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IMPLEMENTATION GUIDE

for use with

36 CFR CHAPTER XII - SUBCHAPTER B RECORDS MANAGEMENT



Assistant Secretary for Human Resources and Administration
Deputy Assistant Secretary for Information Management

FOR UNLIMITED USE AND DISTRIBUTION

7-19-96

SUBJECT: RECORDS MAINTENANCE AND DISPOSITION

1. PURPOSE. This Guide supplements DOE 1324.5B, RECORDS MANAGEMENT PROGRAM, of 1-12-95, which establishes the records management program. This Guide primarily implements 36 Code of Federal Regulations CHAPTER XII,-- Subchapter B, "Records Management." This Guide provides detailed non-mandatory guidance and an acceptable system for the organization, maintenance, and disposition of records of the Department of Energy (DOE). Appropriate examples are provided for demonstration and application. Other techniques or methods that satisfy the requirements in DOE 1324.5B, applicable regulations, and laws may be used instead of those defined in this Guide.
2. APPLICABILITY. This Guide is intended for use by all DOE components (including their contractors) for records maintenance and disposition.
3. IMPLEMENTATION. To implement this Guide, file systems currently in place may be discontinued at their respective next scheduled files cutoff date. Files lacking scheduled files cutoff dates need to have them established for adoption of the guidelines presented in this Guide.
4. EXPLANATION OF CHANGES. The numerous DOE file systems recommended for discontinuance were limited to guidelines for maintaining records and did not provide for their ultimate disposition. DOE is required to establish and maintain a records scheduling program in accordance with 44 U.S. Code 3102, 3301, and 3303 to to control the creation and disposal of records accumulated. Records disposition schedules are under development for each series of records in DOE or contractor custody. The schedules describe the various records series and provide instructions for their cutoff, retirement to a Federal records center, destruction, or permanent retention. The system recommended by this Guide is an integrated system designed to provide procedures for the management of DOE records from their creation through their disposition.
5. REGULATIONS.
 - a. Requirements. Regulations impose requirements on the Department. See DOE 1324.5B, Records Management Program, for citations of applicable regulations. Requirements that originate as regulatory requirements may not be disregarded because of any omission, mention, or explanation in this Guide. Likewise, nothing in this Guide is intended to revoke, modify, or change

regulations. In addition, nothing in this Guide is intended to add, or impose new requirements not otherwise imposed by regulation.

- b. Reporting. This Guide reflects, interprets, and adds information concerning this Department's organizational responsibilities, operating procedures, and acceptable practices appropriate for satisfying regulatory imposed requirements. Different practices may be substituted to meet requirements. Organization's assigned responsibilities may not be disregarded, however. This Guide merely reflects limited assigned responsibilities and does not establish them. As the included organizational responsibilities are so limited, it was not deemed necessary to create another directive in a different directive series.
 - c. Assistance. The purpose of this Guide is to provide helpful guidance, assistance, and interpretation. This Guide also provides clarification, examples, acceptable practices, and information. If this Guide is viewed as being other than helpful, please refer to the appropriate regulations for direct compliance with them.
6. CRIMINAL PENALTIES. In Title 18 United States Code Chapter 101, Records and Reports, Section 2071, Concealment, Removal, or Mutilation Generally; criminal penalties are provided for willful and unlawful concealment, removal, mutilation, obliteration, falsification, or destruction of Federal records.
 7. FORMS. Use of the following forms is appropriate:
 - a. Continuity Reference (Optional Form 22);
 - b. Cross Reference (Optional Form 21);
 - c. File Charge-Out Record (Optional Form 23);
 - d. Records Maintenance and Disposition Instructions (DOE F 1324.14 Optional);
 - e. Reference Request--Federal Records Centers (Optional Form 11);
 - f. Records Transmittal and Receipt (Standard Form 135);
 - g. Records Transmittal and Receipt (Continuation) (Standard Form 135-A); and
 - h. Request for Official Personnel Folder (Standard Form 127).
 8. CLASSIFIED RECORDS. Approved records disposition schedules are required for

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 the security requirements and procedures affecting classified records, see DOE O 471.2, INFORMATION SECURITY PROGRAM; DOE M 471.2-1, MANUAL FOR CLASSIFIED MATTER PROTECTION AND CONTROL; and their accompanying CONTRACTOR REQUIREMENTS DOCUMENT FOR THE INFORMATION SECURITY PROGRAM.

9. TRAINING. This Guide should be of use to those interested in reading for themselves about the basic requirements imposed on the Department by regulations that concern records maintenance and disposition. Likewise, instructors may find it useful in supplementing other training provided in this subject matter area.
10. SUMMARY. This Guide is composed of 14 Chapters that recommend systems and techniques for records maintenance and disposition.
11. REFERENCES. The references in DOE 1324.5B, RECORDS MANAGEMENT PROGRAM, of 1-12-95, are applicable to this Guide. This Guide primarily implements Title 36 Code of Federal Regulations Chapter XII, Subchapter B, "Records Management." See also DOE M 251.1-1, DIRECTIVES SYSTEM MANUAL, of 10-16-95, Chapter I, Paragraph 5b, "Subject Matter Categories."
12. DEFINITIONS. See Attachment 1.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
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DEFINITIONS

1. CASE FILES. Records, regardless of media, 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.
2. CODING. Usually, coding is used to mean placing a numeric code from the subject matter categories contained in DOE M 251.1-1 on subject correspondence. It serves as a shorthand technique. Instead of writing out the complete subject title, a short code is substituted. Also, coding can mean placing other subject matter codes from other sources on subject correspondence. 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.
3. 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.
4. DISPOSITION. A broad term which 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.
5. 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.
6. 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.

7. FEDERAL RECORDS CENTER (FRC). A storage facility established for the receipt, maintenance, servicing, and disposition of records which are retired in accordance with schedules established by this Guide. The National Archives and Records Administration operates a system of Federal records centers which DOE is authorized to use.
8. FILES CUSTODIAN. The individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as "recordkeeper."
9. FILE STATION. A file station is an organizational unit where records are maintained.
10. LOW-COST STORAGE. Facilities specially designed for the storage of records. Includes records holding areas and Federal records centers.
11. 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. Non-record material should be destroyed when its purpose is served.
12. 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.
13. RECORDS. Records of the Department of Energy are books, papers, photographs, machine readable materials, maps, or other documentary materials, regardless of physical form or characteristics, which 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.
14. RECORDS DISPOSITION SCHEDULES. A comprehensive listing and description of records created or accumulated which 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.

15. 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 a Federal records center.

16. RECORDS SERIES. Also called a files 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.

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CHAPTER I

GUIDE OVERVIEW

1. CHAPTER PURPOSE. This Chapter provides records management objectives. It also provides brief information about each of the other Chapters in this Guide.
2. 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 files 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 Non-Paper Mediums. The agency responsible for preserving the historical documents of the nation, the National Archives and Records Administration, has a new major concern today: That historical records in mediums other than paper 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. RECORDS LIFE CYCLE CONCEPT. Life cycle terms are used to describe records as being current, semicurrent, and noncurrent. The terms do not refer to the date or age of the records, but rather to their use in the current daily work of the office.
 - a. Current Records. Current records are used daily in the work of the office.
 - b. Semicurrent Records. Semicurrent records are used somewhat less than current records in the daily work of the office. These records may be maintained in office space or elsewhere, however, space availability and volume should be used as determining factors in making the decision to maintain the records in low- cost storage.
 - c. Noncurrent Records. Noncurrent records are not used daily in the work of the office, but are not yet authorized to be destroyed. They should be stored at a location other than the office where the space for storing them costs less than office space. When required for current use, folders are retrieved from the files and delivered to the office for use. Upon completion of their use, the folders are sent back to the storage location. When authorized for further disposition such as destruction or transfer to the National Archives for permanent retention as historical records, this action is taken at the scheduled time.
 - d. Electronic Records, Life Cycle. In general, noncurrent electronic records should be able to be identified, segregated, and purged from the current and semicurrent records in the system. The capability to purge electronic files of noncurrent records should be a planned, built-in feature of the system. How this feature is to be incorporated into the system depends upon the creativity of the system designer, users, and users' acceptance of the concept and agreement as to how it will be implemented.
4. RECORDS MAINTENANCE AND USE.
 - a. Chapter II: Planning and Arranging Files. Chapter II covers the recordkeeper's responsibility for planning and arranging files. The recordkeeper assigned to a file station assumes a leadership role in ensuring that the station carries out a complete program for maintaining records without gaps in the program.

Recordkeepers should bring to their supervisor's attention recordkeeping responsibilities that are not being met. Recordkeepers should request their supervisor's assistance in gaining user's support of actions necessary to ensure that all records in the office are under control and reflected on a DOE F 1324.14 (Optional), Files Maintenance and Disposition Instructions.

- (1) File Stations. File stations are established by the responsible organization to designate the locations where records are to be maintained.
 - (2) File Station Centralization versus Decentralization. The use to be made of a file station is analyzed to determine where it should be located.
 - (3) Recordkeeping Requirements. Recordkeeping requirements originate in laws, regulations, and directives that provide for the creation and maintenance of records. Recordkeeping requirements may affect records either created by the office or received from others. Some additional required records may be established by the responsible supervisor. Required records should be listed. Collectively, the listed records will reflect the adequate and proper documentation of the organization, functions, and activities of each office for all its records media.
 - (4) Basic Types (Groups) of Files are established to make it easier to file and find papers and to permit easy disposition of records that have reached the noncurrent stage of their life cycle. Distinguishing the various file groups is an important task for the recordkeeper. Separating files into groups permits the application of group handling techniques such as the disposition of a block of records with the same retention period.
 - (5) Records Maintenance and Disposition Instructions, DOE F 1324.14, provides for identifying the types of files, their filing arrangement, their retention period, and their disposition. The DOE F 1324.14 (Optional), is formally approved, which validates the decisions made about the records during the process of completing the form. The completed DOE F 1324.14 (Optional), is provided to users of the records so that they are informed as to how the records are to be maintained and what disposition is required.
- b. Chapter III: Files Maintenance Procedures. Files maintenance procedures include a number of techniques and guidance for making filing more efficient.

Topics covered include avoiding unnecessary filing; arranging folders, guides, and labels; preparing file copies; coding papers for filing; cross references; placing material in the files; filing classified records; finding papers in the files; charging material from the files; and maintaining the files.

- c. Chapter IV: Filing Equipment and Supplies. Filing equipment and supplies are important in achieving efficiency and standardization in filing. Guidance is provided in using file folders, folder labels, guide cards, forms, standard filing cabinets, shelf filing equipment and supplies, and sorting devices.
5. CHAPTER V: STANDARD SUBJECT CODING SYSTEM CONCEPTS. The standard subject coding system may be used for coding correspondence, directives, and forms. Subject correspondence is one of the basic types (groups) of files. Knowing how to distinguish the subject correspondence from the other file groups is important. The system uses codes for identifying papers as belonging to a particular subject file folder. Each office's DOE F 1324.14 (Optional), is used to reflect the subjects needed and selected from the standard subject coding system for "program" correspondence. Program correspondence pertains to the mission or purpose (functions and responsibilities) of the office. Correspondence pertaining to the administration of the office is physically separated from program correspondence. Separation can be done as simply as inserting a guide card to separate the two sets of files.
6. CHAPTER VI: ESTABLISHING THE SUBJECT FILE. The subject file is established through the use of a master outline and from the outline an office outline is created. Selecting appropriate subjects from the master outline requires knowing how to select topics, add them, and number them in the local office's outline.
7. CHAPTER VII: ARRANGING THE SUBJECT FILES. A standard arrangement is used to facilitate filing and finding by subject matter. The file folders, guides, and labels are all properly coded and positioned in the arrangement.
8. CHAPTER VIII: CODING FILE PAPERS BY SUBJECT. Having skill in coding file papers by subject is important to the recordkeeper because this type of filing is much more complex and distinctly different from coding other types of papers. After reading the paper, it has to be analyzed and coded by the type of informational content it contains, i.e., the subject matter of the correspondence.
9. CASE FILES. Case files are covered in Chapter II, "Planning and Arranging Files," paragraph 7. They are identified as a distinct file group, distinguishable from other file groups. Also, case files are covered in Chapter X, "Files Cutoff Procedures," paragraph 3c. Recordkeepers need to know the techniques for cutting off case files.

Case files pertain to the mission or purpose (functions and responsibilities) of the office. These files will document the transactions that occur in carrying out the office mission.

Distinguishing case file papers from other papers is another important skill for the recordkeeper to possess.

