

Summary of Changes
to
Procedure 200.1-1
File Plan Usage

Revised Version Issued as P 200.1-1C

LM Procedure 200.1-1B, File Plan of 11/1/07, has undergone revisions. The revised procedure includes formatting updates and extensive revisions to the definitions section. Please replace LM Procedure 200.1-1B with LM Procedure 200.1-1C.

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U.S. Department of Energy Office of Legacy Management



Procedure: 200.1-1C

Effective: 1/26/09

SUBJECT: FILE PLAN USAGE

1. PURPOSE. To provide personnel with instructions for identifying, filing, maintaining, and dispositioning records according to the Legacy Management (LM) File Plan.
2. CANCELLATION. Procedure 200.1-1B, File Plan, dated 11/1/07
3. REFERENCES.
 - a. 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Records Management
 - b. U.S. Department of Energy (DOE) Order 243.1, Records Management Program
 - c. DOE Order 243.2, Vital Records
 - d. DOE Guide 1324.5B, Implementation Guide for 36 CFR Chapter XII –Subchapter B (Records Management)
 - e. LM Procedure 200.4, Records Management
 - f. International Organization for Standardization (ISO) 19005-1:2005, Document management – Electronic document file format for long-term preservation – Part 1: Use of PDF 1.4 (PDF/A-1)
4. DEFINITIONS.
 - a. Active Records -- Records required for day-to-day operations and maintained by the generating organization.

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- b. Block -- One or more chronological segments of cutoff, or closed, records that are in the same series and are dealt with as a unit for disposition purposes, especially during the transfer of permanent records to the National Archives. For example, a transfer of records in five-year blocks.
- c. Case File -- Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Includes personnel, project, and transaction files, which are types of case files.
- d. Classified Information -- Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.
- e. Cutoff -- Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes called file cutoff or file break.
- f. Disposition -- The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.
- g. Electronic Record -- Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.
- h. Electronic Recordkeeping System (ERKS) -- An electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An ERKS is certified according to Department of Defense (DoD) 5015.02-STD to ensure the records it maintains have sufficient authenticity and reliability to meet the agency's recordkeeping requirements.
- i. File Code -- The identification number used to organize record collections.
- j. File Plan -- A comprehensive outline specific to a project, organization, or function that defines its records series, file organization, records custodians, active file locations, file transfer instructions, file retention and disposition instructions and other project- or organization-specific instructions that provide guidance for effective records management.
- k. Filing Feature -- A characteristic by which a document is filed and found, such as a number, date, title, name, or subject.
- l. Inactive Records -- Records that must be retained, but are accessed infrequently.

- m. LM Personnel -- Federal employees and contractor personnel associated with LM.
- n. National Archives and Records Administration (NARA) -- An independent Federal agency that provides guidance to Federal agencies on the management of records, determines the retention and disposition of records, stores agency records in records centers from which agencies can retrieve them, and preserves permanently valuable Federal records.
- o. Nonrecord Material -- U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.
- p. Permanent Records -- Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.
- q. Portable Document Format (PDF) -- A format created by Adobe Systems based on its PostScript page description language. PDF files are created and supported using Adobe's Acrobat software tools. PDF records must have all security settings disabled and must be created using legally embedded fonts.
- r. Program Records Official (PRO) -- Team Leader of Archives and Information Management who ensures that all LM records management practices are properly executed.
- s. Records -- All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of data in them.
- t. Records Coordinators -- Personnel who work with the Records Liaison Officer to provide support for LM records management activities.
- u. Records Liaison Officer (RLO) -- Individual(s) designated by the PRO to oversee the LM records management program in cooperation with the DOE Records Officer.
- v. Records Schedule -- A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records.

- w. Records Series -- Documents maintained as a collection because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, use, or access.
- x. Temporary Records -- Records approved by NARA for disposal, either immediately or after a specified retention period.
- y. Vital Records -- A record that is essential to satisfy the continued operation or recovery of an organization during and after an emergency or a record required to protect the rights of the Federal government and any individual affected by Federal government activities. Vital records considerations are part of DOE's Emergency Management Program.

