where appropriate, available in the event of a continuity of operations or catastrophic event (see paragraph 4a and related directives).

k. Ensure that the site exit process includes a requirement for the transfer of custodianship of Federal records to another employee or a records liaison officer when employees leave on a permanent or long-term basis.

2. Identify and confirm compliance with additional recordkeeping requirements placed on DOE or Federal contractor activities; environmental, safety, health studies; quality assurance; emergency management; and other mission-related functions.

3. Manage the disposition of Federal records according to NARA-approved schedules and practices. Request disposition authority from NARA, through the records management field officer, the program records official, and the Departmental Records Officer, for all unscheduled records.

4. Use the following standards, schedules, and regulations to implement a records management program that meets the intent of this CRD.

a. DOE N 150.1, *Continuity of Operations*, dated 1-14-05, https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/150/n1501.pdf.

b. DOE O 200.1, *Information Management Program*, dated 9-30-96, https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/200/o2001.pdf.

c. DOE O 414.1C, *Quality Assurance*, dated 6-17-05, www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf.

d. DOE P 450.4, *Safety Management System Policy*, dated 10-15-96, www.directives.doe.gov/pdfs/doe/doetext/neword/450/p4504.pdf.

e. 36 CFR, Chapter 12, Subchapter B, "Records Management," www.archives.gov/about_us/regulations/subchapter_b.html.

f. Title 42 United States Code (U.S.C.) 7158, "Naval Reactor and Military Application Programs," http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t41t42+5423+1++%28%29%20%20AND%20%28%2842%29%20ADJ%20USC%29%3ACITE%20AND%20%28USC%20w%2F10%20%287158%29%29%3ACITE%20%20%20%20%20%20%20%20%20.

g. 44 U.S.C., Chapters 21, 29, 31, 33, and 35 www.access.gpo.gov/uscode/title42.html.

h. Office of Management and Budget (OMB) Circular Number A-11, "Preparation, Submission, and Execution of the Budget," Sections 31.8, 53 and Part 7, www.whitehouse.gov/omb/circulars/a11/04toc.html.

i. OMB Circular Number A-130, "Management of Federal Information Resources," www.whitehouse.gov/omb/circulars/a130/a130trans4.html.

j. E-Government Act of 2002 [Public Law (P.L.) 107-347, 44 U.S.C. Ch 36], http://uscode.house.gov/download/pls/44C36.txt.

k. National Nuclear Security Administration Act (Title XXXII of P.L. 106-65), www.nnsa.doe.gov/docs/2004-03-11-Title_XXXII.pdf.

l. Paperwork Reduction Act, (P.L. 104-13, 5 U.S.C. 1320), http://uscode.house.gov/download/pls/05C5.txt.

m. Privacy Act [P.L 93-579, 5 U.S.C. 552 a (m)], http://uscode.house.gov/download/pls/05C5.txt.

n. Freedom of Information Act (FOIA) [P.L. 89-487, 5 U.S.C. 552 (g)], http://uscode.house.gov/download/pls/05C5.txt.

o. National Archives and Records Administration Publication, "Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC)

Proposals for ERM Applications," www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html.

p. Department of Energy Acquisition Regulation, Part 970—DOE Management and Operating Contracts.

(1) 48 CFR 970.5204-3, "Access to and Ownership of Records," http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5204-3.htm.

(2) 48 CFR 970.5232-3, "Accounts, Records, and Inspection," http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5232-3.htm.

(3) 48 CFR 970.0404, "Safeguarding Classified Information," www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.

(4) 48 CFR 970.0407, "Contractor Records Retention," www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html.

q. DOE Reference Book for Contract Administrators (Chapter 9), http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/ReferenceBookforContractAdministrators?OpenDocument.

r. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, http://cio.doe.gov/RBManagement/Records/dissched.htm.

s. Records management section of the DOE Chief Information Officer Web site, http://cio.doe.gov/RBManagement/Records/records.html.

t. 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.

5. The following definitions are applicable to DOE records management.

a. ADEQUATE AND PROPER DOCUMENTATION. Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.

b. APPRAISAL. Process of determining the value and thus the final disposition of a record series, making them either temporary or permanent.

c. ARCHIVE.