10. CHAPTER IX: RECORDS DISPOSITION POLICY AND PROCEDURES.

- a. Records Disposition Objectives. Chapter IX, paragraph 1, provides three objectives for records disposition: The preservation of the appropriate records; the destruction of temporary records having served their purpose; and the removal of the noncurrent (inactive) records from office space into storage for less cost to the Federal Government.
- b. Records Disposition Explained. Chapter IX, paragraph 2, explains that records disposition is a comprehensive term that includes destruction as well as other actions, such as transfer and retirement to low cost storage.
- c. Records Disposition Schedules. Chapter IX, paragraph 3, explains records disposition schedules. The concept that schedules constitute authority to take disposition action with records is covered in Chapter IX, paragraph 4. Chapter IX, paragraph 5, covers the three types of records schedules: General, Departmental, and Site Specific. The General Records Schedules apply to all Federal agencies. The Departmental records schedules are for Departmentwide application except for the Power Marketing Administrations. Site specific schedules are for use at the specified facilities.
- d. Records Scheduling Process. Chapter IX, paragraph 10, describes the records scheduling process. Since the process involves scheduling records series, Chapter IX, paragraph 8, defines a records series as related documents usually handled as a unit for disposition purposes. Chapter IX, paragraph 9, indicates the requirement for all records series to be scheduled.
- e. Review of Records Schedules. Chapter IX, paragraph 11, provides this guidance: To ensure that DOE F 1324.14 (Optional), and approved records schedules are kept current, review them at least annually. If the records scheduling process is limited to one cycle, any new programs, new requirements, or other changes that affect mission or organizational responsibilities may not be reflected in approved records schedules.

11. CHAPTER X, FILES CUTOFF PROCEDURES. Files "cutoff" is a technique used to

close out a file. It is used to segregate closed out files from current (active) files. The cutoff files become the inactive files. Periodically cutting off files controls files from growing unnecessarily large. The technique facilitates economical disposition in convenient blocks of files. The files are handled as a block of files as opposed to handling individual papers or folders. At least annually, recordkeepers cut off files and segregate the closed out, inactive files from the active files; and retire or destroy eligible files. Chapter X describes how various types of files are to be cut off.

12. CHAPTER XI, RETIREMENT PROCEDURES. Retiring records consists of sending to low-cost storage the inactive records that are on hand and that are not scheduled for early destruction. The records disposition schedules that provide the guidance for Departmental application are cited in Attachment XI-1. The schedules include retirement instructions for many file series. Chapter XI provides general criteria regarding retiring records to Federal records centers. Covered in the Chapter also is the paperwork used in transferring records, packaging boxes properly, shipping the records, referring to stored records, disposing of the records, and transferring Federal personnel records to the National Personnel Records Center.
13. CHAPTER XII, TITLE 36 CODE OF FEDERAL REGULATIONS CHAPTER XII--SUBCHAPTER B. Title 36 Code of Federal Regulations (CFR) Chapter XII--Subchapter B may be inserted as Chapter XII of this Guide (that both Chapters are numbered XII is coincidental). Optionally, maintain 36 CFR Chapter XII separately. Departmental and contractor compliance with this regulation is required by DOE 1324.5B, RECORDS MANAGEMENT PROGRAM.
14. CHAPTER XIII, RECORDS REQUIRING SPECIAL HANDLING BECAUSE OF THEIR MEDIUM.
 - a. Requirements Summarized. This Chapter summarizes the requirements imposed on records by regulations, directives, or memorandums. Requirements are based upon records storage medium. Each paragraph covers a "type" of medium. The records storage medium refers to the medium used for the storage of the records. Paper is one type of storage media. 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. (Obtain records management numbered memorandums from your records officer.) Records in mediums other than paper often have prescribed handling or reproduction requirements imposed on them. Frequently, the reason for imposing the requirement is to prevent information loss either due to environmental conditions or to errors in handling.

- b. Audiovisual Records. Audiovisual records consist of records in pictorial or aural form that include still and motion pictures, graphic materials, sound and video recordings, and combinations of media, such as slide-tape productions. These materials are considered records in the same way as is any letter, memorandum, or file related to official business.
- c. Electronic Mail (E-Mail). An Appeals Court's ruling affecting E-mail records of the White House and certain White House advisory agencies named in the lawsuit, had implications for Departmental E-mail records. The court ruled that the E-mail records must be preserved, not simply printed out on paper and then erased. The court found that the E-mail system omitted receipt times and recipient names information from the hardcopies and therefore the hardcopies were not identical copies of the E-mail records. Accordingly, the court ordered that E-mail records must be "scheduled" for disposition and may not be destroyed without such authorization.
- d. Electronic Records. Electronic records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media such as tapes and disks, and optical disks.
- e. Judicial Use of Electronic and Micrographic Records. Electronic and micrographic records may be admitted in evidence in Federal courts for use in court proceedings if trustworthiness is established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it.
- f. Micrographic Records. Micrographic records consist of records produced or reproduced in miniature form. Usually they are microfilmed records.
- g. Optical Disc Records. Optical disc records consist of records stored on an optical disc (OD). An OD is a layered platter on which a heat sensitive recording material is embedded between a base foundation material and a protective covering material. The recording is performed by a computer-controlled laser beam which either melts the heat sensitive material or changes its color, depending upon the type of disc. To read the recorded material, another computer-controlled laser beam is reflected off of the melted areas or color changes to detect and read the information. OD's are used for digital data storage as an alternative to storage on magnetic tape or disk. All of these storage devices depend on computer hardware and software to be functional.

15. CHAPTER XIV. RECORDS REQUIRING SPECIAL HANDLING BECAUSE OF

THEIR INFORMATIONAL CONTENT.

- a. Requirements Summarized. This Chapter summarizes requirements imposed on records based upon the "type" of informational content in the records. The requirements are imposed by regulations, directives, and memorandums. The types of informational content that regulations affect are these: Audiovisual Records (Paragraph 2), Classified Records (Paragraph 3), Sensitive Unclassified Records (Paragraph 4), Epidemiological and Other Health Study Records (Paragraph 5), Government Owned Records (Paragraph 6), Historical Records Requirements (Paragraph 7), Judicial Use of Electronic and Micrographic Records (Paragraph 8), Personal Papers (Paragraph 9), Personal Papers Donated to Presidential Libraries (Paragraph 10), Quality Assurance Records (Paragraph 11), Unscheduled Records (Paragraph 12) and Vital Records (Paragraph 13).

- b. Audiovisual Records. Audiovisual records consist of records in pictorial or aural form that include still and motion pictures, graphic materials, sound and video recordings, and combinations of media, such as slide-tape productions. These records are included in Chapter XIII and in Chapter XIV because the informational content of audiovisual records affects the records and so does the storage medium.

- c. Judicial Use of Electronic and Micrographic Records. These records are included in Chapter XIII and in this Chapter because the informational content of the records places requirements on the records as does the medium of storage. Records maintained for one purpose may also be designated as "legal" records.

CHAPTER II

PLANNING AND ARRANGING FILES

1. OFFICIAL FILE STATIONS. Official file stations are specifically designated organizational units where official file copies of documents are maintained. They may be established at any organizational level. Official file stations are established as necessary to provide a network of recordkeeping locations within an office or division to:
 - a. Provide technical control and supervision of official files;
 - b. Facilitate coordination between and among file stations; and
 - c. Assure uniformity in filing and reference procedures.
2. CENTRALIZATION AND DECENTRALIZATION OF FILE STATIONS.
 - a. Centralized Files. In centralized files, the files of a unit are maintained in one location. Consider locating files in a centralized file when:
 - (1) More than one work unit has need for the same files.
 - (2) Units are sufficiently near the central file for prompt service.
 - b. Decentralized Files. Consider locating files in a decentralized file when:
 - (1) Files are of interest to only one work unit.
 - (2) Centralized filing is too distant for efficient service.
 - (3) Information must be immediately available to the creator.
 - (4) Constant reference is made to the files by a particular organizational unit.
3. RECORDKEEPING REQUIREMENTS. Recordkeeping requirements originate in laws, regulations, and directives that provide general and specific guidance requiring records creation and maintenance. Recordkeeping requirements may affect records created and received from others. List the records meeting recordkeeping requirements as essential records. They will reflect the adequate and proper documentation of the organization, functions, and activities for all offices at all levels and for all records media. Establishing

recordkeeping requirements for the office is the first action that needs to be taken in planning for the implementation of the records program for the office.

4. 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 which have similar characteristics and which 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 paragraphs 5-11, below, should generally be maintained separately.
5. 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 (see Chapters V - VIII and Attachment V-1).
6. TRANSITORY CORRESPONDENCE FILES. These files consist of correspondence and other papers of short term interest which 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.
7. 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:

- a. Purchase orders.
 - b. Contracts.
 - c. Investigations.
 - d. Audits.
 - e. Loans.
 - f. Grants.
 - g. Research projects.
 - h. Personnel transactions.
8. 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.
9. TECHNICAL REFERENCE FILES. Sometimes called "reference material" or "reference publications," this file group consists of printed or processed material which is of non-record value, but which 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.
10. CONVENIENCE FILES. These consist of extra non-record 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:

- a. Reading Files. Contain extra copies of outgoing material arranged in date sequence and maintained or circulated for informational purposes.
 - b. Suspense Files. Also known as tickler, pending, or follow-up files. Consist of copies of correspondence or other papers which require action or attention on subsequent dates. Papers are arranged by date and serve as a reminder to prepare needed reports and replies.
 - c. 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.
 - d. 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 whom 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.
 - e. Duplicate Working Files. Contain identical extra copies of papers found in the official files.
11. NONSTANDARD SIZE FILES. These files are kept in a separate group because of size or physical characteristics and include films, tapes, cartographic materials and drawings, computer printouts, punched cards, and photographs.
 12. 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 non-record 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.
13. **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 Guide 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. Attachment II-1 includes rules for alphabetic filing. 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. Attachment II-2 shows breakdowns from 15 to 150 subdivisions; each is based on national averages of the incidence of people's names by alphabetic letter.
 - f. Subject Arrangement. This arrangement will be used when the grouping of documents by subject is the primary means of reference. The subject arrangement of general correspondence files has been standardized (see Chapter V-1).
14. RECORDS MAINTENANCE AND DISPOSITION INSTRUCTIONS, DOE F 1324.14 (OPTIONAL). Each official file station should cover its records by using DOE F 1324.14 (Optional). The form is appropriate for identifying all records for which an office has responsibility. Figure II-1 illustrates a typical completed DOE F 1324.14 (Optional) which may be used as a guideline. Figure II-4 shows a collection of files arranged in that same sequence.
- a. Preparation. Copies of DOE F 1324.14 may be prepared in accordance with local preparation requirements. See Figure II-1.
 - (1) Items 1 through 6 are self-explanatory.
 - (2) Column 7a. Start with number "1" and consecutively number each series of records on the form.
 - (3) Column 7b. Enter a brief, precise description of each series of records. Use the title of the applicable schedule from the Records Disposition Schedules (Attachment XI-1), when appropriate. If necessary for series identification,

list various documents in the series. Any subgroup of the records series may be assigned letters for ease of identification, coding, and filing. When records are maintained apart from the majority of files of an official file station, enter their location in the series description. The filing arrangement of each series should also be a part of the description.

- (4) Column 7c. Enter the specific disposition schedule number from Attachment XI-1 and the complete disposition instructions for each record series. Cutoff and destruction or retention criteria are included in each schedule in Attachment XI-1. If a schedule covering disposition cannot be determined, enter "none" in Column 7c and seek assistance from the Records Liaison Officer.
- b. Distribution. The official file station may forward the original and the duplicate to the appropriate records liaison officer for review and approval.
- c. Review. The records liaison officer may review the DOE F 1324.14 (Optional) for accuracy, adequacy, completeness, and evidence of maintenance of unnecessary duplicate files.
- d. Updating. The Records Maintenance and Disposition Instructions form is reviewed annually and amended if necessary to ensure that all records are accounted for and that cited disposition authorities are appropriate. Prepare a new DOE F 1324.14 (Optional) when the old one is substantially changed or further corrections or additions cannot be made. Revised forms should be prepared and approved in the same manner as the original DOE F 1324.14 (Optional).

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RULES FOR ALPHABETIZING

Rules

Examples

1. Personal names.

a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.

Arthur B. Anglin - filed *Anglin* Arthur B.

b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetic sequence.

David de Valera - filed *de Valera* David.

c. HYPHENATED surnames of individuals are filed as one complete surname.