5. QUALITY CONTROL. The RLO ensures compliance with applicable laws, regulations, and DOE requirements.

6. RESPONSIBILITIES.

- a. The PRO is responsible for:
 - Ensuring personnel are appropriately informed about records management and their responsibilities concerning record creation, maintenance, use, and disposition.
 - Designating personnel to implement the LM File Plan at each geographic location as appropriate.
- b. The RLO is responsible for:
 - Ensuring the LM File Plan is updated and made available in the LM ERKS and on the LM portal.
 - Providing LM employees with answers to questions regarding the LM File Plan and adding new records series into the File Plan when a new record does not fit into an existing series.
 - Ensuring that LM-maintained inactive records are properly dispositioned.
- c. Records Coordinators are responsible for:
 - Ensuring that all records material is filed in established site central filing stations or ERKS in a timely manner.
 - Ensuring that records are dispositioned properly at the end of each fiscal year or at other times, if necessary.

- Answering staff questions on records management issues and conferring with the RLO if necessary to gather additional information.
- d. LM personnel are responsible for maintaining the records in their work areas, ensuring that records in their custody are provided to the Records Coordinators for filing, and for consulting with the RLO when guidance is needed on records-related issues.

7. TRAINING REQUIREMENTS. The RLO ensures that LM personnel are properly trained in use of the File Plan.
8. DOCUMENT CONTROL. None
9. PROCEDURE.

The File Plan process is illustrated in the flowcharts in Attachments A. and B.

a. Electronic Records

(1) LM personnel:

- (a) Review each electronic document created or received to determine whether it is record or nonrecord material. Attachment C. provides additional information to help determine if a document is a record. LM personnel consult with the Records Coordinator if they are unsure of a document's record status.
- (b) Maintain nonrecord electronic material and personal documents separately from record material. LM personnel may maintain nonrecord electronic documents on a local drive or may e-mail them to a Records Coordinator with a request that they be placed in a public folder in the LM ERKS.
- (c) E-mail electronic documents identified as records to a Records Coordinator using the appropriate address for that location:
 - rc-mound@lm.doe.gov
 - rc-fernald@lm.doe.gov
 - rc-morgantown@lm.doe.gov
 - rc-washington@lm.doe.gov
 - rc-grand.junction@lm.doe.gov
 - rc-rocky.flats@lm.doe.gov
 - rc-nevada@lm.doe.gov

Personnel-related and sensitive documents are sent to a dedicated human resources address (rc-hr@lm.doe.gov).

The record submittal e-mail should include:

- The electronic document in its native format (e.g., .doc for Microsoft Word documents, .xls for Microsoft Excel spreadsheets);
- A brief description or necessary metadata to provide context for the information; and
- A proposed LM File Plan code for the document. The current version of the LM File Plan is available on the LM Intranet. Attachment D. provides a File Plan overview.

(2) The Records Coordinator:

- (a) Converts each document received in the “rc” mailbox to an archival quality PDF file. Any related attachments or signature pages received are merged into the PDF file.
- (b) Saves the PDF to the LM ERKS, using the appropriate file code and entering necessary metadata to complete the record profile. The Records Coordinator consults with the RLO if it appears that a new file code is needed to accommodate the record.
- (c) Notifies the LM personnel who submitted the record when it is entered and available in the LM ERKS. In the notification e-mail, the Records Coordinator confirms the file code assigned to the record.

b. Hardcopy Records

(1) LM personnel:

- (a) Review each document created or received to determine whether it is record or nonrecord material. Attachment C. – What is a record? provides additional information to help personnel determine if a document is a record.
- (b) Maintain nonrecord material and personal documents separately from record material. Elimination of nonrecords from the organization’s hardcopy records collection reduces retention expense.
- (c) Compare the informational content of the document with the document descriptions in the LM File Plan to determine the appropriate file code. A read-only version of the LM File Plan is available on the LM Intranet, and Attachment D. provides a File Plan overview. LM personnel consult with

the Records Coordinator or RLO if it appears that a new file code is needed to accommodate the record.