(1) Non-current records of an organization preserved because of their continuing or enduring value.

(2) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency.

d. CAPITAL PLANNING AND INVESTMENT CONTROL (CPIC). Process used to develop and provide the basic information required to plan, budget, acquire and manage information technology resources. The CPIC process is defined in OMB Circular A-11, "Preparation, Submission, and Execution of the Budget."

e. CONTRACTOR-/CORPORATE-OWNED RECORDS. Those that are not identified as Federal records (such as company proprietary information, records unrelated to the work performed under a Federal contract, and other similar records) that thus belong to the contractor. Contractor-/corporate-owned records are defined in the contract.

f. DEPARTMENTAL RECORDS OFFICER. Person assigned responsibility for overseeing the Department of Energy Records Management Program by the DOE Chief Information Officer or his/her designee.

g. DISPOSITION. Actions taken regarding records no longer needed to conduct regular, current business. Title 44 United States Code (U.S.C.) 2901(5) defines records disposition as any activity with respect to—

(1) disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of Federal custody in accordance with the requirements of 36 CFR 1228,

(2) transfer of records to Federal agency storage facilities or records centers,

(3) transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation, or

(4) transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR 1228.

h. DOE ELEMENTS. First-tier organizations at Department of Energy (DOE) Headquarters and in the field, including the National Nuclear Security Administration (NNSA). First-tier organizations at Headquarters include the offices of the Secretary, Deputy Secretary, Under Secretary, Secretarial Officers

Assistant Secretaries, and staff offices. First-tier organizations in the field include operations offices, field and site offices, and the power marketing administrations. Headquarters elements are normally located in the Washington, D.C., metropolitan area; field organizations are all DOE sites (excluding individual duty stations) located outside the Washington metropolitan area. Requirements pertaining to first-tier organizations will normally be passed through to subordinate organizations.

i. ELECTRONIC RECORDS. Information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are preferably kept in recordkeeping systems but may be created, stored, and managed in any form of electronic information system or application program.

j. FILE PLAN. A systematic method of identifying the specific types of records maintained, series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).

k. METADATA. Descriptions of the content, structure, data elements, interrelationships, and other characteristics of records; record profiles or indexing data.

l. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). Agency responsible for appraising, accessioning, preserving, and making available permanent Federal records.

m. NONRECORD MATERIALS. Federally owned informational materials that do not meet the statutory definition of "records" or that have been excluded from coverage by the definition. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit are excluded materials.

n. PERMANENT RECORDS. Those that the National Archives and Records Administration (NARA) determined to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA's Office of the National Archives and later increments of the same records and records for which the disposition is "permanent" on Standard Form 115, Request for Records Disposition Authority, approved by NARA on or after 5-14-73.

o. QUALITY ASSURANCE RECORDS. Those that are created and retained as prescribed under a quality assurance program. These records are controlled under the provisions of an approved procedure and retained as prescribed by the DOE records disposition schedules.

p. RECORDKEEPING SYSTEM. Manual or automated mechanism in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

q. RECORDS. All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States 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 the data in them (44 U.S.C. 3301).

r. RECORDS MANAGEMENT. Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of Agency operations.

s. SCHEDULE. National Archives and Records Administration-approved authorization for the disposition of Federal records. Also called a records disposition schedule. The DOE records disposition schedules are posted on the DOE Chief Information Officer Records Management Web pages at http://cio.doe.gov/RBManagement/Records/dissched.htm.

t. SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular topic, 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. Also called a records series.

u. TEMPORARY RECORDS. Those determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant preservation by the National Archives and Records Administration (NARA). This determination may take the form of—

(1) an Agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority) or

(2) a general records schedule issued by NARA.

v. VITAL RECORDS. Those that are essential to the continued functioning or reconstitution of an organization during and after an emergency including those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Vital records are sometimes

called essential records. Vital records considerations are part of DOE's continuation of operations program.