Blanch Duff-Gordon - filed *Duff-Gordon* Blanche.

d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.

Black Thunder.
Henry George.

e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine *Adams* Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens).

Laurens Josephine Mary (Mrs) (Mrs. William A).

Cross-reference:

Laurens William A (Mrs) - filed Laurens Josephine Mary.

f. ABBREVIATED first names are filed as though they were spelled in full.

Chas. Brown - filed *Brown* Charles.

g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname used as the first name. Nicknames with no recognizable surnames are filed as they are written.

Red Larson - filed *Larson* Red. *Boston* Jimmie.

h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D.). Titles followed by one or more names not recognizable as surnames are filed in order as written.

Dr. Charles C. Brown - filed *Brown* Charles C (Dr.).

Father Pierre - filed *Father* Pierre.

i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.

C. Albert Brown, Jr. - filed *Brown* C Albert (Jr).

2. Firms, corporations, companies, associations, institutions, governments, and geographic names.

a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.

AAA Chemical Co. - filed *AAA Chemical Company*.

Aunt Jemima's Pancake Flour - filed *Aunt Jemima's Pancake Flour*

Rules

Examples

b. SURNAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules personal names apply.

Charles Brown & Company - filed *Brown Charles (&) Company*.

c. PREFIXES on firm and geographic names, such as Co-, D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.

De la Verne Co. - filed *De la Verne Company*. Los Angeles, Calif. - filed *Los Angeles, California*.

d. HYPHENATED firm names are filed as one complete name.

Air-E-Ator Ventilating Co. - filed *Air-E-Ator Ventilating Company*.

e. COMPOUND names of firms that may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words, such as Inter State; Mid West; South Eastern; South Side; North East.

Inter State Warehousing Co. - filed *Inter State Warehousing Company*.

f. COMPOUND GEOGRAPHIC firm names are filed as written. Abbreviations are filed as though spelled in full.

Ft. Wayne Paper Co. - filed *Fort Wayne Paper Company*.
N.J. Coal & Coke Co. - filed *New Jersey Coal (&) Coke Company*.

g. ABBREVIATIONS representing names or parts of names of firms, of Government agencies, fraternal and similar organizations are filed as though spelled in full.

Amer. Society for Civic Education - filed *American Society (for) Civic Education*.
E. 59th St. Garage - filed *East Fifty Ninth Street Garage*.

h. APOSTROPHES ('s) is not considered in filing, but s apostrophe (s') is considered in filing.

Anglin's Beauty Shop - filed *Anglin's Beauty Shop*
Anglins' Automobile Co. - filed *Anglins' Automobile Company*.

i. ARTICLE, CONJUNCTION, OR PREPOSITION, such as the, and, &, of, for, on, by, when it is part of a firm name is enclosed in parentheses and disregarded in filing. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.

The Calico Cat - filed *Calico Cat (The)*.
Il Progresso Italo - filed *Il Progresso Italo*.

j. STATE, COUNTY, CITY, TOWN, or a similar word when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a government establishment, is filed as written.

City Letter Co. - filed *City Letter Company*.
County of Wall Surveying Co. - filed *County (of) Wall Surveying Company*.

Rules

Examples

k. NUMERALS of one or two digits that make up a name or the beginning of a name are read in units and tens and are filed as though spelled out. A name with three or four digits is read in hundreds. Consider only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.

86 Madison Ave. Realty Co. - filed *Eighty-six Madison Avenue Realty Company*.
1198 Park Ave. Corp. - filed *Eleven Hundred Ninety-eight Park Avenue Corporation*.
92-96 W. 18th St. Corp. - filed *Ninety-two (96) West Eighteen Street Corporation*.

l. FIRM names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any government establishment or function, are filed as written.

Committee for Economic Development - filed *Committee (for) Economic Development*.

m. STANDARD TERMS, such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc., whether they appear before or after the names are filed as written. They are not translated.

Brown Bros. - filed *Brown Brothers. Cie Generale Transatlantique* - filed *Cie Generale Transatlantique*.

n. CHANGE of firm name due to successorship should be filed under the current firm name and a permanent cross-reference made under the former name.

Clairo Company formerly Van Ess Products Co. - filed *Clairo Company (Formerly Van Ess Products Co.)*.

Cross-reference: *Van Ess Products Company* - filed *Clairo Company*.

o. MULTIPLE names. Firms doing business under two titles are filed under the more active or important name and a permanent cross-reference is made under the other name. This includes firms "doing business as," written "d/b" or "d/b/a."

Max Jensen doing business as Ace Van Lines - filed *Ace Van Lines*.

Cross-reference: *Jensen Max d/b/a* filed *Ace Van Lines*.

p. PARTNERSHIP AND FIRM names that contain the full names of two or more individuals are filed by the name of the first individual mentioned.

Charles Brown & Henry Jones - filed *Brown Charles (& Henry Jones)*.

q. VARIOUS LOCATIONS. The same firm name appearing at various locations is filed by name of firm and then by city. Add the State when there is duplication of city names.

Allied Van Lines, Denver, Colo. - filed *Allied Van Lines Denver Colorado*.
Allied Van Lines, Portland, Me. - filed *Allied Van Lines, Portland Maine*.

r. SUBSIDIARIES OR DIVISIONS. Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

Truscon Steel Co. Division of Republic Steel Corp. - filed *Republic Steel Corporation Truscon Steel Co. Division.*

Rules

Examples

s. BANKS, BOARDS OF TRADE, NEWSPAPERS, etc. Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.

Board of Trade Chicago, Ill. - *Chicago (Ill.) Board of Trade.*

t. FEDERAL DEPARTMENT NAMES. Federal Government departments and subdivisions thereof are filed by name in the alphabetic name file disregarding the parent organization.

U.S. Coast Guard:
Office of Management and Budget:
Great Lakes Naval Training Station:
Executive Office of the President:

Filed *Coast Guard (U.S.)*.
Filed *Management and Budget Office (of)*.
Filed *Great Lakes Naval Training Station*.
Filed *President Executive Office (of The)*.

3. FRATERNAL or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organization may be cross-referenced.

Veterans of Foreign Wars, Portsmouth Post, N.H. - filed *Portsmouth (N.H.) Post, Veterans (of) Foreign Wars.*

4. INSTITUTION names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.

Andrew Carnegie Library - filed *Carnegie Andrew Library*; University of Washington - filed *Washington University (of)*.

5. SUBDIVISIONS of state, county, municipal or foreign governments, such as departments, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.

Water Dept. Fairfax County, Va. - filed *Fairfax County (Va.) Water (Dept.)*.

Reprinted from Appendix B--Files Operations (1981); a records management handbook. Publication of the handbook is now a responsibility of the National Archives and Records Administration.

DIVISIONS OF THE ALPHABET

15 Divisions		25 Divisions			60 Divisions						
A	M	A	J	Q	A	Co	Gi	Ki	Mu	Ro	U
B	N	B	K	R	Am	Cr	Gr	l	N	S	V
C	P	C	L	S	B	D	H	Le	O	Se	W
D	R	D	M	T	Be	De	He	Li	P	Sch	We
F	S	E	Mc	U	Bi	Do	Ho	M	Pe	Si	Wi
H	T	F	N	V	Br	E	Hu	Mar	Pi	St	XYZ
I	W	G	O	W	Bu	F	I	Mc	Q	Su	
K		H	P	XYZ	C	Fi	J	Me	R	T	
		I			Ch	G	K	Mo	Ri	To	

100 Divisions										
A		Bo	Cor	Et	H	J	M	P	Se	Tr
Al		Br	Cr	F	Ham	John	Man	Pe	Sh	U
Am		Bro	Cu	Fi	Har	K	McA	Pi	Si	V
Ander		Bu	D	Fu	Hat	Ke	Me	Pr	Smith	W
Ar		C	De	Fr	He	Ki	Mi	Q-R	Sp	War
B		Car	Di	G	Hi	Kn	Mo	Ri	St	We
Bar		Ch	Do	Ge	Ho	L	Mu	Ro	Sto	Wh
Be		Cl	Dow	Go	Hon	Le	N	Ros	T	Wi
Ber		Co	E	Gr	Hu	Li	Ni	S	Tho	Wo
Bi		Con	El	Gro	I	Lo	O	Sch	Ti	XYZ

150 Divisions										
A		Br	Cu	Fl	Har	Jones	Man	P	Se	V
Al		Bro	D	Fo	Harr	K	Mas	Pe	Sh	Ve
Am		Bu	Davis	Fr	Hat	Ke	McA	Pet	Si	W
Ander		Bur	De	Fri	He	Kel	McD	Pi	Smith	Wall
Ar		C	Del	G	Hen	Ki	McK	Pr	Sn	War
At		Car	Di	Gar	Her	Kn	Me	Pu	Sp	We
B		Cas	Do	Ge	Hi	Kr	Mi	Q-R	St	Wei
Baker		Ch	Dow	Gi	Ho	L	Miller	Re	Sto	Wh
Bar		Che	Du	Go	Hol	Lar	Mo	Ri	Su	Wi
Be		Cl	E	Gr	Hon	Le	Mor	Ro	T	Williams
Ber		Co	El	Gre	Hu	Lei	Mu	Ros	Te	Wilson
Bi		Con	Et	Gro	Hun	Li	N	Ru	Tho	Wo
Bl		Coo	F	H	I	Lo	Ni	S	Ti	Wr
Bo		Cor	Fe	Hal	J	Lu	O	Sch	Tr	XY
Bon		Cr	Fi	Ham	John	M	Or	Schm	U	Z

DOE F 1324.14 (Optional)
(02-96)

OMB Control No.
1910-0100
OMB Burden Disclosure
Statement on Reverse

U.S. DEPARTMENT OF ENERGY		1. 9 DOE 9 Contractor	2. Page <u>1</u> of <u>3</u>
RECORDS MAINTENANCE AND DISPOSITION INSTRUCTIONS			
3. Organizational Unit (Creating or Custodial Unit)		4. Routing Symbol	5. Date
6a. Name (Typed), and		6b. Signature	6c. Date (of Signature)
Prepared by			
Approved by			
Records Liaison Officer (Optional)			
Records Officer Approval (Optional)			
7a. ITEM NO.	7b. TITLE OR DESCRIPTION OF RECORDS SERIES	7c. DISPOSITION (Insert Applicable Records Schedules (DOE, GRS, Site), Schedule No., and Item No.; Complete Disposition Instructions Including Cutoff, Retirement, or Destruction Actions. If Schedule and Item No. Cannot be Found, Enter "None.")	
1	Records Maintenance and disposition instructions	GRS-23-1. Destroy when revised, discontinued, or superseded.	
2	Records Retirement Lists	GRS-23-1. Destroy on discontinuance or after all records listed thereon have been destroyed.	
3	Transitory Files	GRS-23-1. Cut off monthly, destroy after 90 days.	
4	Office Administrative Files (Including folder on office general management, office facilities, office supply, and office finance.)	GRS-23-1. Cut off at close of fiscal year. Destroy after one year.	
5	Office General Personnel Files	GRS-23-1. Cut off at close of fiscal year. Destroy after one year.	
6	Reading Files	GRS-23-1. Cut off monthly; destroy after six months.	
7	Program Correspondence Files 5800 ENERGY RESEARCH AND TECHNOLOGY 5810 Health and Safety 5820 Radioactive Material 5821 Radioactive Waste 5822 Radioactive Materials	(To Be Obtained)	

USE CONTINUATION SHEETS OF PLAIN
PAPER

(Enter Page No. and Entries for 7a, 7b, and 7c.)

Figure II-1

Sample Records Maintenance and Disposition Instructions, DOE F 1324.14 (Optional)

7a. ITEM NO.	7b. TITLE OR DESCRIPTION OF RECORDS SERIES	7c. DISPOSITION (Insert Applicable Records Schedules (DOE, GRS, Site), Schedule No., and Item No.; Complete Disposition Instructions Including Cutoff, Retirement, or Destruction Actions. If Schedule and Item No. Cannot be Found, Enter "None.")
8	Mail Control Files	GRS-23-1. Cut off quarterly. Destroy after one year.
9	Safety and Security Inspection Case Files	GRS-18-9. Cut off at close of fiscal year. Destroy after three years.

Figure II-2
Sample Records Maintenance and Disposition Instructions, DOE F 1324.14 (Optional)--Continuation

OMB Burden Disclosure Statement

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 (1910-0100), Washington, DC 20503.