- (d) Contact their Records Coordinator with questions concerning whether a document is a record, which file code should be used, or how to handle special record categories or formats.
- (e) Prepare the document for filing by completing the following:
- 1 Write the file code number in the upper right-hand corner of the document or underline the file code number if it is already present on the document.
 - 2 Destroy any duplicate copies to reduce record maintenance costs.
- (f) Forward the document to a Records Coordinator.
- (2) The Records Coordinator:
- (a) Follows the prescribed filing arrangement for the type of records retained. If there is no prescribed arrangement for a particular record type, use a filing arrangement that permits ease of filing and retrieval and makes the use of special indexing systems unnecessary. The six common filing arrangements are:
- Numerical – Arranging files by number. This is often used for contracts, grants, and purchase orders.
 - Chronological – Arranging files by date sequence. This is a useful method for keeping documents in small, manageable groups, usually by year, month, and day. Transitory, reading, and suspense files are usually arranged chronologically.
 - Geographical – Arranging files by geographical location, such as region, state, or county. A geographical arrangement is appropriate when location is the primary means of reference. Files are arranged in alphabetical sequence first by the name of the main geographical division, such as a state, and then by the next subdivision, such as the county.
 - Organizational – Arranging files alphabetically by organization. The organizational arrangement is most appropriate when the grouping of documents by the name of the pertinent organization is the primary means of reference.

- Alphabetical – Arranging files in alphabetical sequence by name of persons, companies, and organizations. Different types of alphabetical subdivisions can be used depending on the volume of names in the alphabetical collection.
 - Subject – Arranging files in groupings by subject when the subject is the primary means of reference.
- (b) Maintains a file folder for each file code for which there are records. Arranges folders in the exact sequence in which that subject appears in the LM File Plan. Each file should have a typed label that includes the file code number, series title or subtitle line, and a fiscal year reference if appropriate.
- (c) Organizes the filing drawers and cabinets used to store file folders. The following measures should be used to organize the file drawers:
- Arrange files front to back in each drawer and from top drawer to bottom in each filing cabinet.
 - Label each drawer to indicate what files, subjects, or names are filed there.
 - Do not overcrowd drawers. Leave room within each drawer to add additional documents and for working space to search and access files.
 - Store non-standard size records as a separate group due to size or physical characteristics. Non-standard size records include films, tapes, cartographic materials and drawings, computer printouts, and photographs. Contact the RLO for specific guidance for storing non-standard size records.
- (d) Reviews LM hardcopy records collections regularly to ensure that only appropriate active records are retained in the active record files. To accomplish this the Records Coordinator:
- Cleans out files regularly, typically at the end of the fiscal year, or more often if files accumulate rapidly. Removes files from the active files in accordance with the appropriate cutoff date. Transfers these documents to inactive storage and merges the documents with the rest of the documents from that series or collection.

- Identifies temporary records no longer needed to conduct current business. LM Procedure 200.2-2, Processing Inactive Records provides instructions for the disposition of inactive records.