DEFINITIONS

1. ADEQUATE AND PROPER DOCUMENTATION. Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.

2. APPRAISAL. Process of determining the value and thus the final disposition of a record series, making them either temporary or permanent.

3. ARCHIVE.

   a. Non-current records of an organization preserved because of their continuing or enduring value.

   b. One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency.

4. CAPITAL PLANNING AND INVESTMENT CONTROL (CPIC). Process used to develop and provide the basic information required to plan, budget, acquire and manage information technology resources. The CPIC process is defined in OMB Circular A-11, "Preparation, Submission, and Execution of the Budget."

5. CONTRACTOR-/CORPORATE-OWNED RECORDS. Those that are not identified as Federal records (such as company proprietary information, records unrelated to the work performed under a Federal contract, and other similar records) that thus belong to the contractor. Contractor-/corporate-owned records are defined in the contract.

6. DEPARTMENTAL RECORDS OFFICER. Person assigned responsibility for overseeing the Department of Energy Records Management Program by the DOE Chief Information Officer or his/her designee.

7. DISPOSITION. Actions taken regarding records no longer needed to conduct regular, current business. Title 44 U.S.C. 2901(5) defines records disposition as any activity with respect to—

   a. disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of Federal custody in accordance with the requirements of 36 CFR 1228,

   b. transfer of records to Federal agency storage facilities or records centers,

c. transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation, or

d. transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR 1228.

8. DOE ELEMENTS. First-tier organizations at Department of Energy (DOE) Headquarters and in the field, including the National Nuclear Security Administration (NNSA). First-tier organizations at Headquarters include the offices of the Secretary, Deputy Secretary, Under Secretary, Secretarial Officers and staff offices. First-tier organizations in the field include operations offices, field and site offices, and the power marketing administrations. Headquarters elements are located in the Washington, D.C., metropolitan area; field elements are all DOE sites (excluding individual duty stations) located outside the Washington metropolitan area. Requirements pertaining to first-tier organizations will normally be passed through to subordinate organizations.

9. ELECTRONIC RECORDS. Information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are preferably kept in recordkeeping systems but may be created, stored, and managed in any form of electronic information system or application program.

10. FILE PLAN. A systematic method of identifying the specific types of records maintained, series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).

11. METADATA. Descriptions of the content, structure, data elements, interrelationships, and other characteristics of records; record profiles or indexing data.

12. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). Agency responsible for appraising, accessioning, preserving, and making available permanent Federal records.

13. NONRECORD MATERIALS. Federally owned informational materials that do not meet the statutory definition of “records” or that have been excluded from coverage by the definition. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit are excluded materials.

14. PERMANENT RECORDS. Those that the National Archives and Records Administration (NARA) determined to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA’s Office of the National Archives and later increments of the same records and

records for which the disposition is "permanent" on Standard Form 115, Request for Records Disposition Authority, approved by NARA on or after 5-14-73.

15. QUALITY ASSURANCE RECORDS. Those that are created and retained as prescribed under a quality assurance program. These records are controlled under the provisions of an approved procedure and retained as prescribed by the DOE records disposition schedules.

16. RECORDKEEPING SYSTEM. Manual or automated mechanism in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

17. RECORDS. All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States 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 the data in them (44 U.S.C. 3301).

18. RECORDS MANAGEMENT. Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of Agency operations.

19. SCHEDULE. National Archives and Records Administration-approved authorization for the disposition of Federal records. Also called a records disposition schedule. The DOE records disposition schedules are posted on the DOE Chief Information Officer Records Management Web pages at http://cio.doe.gov/RBManagement/Records/dissched.htm.

20. SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular topic, 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. Also called a records series.

21. TEMPORARY RECORDS. Those that Archivist of the United States determined to have insufficient value (on the basis of current standards) to warrant preservation by the National Archives and Records Administration (NARA). This determination may take the form of—

    a. an Agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority) or

    b. a general records schedule issued by NARA.

22. VITAL RECORDS. Those that are essential to the continued functioning or reconstitution of an organization during and after an emergency including those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Vital records are sometimes called essential records. Vital records considerations are part of DOE's continuation of operations program.