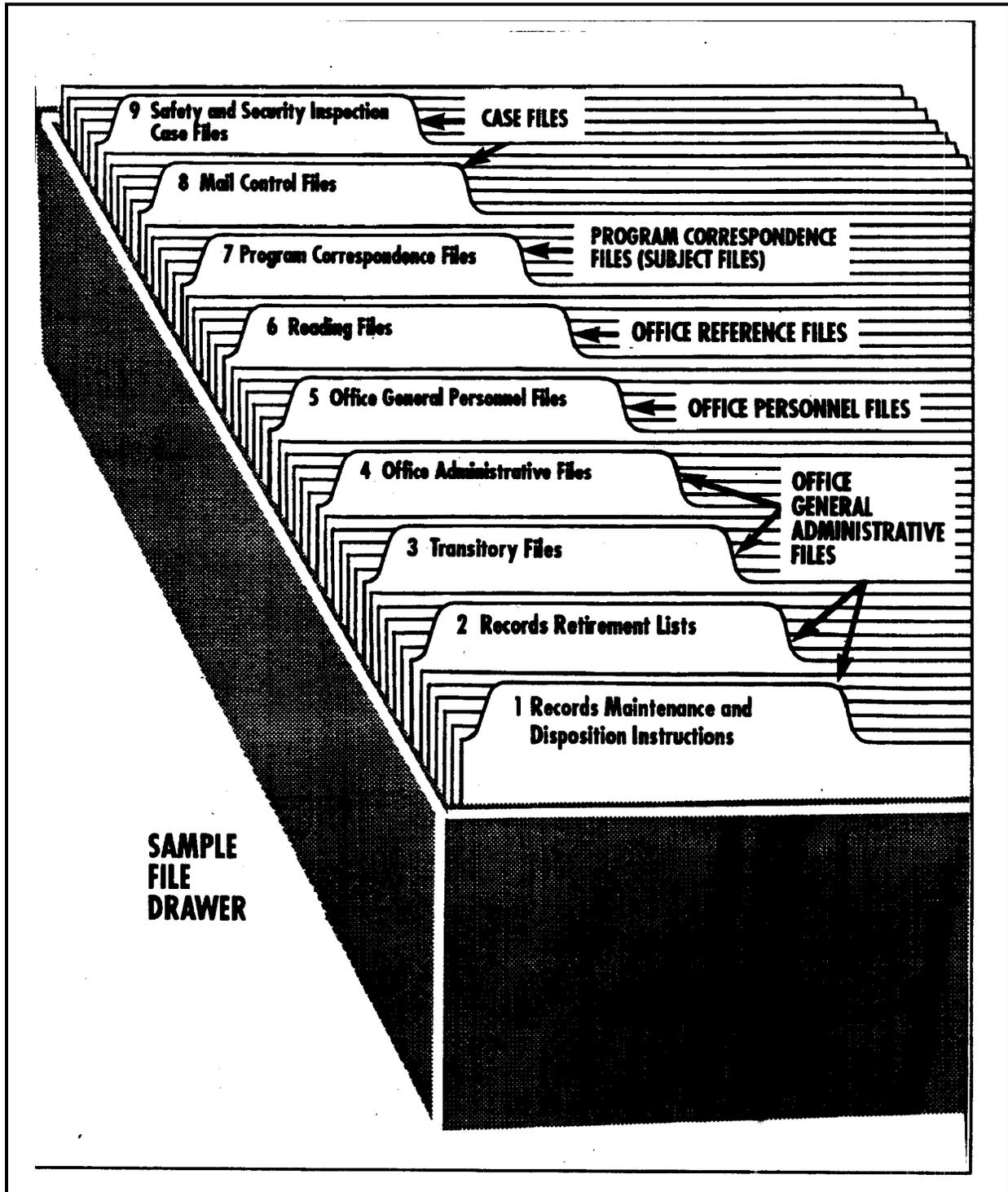


Figure II-4
Sample File Drawer

CHAPTER III

FILES MAINTENANCE PROCEDURES

1. AVOIDING UNNECESSARY FILING. Filing unnecessary papers results in a waste of time and equipment. Following are some ways of avoiding unnecessary filing:
 - a. 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.
 - b. Limit Copies. Limit the number of copies prepared to those which are specifically required or requested or which serve a valid purpose.
 - c. Eliminate Copies. Eliminate the copies of routine communications which require no record, such as:
 - (1) 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.)
 - (2) Outgoing form letters. (A notation on the incoming letter showing the form letter identification number will suffice.)
 - (3) Routine transmittals.
 - (4) Copies of letters furnished solely for information, unless it is known they will be subsequently referred to.
 - d. Limit "Extra Copy" Files. Limit "extra copy" files to those offices having justification for their maintenance.
 - e. Limit Technical Reference Documents. Restrict the quantity of technical reference documents received to the minimum necessary, and file only those which will be of significant reference value.
2. 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. Filing supplies are described in Chapter IV.

- a. General Correspondence Files. Instructions for arrangement of guide cards, folders, and labels for general correspondence files are contained in Chapter VII.
 - b. Case Files and Other File Series. Guide cards and folders are important for case files and other types of records, especially if the files 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.
 - (1) 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 from Attachment XI-1 of this Guide will also be shown. The label is placed on the folder in one position only, the middle position. Samples of folder labels for case files are illustrated in Figure III-1.
 - (2) 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.
3. 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 which 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.
4. 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. Chapter VIII of this Guide 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.
 - (1) 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.
 - (2) 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.

- c. Identifying Temporary Papers. The item number (Column 7a) from the DOE F 1324.14 (Optional) is usually an adequate identifier (abbreviation or code) for papers to be filed in the "Transitory" file, the office administrative files, suspense files, etc. (See Figure II-1.) Some recordkeepers may prefer to 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.
5. 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 (see Figure III-2).
 - b. 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 (see Figure III-3).
6. 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.

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:

a. Fasten Papers For:

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

b. Avoid File Fasteners For:

- (1) Subject and other files when individual papers rather than entire folders are charged out;
- (2) Small, routine case files; or
- (3) Larger case files with low reference or short life.

7. FILING CLASSIFIED RECORDS. For classified records, DOE M 5632.1C-1 provides the applicable requirements.
8. FINDING PAPERS IN THE FILES. 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 Attachment V-1, a standard subject coding system, for the proper subject designation.
 - d. If the material cannot be located in the files and is of recent date, check the unfiled material on the file custodian's or coder's desk.
9. 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 (see Figure III-4). 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.

10. 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 3/4 inches, either:
 - (1) Add a new folder bearing the same file designation in front of the full folder and show inclusive dates on the folders; or
 - (2) 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.

File Series (#) (Doctype)	Disposition
FY 95	Office of Record: NN-XX
FILES TITLE	
File Series 4 (PD)	GRS-1,7.b.
FY 95	Office of Record: NN-50
POSITION DESCRIPTION FILES	
File Series 11 (OC)	GRS-3,3.a.(1).
FY 95	Office of Record: NN-50
OFFICIAL CONTRACT FILES	
File Series 30 (ICF)	GRS-22,1.b.
FY 95	Office of Record: NN-50
INVESTIGATION CASE FILES	

Figure III-1
Sample Folder Labels - Case Files

CROSS-REFERENCE (Name, number, or subject under which this form is filed)		
	o	1322 <i>(Illustrates a subject cross-reference topic under which this form is filed)</i>
IDENTIFICATION OF RECORD	DATE	12-1-94 <i>(The date of the document also serves as the filing date of this form)</i>
	TO	J. Smith, Director, El Paso, TX <i>(Organizational titles or location may be needed to identify whom a letter is to or from)</i>
	FROM	R. Henry, Records Management Officer
	BRIEF SUMMARY OF CONTENTS	Comments on inspectn of recrds mgmt procedures in offices; explains advntgs of & recmds installing OF 21, Cross-Ref form, sample enc. <i>(use understandable abbreviations in summarizing the contents of documents, or in indicating organizational title or locations in the "To" or "From" captions)</i>
FILED <i>(Name, number, or subject under which the document itself is filed)</i>	ABC Corporate Case File <i>(Illustrates a subject topic under which the record could be filed)</i>	

INSTRUCTIONS FOR USING CROSS-REFERENCE SHEETS

Prepare Cross-Reference sheets when (1) a document contains more than one name, number, or subject under which it should be filed, and (2) sufficient copies of the record itself are NOT available for this purpose.

SINGLE CROSS-REFERENCE--select first sheet from pad, enter cross-reference caption in open space opposite o

TWO CROSS-REFERENCES--Select first two sheets from pad, enter first caption in open space opposite o, enter second caption in a shaded space that matches the open space on the second sheet.

THREE CROSS-REFERENCES--Select first three sheets from pad, enter captions in all three spaces provided.

SPECIAL USE OF CROSS-REFERENCE SHEETS

A single Cross-Reference sheet can be used as a Continuity Reference when correspondence is removed from a cutoff file and brought forward and attached to correspondence in a current file.

1. Use the "Cross-Reference" space to enter the subject from which the document was removed.
2. Identify the document as illustrated above.
3. Use the "Filed" space to describe the letter to which this document is being brought forward, including the subject and date. Also show the "TO" and "From" of the latest letter if it is different from the letter being brought forward.

Figure III-2
Optional Form 21, Cross Reference

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT (Under which this form is filed)	ABC Corporation File
DATE (Under which this form is filed)	12-1-94
TO	J. Smith, Director, El Paso, Tex.
FROM	R. Henry, Records Management Officer
BRIEF SUMMARY OF CONTENTS	Comments on in spectn of records mgmt pcedures in office: Discusses installing OF 21 Cross-Ref Form, sample enc.
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	EVALUATION OF ABC Corporation 1995
DATE	1-6-95 (Date under which both latest letter and brought forward letter are now filed)
TO	P. Jones, Chief, Audit and Inspection
FROM	R. Henry
<p style="text-align: center;">INSTRUCTIONS FOR USING "CONTINUITY REFERENCE"</p> <p>Prepare a "Continuity Reference, " to:</p> <ol style="list-style-type: none"> 1. Replace a peice of correspondence which is being moved from one location in a file and is being refile in a different location under a later date. Examples: (1) Bringing together all correspondence relating to a single transaction—(2) Moving correspondence to the current year's file from a file cutoff as of December 31, last year. 2. Substitute for a record when the subject under which it was originally filed is changed. When the form is so used, it is unnecessary to correct or change any index references to the former subject title. <p>NOTE: Cross-Reference, Optional Form 21, may also be used for this purpose. See instructions on cover of Optional Form 21 when the Cross-Reference is used as a Continuity Reference.</p>	
Optional Form 22 Feb. 1962 GSA Circular 259	CONTINUITY-REFERENCE
9022-101	

Figure III-3
Optional Form 22, Continuity Reference

OUT

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT
OPTIONAL FORM 23 FEB 1962 GSA Circular No.259	CHARGE OUT RECORD 5023-101	
DATE CHARGED OUT	CHARGED TO (PERSON & OFFICE)	IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

OUT

Figure III-4
Optional Form 23, Charge-out Record

CHAPTER IV

FILING EQUIPMENT AND SUPPLIES

1. STANDARDIZATION.

- a. Advantages. The use of standard equipment and supplies has the following advantages: Efficient and simplified file operations, interchangeability, lower cost through quantity purchasing, simplified stocking, and uniform appearance.
- b. Use and Replacement of Equipment and Supplies. Do not replace either equipment or supplies on hand because they fail to meet established standards. Use existing stocks until depleted. When stocks require replacement, obtain the recommended standard items. Choose equipment and filing supplies that are the most economical possible and meet your requirements. National Stock Numbers (NSN) are shown for most standard supplies and equipment. These items are available from the GSA Stock Catalog.

2. FILE FOLDERS.

- a. Kraft Folders will meet the majority of filing requirements since most records are current for a relatively short time before they are retired or destroyed. The standard Kraft folder is 11 point, vertical, flat type, bottom scored for 3/4 inch expansion, reinforced top, and square cut.
 - (1) Letter Size: NSN 7530-663-0031, 9-1/2" x 11-3/4".
 - (2) Letter size with built-in 2" prong fastener: NSN 7530-8893555, 9-1/2" x 11-3/4".
- b. Pressboard Folders are economical only when used for case files, project files, large volume files, and files that will be handled frequently. Kraft folders will not hold up well when handled frequently. Prepare folders only as they are needed. The standard press board folders are flat-cut, vertical, one-inch expansion, with self-tabs, and square cut. Letter Size: NSN 7530-926-8981, 9-1/2" x 11-3/4".
- c. Special Pressboard Binder-folders are economical for case files that will benefit by utilizing the folder's two kraft inner dividers with six built-in 2-prong fasteners so that papers may be divided into types or categories (NSN 7530-990-8884).