10. ATTACHMENTS.

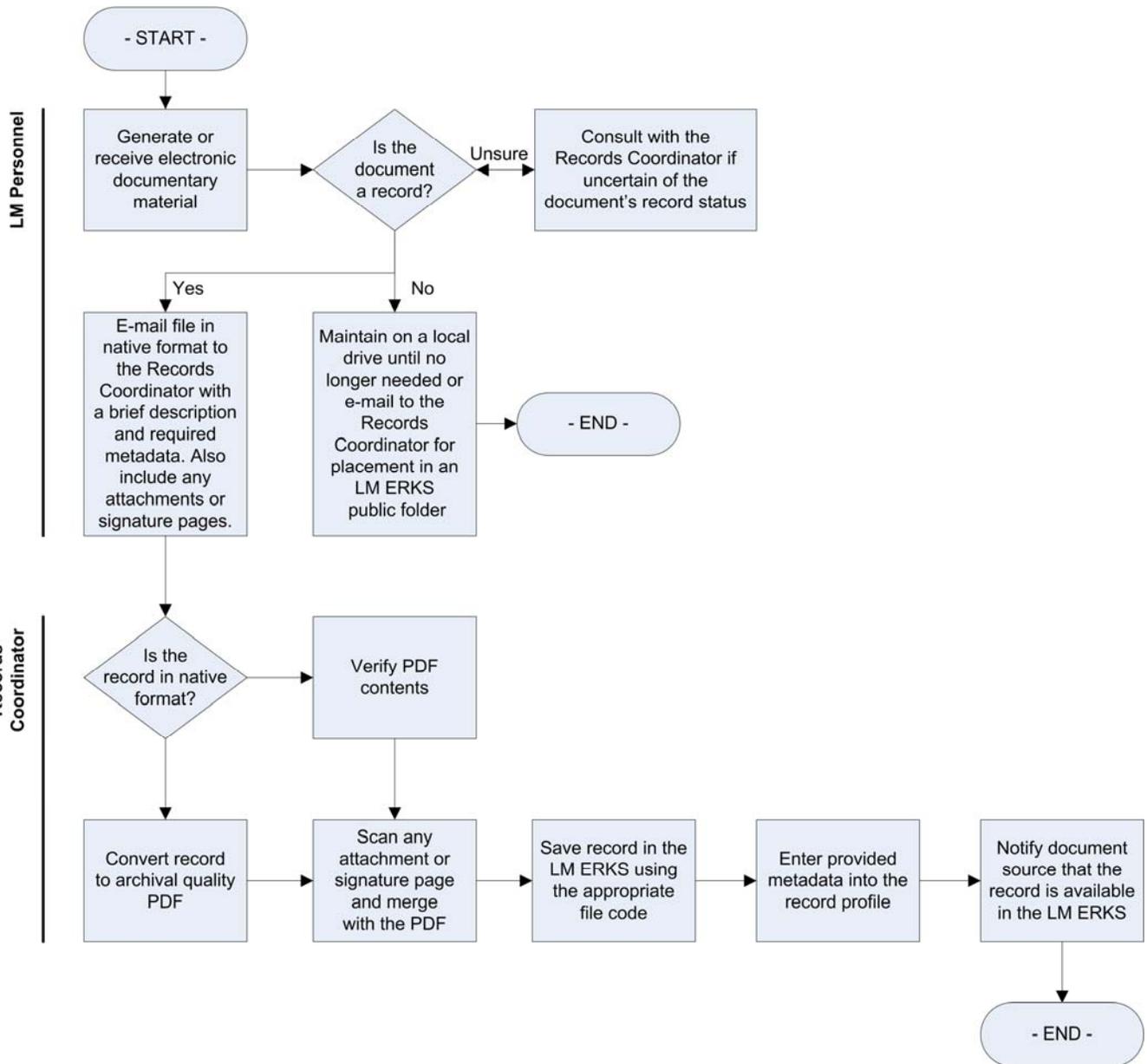
- a. Attachment A. – Electronic Records Flowchart
- b. Attachment B. – Hardcopy Records Flowchart
- c. Attachment C. – What is a record?
- d. Attachment D. – File Plan Description

Approved: Original signed by Barbara McNeal 1/26/09
Director
Office of Business Operations

Distribution: As required

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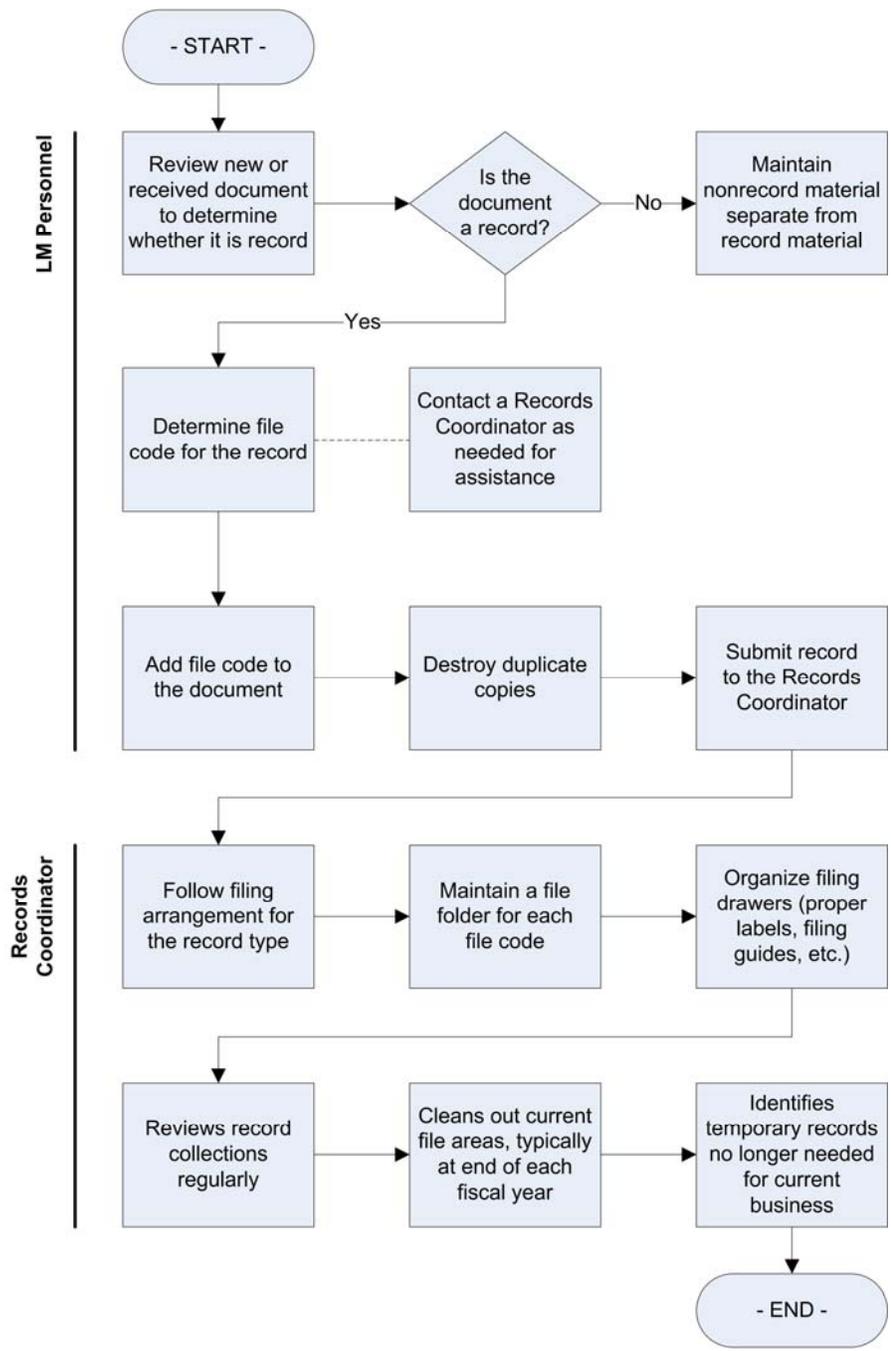
Attachment A. – Electronic Records Flowchart