3. **FOLDER LABELS.** Use folder labels to place captions on the folder tab in a neat, uniform, and legible manner. Standard pressure-sensitive folder labels are packed in a continuous strip (roll or fan-folded) with 248 in a box. They may be fed directly into a typewriter or if properly programmed, word processing equipment can be used to prepare them. Labels are 3-1/2" X 5/8" and are available in plain white or with a 3/32" wide identification strip in various colors. NSN 7530-577-4368 through NSN 7530-577-4376, depending on color.
4. **GUIDE CARDS.** File guides make files more usable. In addition to indexing files such as correspondence files, guides serve to support the folders. The standard guide cards are pressboard, one-third cut, angular metal tab, without lower projections, all positions. Letter Size: NSN 7530-989-0692.
5. **FORMS.** The following are recommended forms:
 - a. Charge-Out Record, Optional Form 23. See Figure III-4.
 - b. Records Maintenance and Disposition Instructions, DOE F 1324.14 (Optional). See Figure II-1.
 - c. Cross Reference, Optional Form 21 (Continuity Reference, Optional Form 22, may also be used). See Figures III-2 and III-3.
6. **STANDARD FILING CABINETS.** Letter-size cabinets are standard for records 8-1/2" x 11". The filing cabinets are steel, upright, 5-drawer, 1 drawer wide, 57 1/2" high, and 28" deep.
7. **SHELF FILING EQUIPMENT AND SUPPLIES.** Standard shelf filing cabinets are more appropriate than filing cabinets for filing certain material. Shelf filing is most adaptable to records that are alphabetically or numerically arranged such as case or project files. Consider shelf filing when records total 200 linear feet or more and the file station is in a relatively permanent location, when the purchase of new filing equipment is contemplated, and when only a limited amount of required additional filing space is available. Consult your Records Officer concerning the feasibility of shelf filing equipment.
8. **SORTING DEVICES.** When the volume of papers is small, desk trays, a table, or desk top can be used for sorting. However, a simple sorting device is recommended for most sorting operations. It has a series of dividers, three or four inches wide, each hinged to a flat base. Tabs can be labeled and inserted as required. A 24-division sorter will generally meet the sorting requirements of a small file station.

9. REQUESTS FOR FILING EQUIPMENT AND SUPPLIES.

- a. Standard Equipment and Supplies. Requests for standard filing supplies will be made through normal supply channels. Requests for standard filing equipment will also be submitted through normal supply channels except that approval by the Records Officer may be required.
- b. Non-Standard Equipment and Supplies. Requests for specialized filing and records equipment will be accompanied by a justification for need and use, including savings or benefits that may result. Such requests should have the prior approval of the Records Officer before procurement of the item(s).

CHAPTER V

STANDARD SUBJECT CODING SYSTEM CONCEPTS

1. CODING BY SUBJECT. A standard subject coding system provides a uniform system for organizing the small but important collection of files that do not lend themselves to arrangement by a name or number. Termed "general correspondence," these files are arranged by subject as a standard practice. One standard subject coding system was issued to Records Officers as Numbered Memorandum 94-41. Its purpose is to group general correspondence by subject matter. Another standard subject coding system is issued in DOE M 251.1-1, DIRECTIVES SYSTEM MANUAL, of 10-16-95.
2. APPLICABILITY. A standard subject coding system should be used at file stations where general correspondence files are maintained. The 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 standard subject coding system to organize the correspondence regarding internal administration or housekeeping activities.
3. DISTINGUISHING SUBJECT CORRESPONDENCE FROM OTHER FILE GROUPS. The standard subject coding system applies to general correspondence papers ONLY. Do not apply it to case files. To correctly maintain files, knowing how subject correspondence is distinguished from case files and other records is necessary. For example: A letter regarding activities in general or a letter concerning the processing of contracts in general is considered to be subject correspondence material and is filed in the subject correspondence file. In contrast to this, a letter regarding a specific contract or grant is not considered to be general correspondence. Papers of this type are placed in a case file to document the specific transaction.
4. TYPE OF SYSTEM. The 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). Figure V-1 illustrates the use of a standard subject coding system. In this example, four digit codes were assigned through the tertiary level to each subject in a coding structure. Quaternary subjects were required to provide sufficient subject coverage in the using office, so the using office added a decimal point to the provided structure and created new subordinate subjects (quaternary subjects). The new quaternary subjects were added to the right of the decimal point.

5. MASTER OUTLINE. A standard subject coding system may be inserted as Attachment V-1 of this guide. Its complete list of subjects may also be referred to as the master outline.
6. SUBJECT FILE CODES.
 - a. The coding scheme used in the standard subject coding system consists of a four digit numeric code. Additional digits may be added. The last two digits of the primary titles consist of "00." Secondaries have assigned numbers in the "tens" position. Tertiaries have assigned numbers in the "ones" position. An example of file codes under this system follows:
 - (1) Primary Subject: 1300 MANAGEMENT SYSTEMS AND STANDARDS
 - (2) Secondary Subject: 1330 Management Information Systems
 - (3) Tertiary Subject: 1331 Integrated Management Information Systems
 - (4) Quaternary Subject: 1331.1 Feasibility/Requirements Studies
 - b. The assigned code indicates the subject. Instead of writing out the complete subject title, use of the code facilitates marking, sorting, and filing papers.

1300	MANAGEMENT SYSTEMS AND STANDARDS	Primary Subject
1310	Management Studies, Analysis, and Surveys	
1320	Paperwork Management	
1330	Management Information Systems	
	Secondary Subjects	
1340	Publishing Management	
1350	Audio-Visual Management	
1360	Data Processing Management	
1370	Computer-Aided Technology Management	
1331	Integrated Management Information Systems	Tertiary Subject
1331.1	Feasibility/Requirements Studies	
1331.2	System Design and Development	Quaternary
	Subjects	
1331.3	System Maintenance and Operation	
1331.4	Equipment Selection and Capabilities	

Figure V-1
Illustration of the Use of a Standard Subject
Coding System

INSERT

STANDARD SUBJECT
CODING SYSTEM

(OPTIONAL)

CHAPTER VI

ESTABLISHING THE SUBJECT FILE

1. GENERAL. In setting up a subject file, always keep in mind that the topics in the standard subject coding system 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 which is maintained separately.
2. MASTER OUTLINE.
 - a. Usage. A master outline, Attachment V-1, is used as the basis for establishing the subject file. It is intended only as a reference guide in establishing a subject file that will meet the specific requirements of the user. Subjects not specifically provided in the master outline MAY BE ADDED.
 - b. 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.
 - c. 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.
3. 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 which 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.
4. 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.

5. NUMBERING TOPICS. When numbering secondary, tertiary, or further subdivisions, assign your own numbers in sequence under each primary outline. Figure V-1 illustrates the numbering pattern.
6. PREPARATION OF FILES OUTLINE. After selecting appropriate primary subjects and subordinate topics, prepare an office subject file outline as part of the Records Maintenance and Disposition Instructions, DOE F 1324.14. See Chapter II, paragraph 14. Also, see Figure II-1.

CHAPTER VII

ARRANGING THE SUBJECT FILES

1. FOLDERS AND GUIDE CARDS. Arrange folders and guide cards as illustrated in Figure VII-1. Place folders and guide cards in the file drawer in the exact sequence in which subjects appear in the office file 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 number from the DOE 1324.14 (Optional), a code 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 VII-2 illustrates examples.

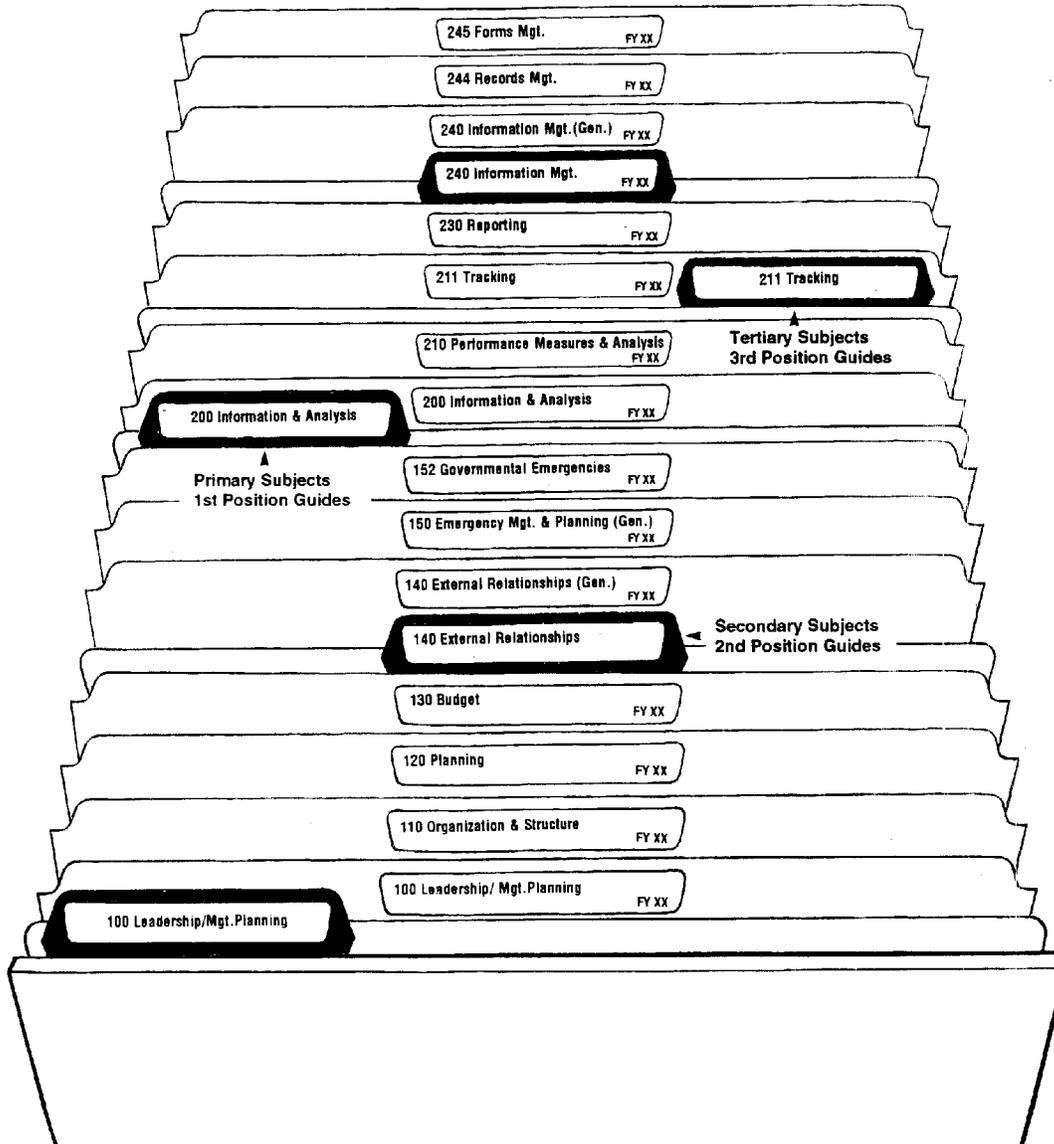


Figure VII-1
Arrangement of Subject File Guides, Folders, and Labels

File Series 4-230	GRS-23,1
REPORTING	
FY XX	

File Series 4-550	GRS-23,1
TRAVEL AND TRANSPORTATION	
FY XX	

File Series 4-570	GRS-23,1
ADMINISTRATIVE SERVICES	
FY XX	

Figure VII-2
Examples of Folder Labels -for
Office Administrative Files
Subject Files

CHAPTER VIII

CODING FILE PAPERS BY SUBJECT

1. BASIC STEPS IN CODING 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:
 - a. 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.
 - b. 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 which was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers.
 - c. Code. Write the subject's numeric file code in the upper right hand corner of the file copy.
 - d. 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.
2. TECHNIQUES IN CODING.
 - a. 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.
 - b. Reference. It is helpful at times to refer to previous correspondence already on file to verify a tentatively selected file designation.

- c. Be Consistent. Be consistent is the first coding rule. Consistency will assure that papers currently being coded will be filed with the previous papers with which they belong.

- d. Unusual Cases. In unusual cases the subject of correspondence is so extremely vague that it is impossible to determine the proper file code from the letter itself. In such cases, the coder should contact someone more familiar with the material for more information.