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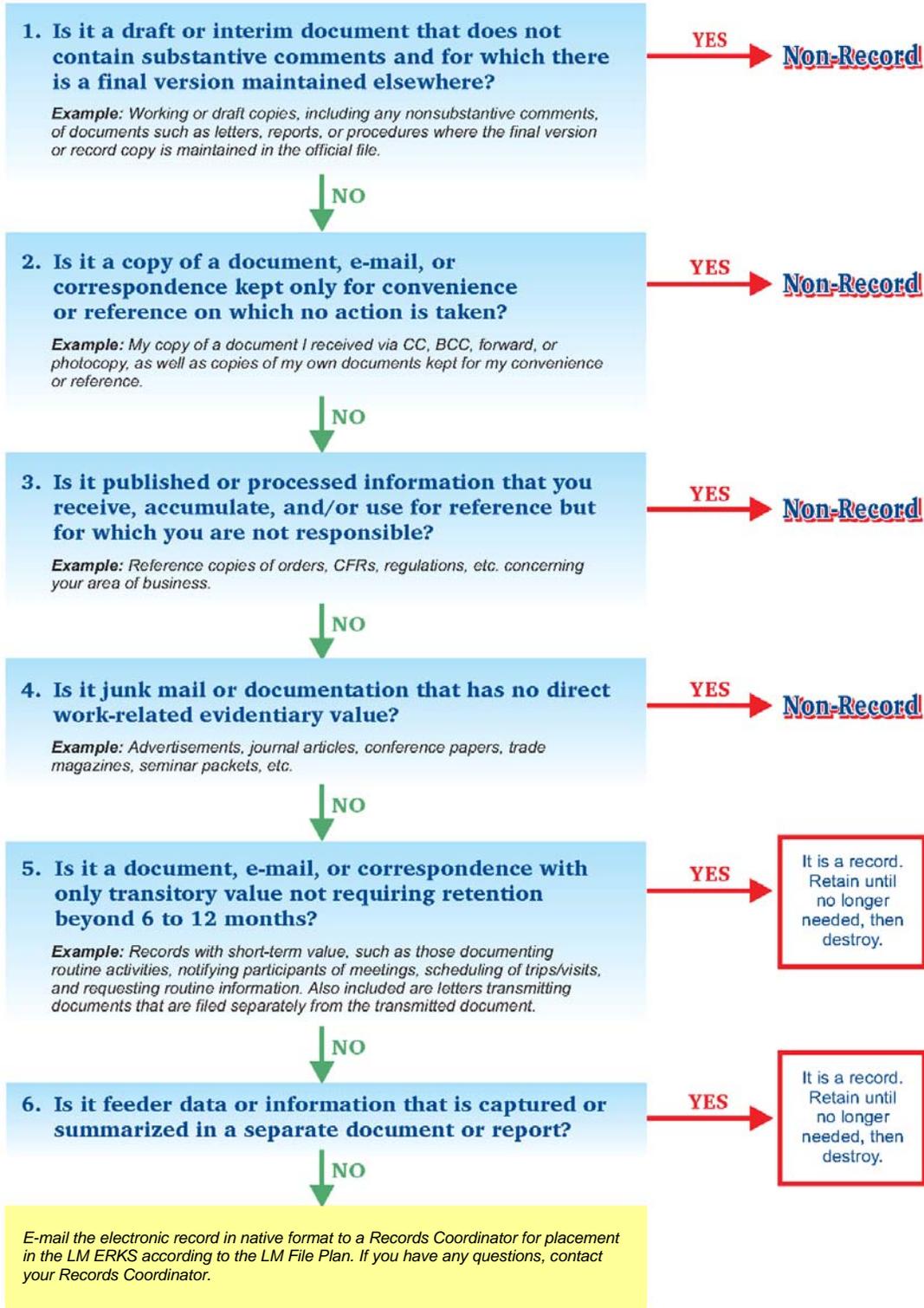
Attachment B. – Hardcopy Records Flowchart