CHAPTER IX

RECORDS DISPOSITION PROGRAM

1. OBJECTIVES. Three important objectives of a records disposition program 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. DISPOSITION EXPLAINED. Disposition means the actions taken regarding records no longer needed for current business.
 - a. Retirement. Records are sometimes referred to as being "retired" when they are sent to low cost storage for servicing and ultimate destruction or retention.
 - b. Transfer. 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 Attachment XI-1 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.

3. RECORDS SCHEDULES EXPLAINED. 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."
4. RECORDS DISPOSITION AUTHORITY. Only after approval by the National Archives and Records Administration (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. The retirement procedures in Chapter XI provide instructions for moving inactive and semi-active records from office space to low cost storage facilities.
 - a. Destroy Records in accordance with the provisions of the schedules authorizing the destruction of records. See Attachment XI-1.
 - b. Destroy Nonrecord Material when its purpose is served. To control the accumulation of nonrecord material, DOE F 1324.14 (Optional) should identify the specific kinds of nonrecord material in the office. See Figure II-1.
5. THREE TYPES OF RECORDS DISPOSITION SCHEDULES. The three types of records disposition schedules (Attachment XI-1) are these:
 - a. General Records Schedules. These are approved schedules for records common to Federal agencies.
 - b. Department of Energy Records Schedules. These schedules cover records held by any Departmental or contractor office except for Power Marketing Administrations.
 - c. Site-specific Records Schedules. These schedules cover the specified records held by the identified Departmental or contractor facility.
6. COMPLETE COVERAGE OF RECORDS. To provide for complete coverage of an office's records, the office's DOE F 1324.14 (Optional) should reflect these two remaining categories of materials (See Figure II-1):

- a. Materials that are termed "nonrecord;" and
 - b. Unscheduled records.
7. NUMBERING. Each record series will have a records disposition schedule and an item number that identifies it.
 8. 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.
 9. SCHEDULING ALL RECORDS SERIES. All records series are required to be "scheduled." If a records series is not scheduled, it must be scheduled in the future.
 10. THE RECORDS SCHEDULING 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.
 - c. Match. Match the records series inventoried with the records schedules found in Attachment XI-1. If a series can not be "matched" with a schedule, then a new schedule will be needed.

- d. Evaluate the Unscheduled Records. Evaluate the unscheduled records series by determining the use made of the records and then analyze the values inhering 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. (See Chapter XIV, paragraph 4).
- e. 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 DOE F 1324.14 (Optional) will permit the recordkeeper to destroy the nonrecord material after keeping it for its approved retention period. No additional authorization will be needed.
- f. 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) Freedom of Information Act 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, Attachment IX-1.
- g. Prepare Instructions. 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 IX-1.) 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.
- h. 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 to the Department for the additional approvals of the Department and NARA.
- i. Departmental Clearance. Assemble the draft records schedule and submit it to the Departmental Records Officer through established channels including your records officer.
- j. 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 Departmentwide. 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.

- k. Approval. The National Archives and Records Administration must approve the records schedules. Otherwise, they are draft schedules only. Likewise, for certain records, the General Accounting Office will also be requested to approve those records schedules determined by the Departmental Records Officer to require that office's approval.
 - l. Implement. Approved schedules have little value unless implemented. Implementation is accomplished by having the office's DOE F 1324.14 (Optional) reflect all of the office's records series maintained and the corresponding authorized disposition. Then the disposition authority is applied to each records series. See Attachment XI-1.
11. 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 DOE F 1324.14 (Optional) 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 which need to be changed.
 - b. Submission Channels. Submit proposed records disposition schedule revisions to the Departmental Records Officer through established channels including your records officer. Recommendations for revision should contain the information specified under paragraph 10g, above.

INFORMATION REQUIRED FOR A SYSTEM OF RECORDS

(In accordance with DOE's Privacy Act regulations,
Title 10 Code of Federal Regulations, Part 1008)

System name:

Security classification:

System location:

Categories of individuals covered by the system:

Categories of records in the system:

Authority for maintenance of the system:

Routine uses of records maintained in the system, including
categories of users and the purposes of such uses:

Policies and practices for storing, retrieving, accessing,
retaining, and disposing of records in the system:

Storage:

Retrievability:

Safeguards:

Retention and disposal:

System manager(s) and address:

Notification procedure:

SAMPLE

- a. Requests by an individual to determine if a system of records contains information about him/her should be directed to the Director, Freedom of Information and Privacy Act Activities, Department of Energy (Headquarters), or the Privacy Acts Officer identified in appendix A; in accordance with DOE's Privacy Act regulations (10 CFR part 1008 (45 FR 61576, September 16,

- 1980)).
- b. Required identifying information: Complete name, and, if appropriate, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Record access procedures:

SAMPLE

Same as Notification procedures above.

Contesting record procedures:

SAMPLE

Same as Notification procedures above.

Record source categories:

SAMPLE

The subject individual, supervisors, other Government agencies, former employers, and references provided by subject individual.

Systems exempted from certain provisions of the act:

SAMPLE

The Secretary has exempted this system from subsection (c)(3), (d), (e)(1), (e)(4), (G), (H), (I) and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (2)(5), or (6).

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA) use only	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or establishment) Department of Energy		NOTIFICATION TO AGENCY 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 Energy Information Administration			
3. MINOR SUBDIVISION National Energy Information Center			
4. NAME OF PERSON WITH WHOM TO CONFER Sandra Wilkensen	5. TELEPHONE 202-586-1173	DATE	ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION 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, / is not required; / is attached; or / has been requested.		
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE 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.		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE 2 OF 6
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>COAL DISTRIBUTION DATA, 1980-1988.</p> <p>This file contains data on the distribution of U.S. coal by coal-producing district of origin, consumer end-use category, state of destination and method of transportation; also included is export shipment information. This is a closed series.</p> <p>Disposition: PERMANENT. Transfer a copy of the data files and documentation to the National Archives upon approval of this schedule by the Archivist of the United States.</p>		
2.	<p>HISTORICAL PLANT COST AND ANNUAL PRODUCTION EXPENSE DATA, 1979-1991</p> <p>This file contains data on the cost of selected hydroelectric, fossil-fueled, steam-electric, gas turbine and nuclear steam-electric plants in commercial operation by electric utilities. This is a closed series.</p> <p>Disposition: PERMANENT. Transfer a copy of the data files and documentation to the National Archives upon approval of this schedule by the Archivist of the United States.</p>		
3.	<p>REPORT OF OIL IMPORTS INTO THE U.S. AND PUERTO RICO DATA, 1977-1990</p> <p>This file monitors importing crude oil, unfinished oil, and finished petroleum products in the U.S. and Puerto Rico. This is a closed series.</p> <p>Disposition: PERMANENT. Transfer a copy of the data files and documentation to the National Archives upon approval of this schedule by the Archivist of the United States.</p>		

115-205

Two copies, including original, to be submitted to the National Archives and Records Administration

STANDARD FORM 115A (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Figure IX-2,
Request for Records Disposition Authority--Continuation

CHAPTER X

FILES CUTOFF PROCEDURES

1. FILES "CUTOFF". A files cutoff breaks a file by closing it based on a time period that is determined in advance. It segregates current, active files from files for a prior period. The cutoff files become the inactive files. Established periodic cutoff of files is essential to effectively controlling record accumulations and their growth. The technique facilitates economical disposition in convenient blocks. At least annually, recordkeepers should cut off files and segregate inactive files from active files; carry out the disposition of files eligible for retirement or destruction; and destroy all non-current technical reference material.
2. CONTROL FILE SIZE. Control the size of files by cutting them off. If the files are not cut off periodically, folder contents will grow until individual papers become hard to find. If the files are cut off periodically, the older files can be progressively moved from active files space to storage space as their reference activity declines.
3. CUTOFF STANDARDS. Prescribed cutoff instructions are included in records disposition schedules, where applicable. Cutoff standards are based on the following criteria for the various types of records:
 - a. Chronological Sequence Files, such as accounting records, are filed by period of account (fiscal year), and lend themselves to cutoff procedures. Chronologically arranged records can be readily cut off and retired in convenient blocks.
 - b. Subject Files must be cut off at planned intervals; there is no natural cutoff point such as occurs with case files or chronologically arranged records. Subject files are usually maintained on a fiscal year basis.
 - c. Case or Project Files are often cut off upon the termination of a transaction or the expiration of an event, such as the separation of an employee, a final contract payment, or the completion of a project. When closed, the case file should be marked with the date of closing and placed in an inactive file apart from the active files. The inactive files can then be retired or destroyed in convenient fiscal year blocks. Case files that continue over a long span of years can be cut off by setting up a new folder each year and retiring the prior year folders which have little reference activity.
 - d. Technical Reference Materials have no established cutoff and are destroyed when they are superseded, obsolete, or no longer needed. These files should be

reviewed at least annually to determine if they are current and still useful.

CHAPTER XI

RETIREMENT, ACCESS, AND DESTRUCTION PROCEDURES

1. RECORDS RETIREMENT (GENERAL). 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 cited in Attachment XI-1. 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 a Federal records center (FRC) if they will be destroyed within three years of the transfer. Occasionally, files with less than three years retention may be retired to the 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.
2. DESTRUCTION DEVIATIONS. No records may be destroyed legally sooner than authorized by an approved records disposition schedule. To provide legal authorization for the destruction of records, the schedule should be officially changed.
3. RETIREMENT OF RECORDS TO FEDERAL RECORDS CENTERS. Federal records centers (FRC)s are operated by the National Archives and Records Administration (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, DC, 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).

- a. Initiating Retirement. When records become eligible for transfer, the custodian of the records should estimate the volume involved and obtain the necessary fiberboard boxes (see paragraph 3c). Recordkeepers need to coordinate with their Records Liaison Officers 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 non-record 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 which 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 a Federal records center by freight, express, or parcel post, reinforce them by taping the closed carton. See Figure XI-1.
- d. Numbering the Boxes. After the boxes are filled, prominently enter in the upper right corner of the front of each box with a heavy crayon or felt-tip marker 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 Federal records center, mark it in the upper left corner of the front of each box. See Figure XI-1.
- e. Federal Records Center.
 - (1) Approval. If a Federal records center 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 (see Figure XI-1).
 - (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 Records Liaison Officer for instructions if odd-sized records are to be shipped.

4. PREPARING TRANSMITTAL FORMS.

- a. Standard Form (SF) 135, "Records Transmittal and Receipt." The retirement of records to an FRC requires the preparation of Standard Form (SF) 135, "Records Transmittal and Receipt," (see Figure XI-2). Complete the form by following the instructions on the reverse side of the SF 135. Submit the completed SF 135 to the appropriate records center to arrive for review at least 10 workdays prior to the planned shipment of the records. The records center will review the SF 135 for completeness to determine the appropriateness of the transfer. If the transfer is approved, the records center may annotate block 6j of the SF 135 with the Federal records center shelf location where the records will be stored. The Federal records center will return a copy of the SF 135 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 center.
- b. Filling Out the Form. Follow the instructions on the reverse side of the SF 135 which explain how to complete the form. For item 6h, "Disposal Authority," insert the reference to the specific number of the appropriate records disposition schedule as provided in Attachment XI-1. If there is no disposition schedule that applies, contact the Records Liaison Officer for instructions.

5. SHIPPING THE RECORDS.

- a. Use the most economical means available to ship files to a FRC. If records are to be moved only a short distance, FRC trucks may be available to pick them up. Contact the FRC regarding this. Otherwise, records may be transferred by regular United States mail for small shipments (under 100 pounds) or by commercial motor or rail freight for larger shipments with costs to be paid by DOE.
- b. Shipping regulations require the boxes to be sealed and addressed. Properly packed containers weigh approximately 25 to 30 pounds each.

6. 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.

7. RETURN OF THE STANDARD FORM 135. Upon completion of the transfer and entry of the above information, the completed SF 135 is returned to your office.

8. REFERRALS TO STORED RECORDS. Even though records are physically stored in FRCs, they are readily accessible to the offices that retired them. The requester may ask for information from the records or for the loan or return of the records themselves. Optional Form 11, "Reference Request Federal Records Center," is available for use in requesting reference service (see Figure XI-4). (Exception: SF 127, "Request for Official Personnel Folder," will be used for the retrieval of or reference to personnel records from NPRC.) (See Figure XI-3.) 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.
9. AUTOMATED REFERRALS TO STORED RECORDS. The FRC's have an information processing system abbreviated "CIPS" which stands for "Centers Information Processing System."
- a. Requesting Records. If you need to retrieve records stored at any of the FRCs, an online database is available. The system contains the most up-to-date location information for all center holdings. The Office of Federal Records Centers, National Archives and Records Administration (NARA), has made the database available. CIPS accesses the database called the "NARA-5 database." CIPS automatically inserts the correct location information in the electronic reference request (request to retrieve records) when the requester provides the accession number and box number of the desired records. Centers frequently move records from their original location for space management reasons. Obtaining access to the records stored in a center is speeded up because the reference requests are not sent by mail or by a courier. No longer are any negative replies sent from the center indicating that the center does not have the requested records due to the request reflecting the wrong location for the records in the center. The system allows users to use a personal computer and communications software to access the application which is on a mainframe computer that is located in the Data Systems Center in St. Louis, Missouri. Three times a day, the system consolidates all Federal Government requests, sorts them by location number sequence, and transmits them to the correct center for processing.
 - b. Use of the System. To use the system, special equipment is necessary: An IBM or IBM compatible personal computer, a modem, a dedicated telephone line, and communications software capable of emulating an IBM 3270 terminal. Some approvals are required before a terminal may be established to access the CIPS. Records Officers will answer questions about the CIPS.
 - c. Return of Requested Records. Requested records are returned by couriers and by mail, as appropriate, as has been the practice for the various centers throughout the country.
10. TRANSFERS TO THE NATIONAL PERSONNEL RECORDS CENTER (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 (Figure XI-3), "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 records schedule requirements as provided in Attachment XI-1, DOE Records Schedules. Official Personnel Folders of contractor employees are not sent to NPRC.
11. DESTRUCTION OF RECORDS IN FEDERAL RECORDS CENTERS (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 whose 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.
 - 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 schedule in Attachment XI-1 of this Guide. 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.

INSERT RECORDS SCHEDULES HERE

OPTIONAL\OR

MAINTAIN RECORDS SCHEDULES SEPARATELY

THREE TYPES OF RECORDS SCHEDULES: (*)

- o GENERAL RECORDS SCHEDULES
- o DEPARTMENT OF ENERGY RECORDS SCHEDULES
- o DEPARTMENT OF ENERGY SITE SPECIFIC
RECORDS SCHEDULES
(Applicable to Specifically Designated
Sites or Facilities Only)

(*) (Obtain through your Records Officer)

(Sample of Shipment Notice)
Federal Records Center - (Local Name)
(Local Address)

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 with nylon filament or kraft mailing tape. (Check with your Records Liaison Officer. Some DOE organizations do not use tape.)
4. We 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)

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

(Local Name)
(Position)

Figure XI-1
Sample (Records) Shipment Notice

RECORDS TRANSMITTAL AND RECEIPT		COMPLETE AND SEND ORIGINAL AND TWO COPIES OF THIS FORM TO THE APPROPRIATE FEDERAL RECORDS CENTER FOR APPROVAL PRIOR TO SHIPMENT OF RECORDS. SEE SPECIFIC INSTRUCTIONS ON REVERSE.	PAGE 1	OF PAGES
1. TO (Complete the address for the records center serving your area as shown in 26 CFR 1228.100)		5. FROM (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address)		
2. AGENCY TRANSFER AUTHORIZATION		Federal Records Center Washington National Records Center Washington, DC 20409		
3. AGENCY CONTACT		TRANSFERRING AGENCY OFFICIAL (Signature and title) DATE		
4. RECORDS CENTER RECEIPT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) DATE		
RECORDS DATA				
ACCESSION NUMBER		SERIES DESCRIPTION (With inclusive dates of records)		
RG	FY	VOLUME (cu. ft)	AGENCY BOX NUMBERS	RESTRICTION
434	95	31	1 of 31	R
		Chief Financial Officer, Office of Headquarters Accounting Operations, Accounting Division, Systems Management Branch. (CR-522) <u>Accountable officers' Files</u> April 1994 - September 1994 <u>Box No.</u> (1 of 31) (2 of 31) (3 of 31) (4 of 31) (5 of 31) (6 of 31) (7 of 31) (8 of 31) (9 of 31) (10 of 31)		
		DISPOSAL AUTHORITY (Schedule and item number) (n) GRS-6, 1.a		
		DISPOSAL DATE (l) 1/2001		
		COMPLETED BY RECORDS CENTER LOCATION (j) SHELF PLAN (k) CONTAINER TYPE (l) AUTOMATICALLY (m)		
		Note: These records do not pertain to the American Indians.		

Figure XI-2
Sample Standard Form 135
Records Transmittal and Receipt

Standard Form 135 (Rev. 7-80)
Prescribed by NARA
38 CFR 1228.152

135-107

NSN 7840-00-834-6083

REQUEST FOR OFFICIAL PERSONNEL FOLDER (SEPARATED EMPLOYEE)		1. DATE OF REQUEST	
SECTION I—TO BE COMPLETED BY REQUESTING AGENCY			
2. CURRENT NAME (Last, first, middle) Hill, Margaret Irene		2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (If different than Item 2) Smith, Margaret Irene	
GENERAL SERVICES ADMINISTRATION NATIONAL PERSONNEL RECORDS CENTER (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MO 63118		3. DATE OF BIRTH 31 Oct 61	
		4. SOCIAL SECURITY NUMBER 389-82-4761	
<i>SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED</i> <i>Original will be used to send folder or reply to your agency.</i> <i>Second copy retained by agency for its suspense files.</i> <i>Third copy is for records center use.</i>			
5. PREVIOUS FEDERAL EMPLOYMENT			
AGENCY AND BUREAU	LOCATION	FROM	TO
None			
6. REASON FOR REQUEST (Check appropriate box)			
<input type="checkbox"/> a. Currently employed. <input checked="" type="checkbox"/> b. Temporary use. <input type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.			
7. REMARKS Employed by this organization only but formerly under maiden name.			
SECTION II—FOR USE BY RECORDS CENTER			
8.			
<input type="checkbox"/> a. Folder enclosed. <input type="checkbox"/> b. Folder forwarded in place of information requested. Retain if person is hired. <input type="checkbox"/> c. Folder not received. Suggest you contact last employing office. <input type="checkbox"/> d. Folder not located. We suggest a further search of your agency. If still unlocated, verify name, date of birth, and social security number, and return request to NPRC together with the date folder was transferred to NPRC and several names, dates of birth, and social security numbers of other folders in same shipment.		<input type="checkbox"/> e. Folder was sent (Date) To: <input type="checkbox"/> Your agency <input type="checkbox"/> _____ _____ _____	
		DATE	INITIALS
SECTION III—TO BE COMPLETED BY REQUESTING AGENCY			

U.S. Department of Energy
Office of Personnel
1000 Independence Ave., SW
Washington, DC 20585

← Enter complete address to which folder or reply is to be mailed. Include ZIP Code.

Figure XI-3
Sample Standard Form 127
Request for Official Personnel Folder

DOE G 1324.5B
7-19-96

XII-1 (and XII-2)

CHAPTER XII

TITLE 36 CODE OF FEDERAL REGULATIONS CHAPTER XII - SUBCHAPTER B

(INSERT)

(HERE) TITLE 36 CODE OF FEDERAL REGULATIONS
CHAPTER XII - SUBCHAPTER B

OPTIONAL/ OR MAINTAIN SEPARATELY

CHAPTER XIII

RECORDS REQUIRING SPECIAL HANDLING BECAUSE OF THEIR STORAGE MEDIUM

1. PURPOSE OF REQUIREMENTS PARAGRAPHS IN THIS CHAPTER.

- a. Paragraphs Summarize Requirements. The paragraphs in this Chapter summarize requirements imposed on Departmental records by regulations, directives, or memorandums. Some of the requirements may cover records that your office does not maintain and therefore review of every cited regulation may not be necessary. However, if your office maintains the type of record covered, do not rely solely on the paragraphs to determine what compliance is required. Review the cited regulation for that purpose.
- b. Storage Medium Special Handling Requirements. The paragraphs in this Chapter relate to "records storage medium." The next chapter, Chapter XIV, relates to requirements imposed by regulation on records based upon their informational content. Some records may be affected by both storage medium and informational content requirements.
 - (1) Records Storage Medium. Records storage medium 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 handling or reproduction requirements imposed on them because of their storage medium. Frequently, the reason for imposing the requirement is to prevent information loss due either to environmental conditions or to errors in handling. Requirements imposed because of the storage medium are in the following paragraphs: Audiovisual Records (Paragraph 2), Electronic Mail (E-MAIL) (Paragraph 3), Electronic Records (Paragraph 4), Judicial Use of Electronic and Micrographic Records (Paragraph 5), Micrographic Records (Paragraph 6), and Optical Disc Records (Paragraph 7).
 - (2) Overlapping Requirements. If any paragraphs in this, or the next Chapter apply to the records, all of the reflected regulatory requirements in all of the applicable paragraphs affect the records. Accordingly, the records must be maintained in compliance with all applicable regulatory

requirements imposed upon them. Multiple paragraphs in either Chapter may reflect requirements applicable to the same records.

2. AUDIOVISUAL RECORDS. Audiovisual records consist of records in pictorial or aural form that include still and motion pictures, graphic materials, sound and video recordings, and combinations of media, such as slide-tape productions. These materials are considered records in the same way as is any letter, memorandum, or case file related to official business, and the basic principles and practices of managing paper records also should be applied to audiovisual records.
 - a. Requiring Regulation. The regulation establishing the requirements and standards for the proper storage, maintenance, and use of audiovisual records is Title 36 CFR Part 1232, "Audiovisual Records Management." Organizations maintaining audiovisual records must comply with its detailed and technical requirements for filing, handling, using, loaning, storing, protecting, and preserving them.
 - b. Filing Techniques. A few generalized basic filing techniques offer benefits when applied to audiovisual records:
 - (1) File audiovisual records having short retention periods separately from those having long term or permanent retention requirements. The advantage of making this distinction in filing practices is that most of the requirements imposed on audiovisual records apply only to audiovisual records that must be retained for an extended period.
 - (2) Weed large files of the redundant and duplicated images or sound recordings that have been retained for the required retention period.
 - (3) Masters and use copies, such as negatives and prints, should be filed separately in order to permit more convenient use of each and to make it easier to take special care of the film negative or magnetic master, which is the most valuable copy of any audiovisual record.
 - (4) Captions or their equivalent are essential. Audiovisual records are not useful for retrospective research unless they are identified. For still photographs, the caption should include the date, location, names of people, event, copyright owner (if applicable), and unique identification number. Similar identification should be recorded in a standardized format for every reel of motion picture film, videotape, and audio recording. Photographic captions should be stored separately to eliminate the damage that may result from trying to attach them to

photographs.

3. ELECTRONIC MAIL (E-MAIL).

- a. Preservation. An Appeals Court's ruling affecting E-mail records of the White House and certain White House advisory agencies named in the lawsuit, had implications for Departmental E-mail records. The court ruled that the E-mail records must be preserved, not simply printed out on paper and then erased. The hardcopy was analyzed and determined not to be identical to the E-mail records, for example: The hardcopy may consist of a message and distribution to "List A." In contrast, the E-mail system contained the sender's name, the name of each recipient, the time sent, and a "time-received-acknowledgement" for each recipient. In addition, the court indicated that even if E-mail transmittal information is conceptualized as consisting of a separate set of records, these records may not be erased without authorization simply by determining them to be records "not appropriate for preservation." The Federal Records Act (FRA) requires that the decision that records are not appropriate for preservation must be made by the Archivist of the United States. An agency making this decision unilaterally is in violation of the FRA.
- b. Records Schedules Required. Because the court found that the E-mail system omitted receipt times and recipient names information from the hardcopies, the hardcopies were not identical copies of the E-mail records. Accordingly, the court ordered that E-mail records must be "scheduled" for disposition and may not be destroyed without such authorization.

4. ELECTRONIC RECORDS. Electronic records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes but is not limited to magnetic media such as tapes and disks, and optical disks.

- a. Requiring Regulation. Title 36, CFR Part 1234, "Electronic Records Management," establishes the basic requirements related to the creation, maintenance, use, and disposition of electronic records. Unless otherwise noted in the regulation, the requirements apply to all electronic records systems, whether on microcomputers, minicomputers, or main-frame computers; regardless of storage media, in network or in stand-alone configurations.
- b. Electronic Records Standards, Overview. Standards are provided for the Department's electronic records management program in the regulation. The standards cover electronic records creation, preservation, maintenance, use, and disposition.

- (1) Electronic Records That Produce, Use, or Store Data Files. These electronic records are subject to the regulation's requirements:
 - (a) Incorporate disposition instructions for the data into the system's design.
 - (b) Maintain adequate and up-to-date technical documentation for each electronic records system that produces, uses, or stores data files. The minimum documentation required is a narrative description of the system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position, and a description of the form of the data (such as alphabetic, zoned decimal, packed decimal, or numeric), or a data dictionary or the equivalent information associated with a data base management system including a description of the relationship between data elements in data bases; and any other technical information needed to read or process the records.
- (2) Hard Copy Text Documents. Electronic records created only to produce hard copy of text documents are not subject to the regulation's requirements because the hard copy is used to meet records maintenance and disposition requirements.
- (3) Electronic Official File Records. Because hard copy records are not retained for the official files, electronic records of text documents maintained as the official file records are subject to the regulation's requirements. Systems designers, records officers, and users need to implement or ensure the implementation by others of the regulation's requirements which include the following:
 - (a) Retrieval. Provide a retrieval system. There should be a method for all authorized users of the system to retrieve desired documents, such as an indexing or text search system;
 - (b) Security. Ensure document integrity.
 - (c) Disposition. Provide for document disposition, including, when necessary, the requirements for transferring permanent records to the National Archives and Records Administration (NARA).

- (d) Identification. Prior to document creation, provide for identifying information sufficient for retrieval, protection, and disposition. Appropriate identifying information for each document maintained on the electronic media may include: office of origin, subject file code, key words for retrieval, addressee (if any), signatory, author, date, authorized disposition (coded or otherwise), and classification (if applicable). Also, ensure that records maintained in such systems can be correlated with related records on paper, microform, or other media.
5. JUDICIAL USE OF ELECTRONIC AND MICROGRAPHIC RECORDS. Electronic and micrographic records may be admitted in evidence in Federal courts for use in court proceedings if trustworthiness is established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it. To enhance the legal admissibility of records, the following procedures should be implemented: Document that similar kinds of records are created, controlled, and processed each time with a standardized handling and retrieval approach. Substantiate that security procedures prevent unauthorized addition, modification, deletion, or loss of a record. (For electronic records, substantiate that the system is protected against such problems as power interruptions. Identify the media on which the records are stored throughout their life cycle, the maximum time span that records remain on each storage medium, and the NARA-approved disposition of the records.) Coordinate the procedural requirements with legal counsel, and senior IRM and records management staff. (See 36 CFR 1234.24, Judicial Use of Electronic Records.)
6. MICROGRAPHIC RECORDS. Micrographic records consist of records produced or reproduced in miniature form. Usually they are microfilmed records.
 - a. Objective. Micrographic records are the product of a process which uses microfilm technology to produce information useful in mission accomplishment at a lower cost than any alternative methods.
 - b. Requiring Regulation. The regulation establishing the requirements and standards for the use of micrographics systems technology is Title 36 CFR Part 1230, "Micrographics."
 - c. Approval. As do all records series, the micrographic copies and the original records in a records series require disposition approval. One benefit obtained from the use of a micrographic system is the ability to destroy the original paper records after microfilming them. To obtain the approval to destroy the original and the micrographic records, aspects of the system must be documented.

- (1) Temporary Records. An approved retention period for temporary records used as originals (source records) for microfilming may be applied to the microform copy of the records. Upon verification of the accuracy of the microfilmed records, the original records are destroyed unless legal requirements prevent this.
 - (2) Permanent or Unscheduled Records. Original records previously approved for permanent retention may not be microfilmed and then destroyed without authorization from NARA. Likewise, unscheduled original records may not be microfilmed and then destroyed without NARA's authorization. A proposed records schedule for microfilmed records must provide for the disposition of both source documents (originals) and microforms. Without NARA's approval, these records may not be destroyed. To obtain NARA's approval requires a number of actions:
 - (a) Certification (Filming). Include on the Standard Form (SF) 115, Request for Records Disposition Authority: "This certifies that the records described on this form were (or will be) microfilmed in accordance with the standards set forth in 36 CFR part 1230." The standards certified to are the methods and procedures provided in 36 CFR 1230.14. Authority: 36 CFR 1230.10a1.
 - (b) Description. Describe on the SF 115, the system and standards used if the microfilming methods, materials, and procedures used do not meet the standards in 36 CFR 1230.14. Authority: 36 CFR 1230.10a2.
 - (c) Certification (Storage). Include the statement which follows on the SF 115, if the proposed system will retain and store the silver original microforms of permanent records after disposal of the original records. Certify that: "Storage conditions shall comply with the standards cited in 36 CFR 1230.20 and inspections required by 36 CFR 1230.22 will be performed." Authority: 36 CFR 1230.10a3.
- d. Process Requirements For Microfilm Systems.
- (1) Preparatory steps. Follow all preparatory steps prior to filming as provided in 36 CFR 1230.12.

- (a) Adequate Substitutes. Ensure that the microforms are adequate substitutes for the original records and contain all the information shown on the originals.
 - (b) Titling, Arranging, Identifying, and Indexing requirements are provided in 36 CFR 1230.12.
 - (c) Identification Target requirements are provided in 36 CFR 1230.12(c) and in the ANSI standard referenced therein.
 - (d) Mandatory Format Standards for Microforms:
 - 1 Roll Film, Source Documents. See 36 CFR 1230.12(d)(1)(i).
 - 2 Computer Output Microfilm (COM) Generated Images. See 36 CFR 1230.12(d)(1)(ii).
 - 3 Microfiche. See 36 CFR 1230.12(d)(2).
 - (e) Index Placement, Source (Original) Document Filming. See 36 CFR 1230.12(e)(1).
 - (f) Index Placement, Computer-generated Microforms, (COM). See 36 CFR 1230.12(e)(2).
- (2) Film and Image. For temporary records, duplicates, and user copies, see 36 CFR 1230.16.
- e. Storage Requirements. See 36 CFR 1230.20.
 - f. Inspection Requirements. See 36 CFR 1230.22.
 - g. Usage Requirements. See 36 CFR 1230.24.
 - h. Disposition Requirements. See 36 CFR 1230.26.
7. OPTICAL DISC RECORDS consist of records stored on an optical disc (OD). An OD is a layered platter on which a heat sensitive recording material is embedded between a base foundation material and a protective covering material. The recording is done by

a computer-controlled laser beam which either melts the heat sensitive material or changes its color, depending upon the type of disc. To read the recorded material, another computer-controlled laser beam is reflected off of the melted areas or color changes to detect and read the information. OD's are used for digital data storage as an alternative to storage on magnetic tape or disk. All of these storage devices depend on computer hardware and software to be functional.

- a. Requiring Regulation. Because optical disc records are electronic records, Title 36, CFR Part 1234, "Electronic Records Management," establishes the basic requirements related to the creation, maintenance, use, proper storage, and disposition of optical disc (electronic) records. See also paragraph 4, Electronic Records, in this Chapter. See also Title 36, CFR Part 1228.188, "Electronic Records," and NARA Bulletins 94-4 and 94-5 for additional requirements.
- b. Quality Assurance (QA) Records. For quality assurance records stored on optical disc, see Chapter XIV, paragraph 11c, "Optical Disc Storage."
- c. Benefits. The following are benefits obtainable from the use of optical disc technology:
 - (1) Large Amounts of Data. The most significant benefit is the ability to store and access large amounts of data.
 - (2) Improved Access Time. When compared to traditional storage and retrieval methods, information access time is improved.
 - (3) Information Sharing Ability. The ability to share information is improved either by having multiple system users (network) or through the dissemination of discs (electronic publishing).
 - (4) Costs, Storage, and Transportability. Lower costs, reduced paper and storage space, and transportability are additional benefits.
- d. Permanent Original Records. Permanent original records are required to be transferred to the National Archives.
 - (1) Originals After Filming. Normally, after permanent records have been copied onto an optical disc, the original records should be transferred to the National Archives. In some cases, NARA may authorize the destruction of the original records after copying onto an optical disc. See paragraph below.

- (2) Stored on Optical Discs.
 - (a) Analog videodiscs. See NARA Bulletin 94-5, paragraph 4a2.
 - (b) Audio compact discs. See NARA Bulletin 94-5, paragraph 4a3.
 - (c) Other permanent records stored on optical discs must be transferred to the National Archives using one of these mediums: Paper, microforms, magnetic tape, and Compact Disc-Read Only Memory (CD-ROM). See NARA Bulletins 94-4 and 94-5 for certification and other requirements regarding CD-ROM use.
- e. Benefits. Use optical disc technology if, and as appropriate, to obtain the benefits it offers. If permanent records are involved, see paragraph 7d, above.

CHAPTER XIV

RECORDS REQUIRING SPECIAL HANDLING BECAUSE OF THEIR INFORMATIONAL CONTENT

1. CHAPTER PURPOSE.

- a. Paragraphs Summarize Requirements. The paragraphs in this Chapter summarize requirements imposed on Departmental records by regulations, directives, and official memorandums. Some of the requirements may cover records that your office does not maintain and therefore review of each cited requirement may not be necessary. However, if your office maintains the type of record covered, do not rely solely on the paragraph to determine what compliance is required. Review the cited regulation for that purpose.
- b. Informational Content Requires Special Handling. Some records require special handling because of their informational content. The paragraphs in this Chapter relate to "informational content." Chapter XIII, the previous Chapter, related to requirements imposed by regulation on records because of their storage medium. Some records may be affected by both storage medium and informational content requirements.
 - (1) Informational Content of Records. If a record has informational content of a particular type, requirements are imposed upon it for that reason. The types of informational content that regulations affect are these: Audiovisual Records (Paragraph 2), Classified Records (Paragraph 3), Sensitive Unclassified Records (Paragraph 4), Epidemiological and Other Health Study Records (Paragraph 5), Government Owned Records (Paragraph 6), Historical Records Requirements (Paragraph 7), Judicial Use of Electronic and Micrographic Records (Paragraph 8), Personal Papers (Paragraph 9), Personal Papers to be Donated to Presidential Libraries (Paragraph 10), Quality Assurance Records (Paragraph 11), Unscheduled Records (Paragraph 12). and Vital Records Program (Paragraph 13).
 - (2) Overlapping Requirements. If any paragraphs in this, or the previous Chapter apply to records, the records must be maintained in accordance with all of the reflected regulatory requirements in all of the applicable paragraphs. Multiple paragraphs in either Chapter may apply to the same records.

2. AUDIOVISUAL RECORDS. Audiovisual records consist of records in pictorial or aural form that include still and motion pictures, graphic materials, sound and video recordings, and combinations of media, such as slide-tape productions. These materials are considered records in the same way as is any letter, memorandum, or case file related to official business, and the basic principles and practices of managing paper records should also be applied to audiovisual records. The regulatory requirements citation and some suggested basic filing techniques are provided in Chapter XIII, paragraph 2. Note: Audiovisual records are included in this Chapter and in Chapter XIII because the informational content of audiovisual records affects the records and so does the storage medium.
3. 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 O 471.2, INFORMATION SECURITY PROGRAM, of 9-26-95; and DOE M 471.2-1, MANUAL FOR CLASSIFIED MATTER PROTECTION AND CONTROL, of 9-26-96; and their accompanying CONTRACTOR REQUIREMENTS DOCUMENT FOR THE INFORMATION SECURITY PROGRAM. Clearly identifying classified records on DOE F 1324.14, Records Maintenance and Disposition Instruction (Optional), may assist in complying with the Order and Manual.
4. SENSITIVE UNCLASSIFIED RECORDS. In the absence of specific requirements, such as those in DOE 471.1, Identification and Protection of Unclassified Controlled Nuclear Information, 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.
5. 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 non-exposure, also, may not be destroyed. This

latter

aspect (non-exposure 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 Epidemiologic Studies (EH-62) 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.

6. 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.

7. 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.

8. JUDICIAL USE OF ELECTRONIC AND MICROGRAPHIC RECORDS. The regulatory requirements citation for electronic and micrographic records that are to be admitted into evidence is provided in Chapter XIII, paragraph 5. These records are included in this Chapter and in Chapter XIII because the informational content of the records places requirements on the records as does the medium of storage. Records maintained for one purpose may be designated also as being "legal" records.
9. 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.
10. 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".
11. 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 which 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. Nuclear Regulatory Commission 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. (See Attachment XI-1.)
 - f. Records Schedules. QA records require approved records disposition schedules.

12. 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. (See Chapter IX, paragraph 8, "Records Series.")
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.
 - 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 5500.7B, EMERGENCY OPERATING RECORDS PROTECTION PROGRAM, of 10-23-91. (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 Emergency Operations Centers. 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 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.