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Attachment C. – What is a record?

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Attachment D. – File Plan Description

The File Plan

The Legacy Management (LM) File Plan is a living document, or tool, to assist LM offices in managing records. The File Plan is arranged under headings listing broad LM functions. Individual record series relating to that function are listed within each functional group.

Personnel with records management responsibilities may need to follow more than one file plan. Records created by LM personnel are managed according to the LM File Plan, which is available on the LM Intranet. Records inherited from a closure site are maintained according to the closure site’s own file plan.

7/13/2007 Legacy Management Administrative File Plan 1 of 23						
File Code	Description	Disposition Authority	Retention	Forward to Your Local Central File	Transfer to Inactive Storage	Volume Cu. Ft.
Site-Specific Files						
	Documents pertaining to specific sites for which LM is responsible and site-specific historical/legacy documents of which LM assumes custody are included in site-specific file plans located in the Hummingbird Records Management System. They are not included in the Legacy Management Administrative File Plan.					
Management Administration						
0005	Administrative Procedures, Plans, Policies, Practices, and Other Guidance Documents – pertaining to administrative functions, i.e. overall management, budgets, personnel, supply and similar housekeeping activities. (Technical and Transition Site documents are filed under Site Transition function 1605.05).					
0005.05	Record Copy and Approvals	ADM-23.1.a	Destroy when superseded, obsolete, or 2 years old, whichever is later.	Upon document creation/receipt	Do Not transfer to storage.	
0005.10	Master Copy (electronic or hard copy)	ADM-23.1.a	Destroy when superseded or obsolete.	Retain in Office	Do Not transfer to storage.	
0005.15	Review Comments	ADM-23.1.a	Destroy when superseded, obsolete, or no longer needed.	Retain in Office	Do Not transfer to storage.	
0010	Correspondence					
0010.05	<u>Important</u> — Correspondence documenting the development and overall implementation and administration of functions pertaining to the mission of LM as well as opinions and decisions that set precedents. (These files are generally found in the offices of the director or senior staff.)	ADM-16.1.5.a	Permanent Cut off at the end of each fiscal year.	Upon document creation/receipt	3 years after cutoff	
0010.10	<u>General</u> — Correspondence documenting the day to day operations and routine administration of LM.	ADM-16.1.5.b, ^{FR}	Cut off at the end of each fiscal year. Destroy 15 years after cutoff.	Annually as File Folder	3 years after cutoff	
0010.15	<u>Short-Term</u> — Records of short-term interest with minimal or no documentary or evidential value.	ADM-23.7	Normally 3 months to 1 year or when no longer needed	Retain in Office	Do Not transfer to storage.	

Figure 1, File Plan Example

Using the LM File Plan

Once a record is matched to a description in the LM File Plan, the record holder can then determine the corresponding elements:

- **File Code** – This is the identification number used to organize record collections. From Figure 1 above, a document identified as important correspondence should be given the file code number 0010.05.
- **Disposition Authority** – Citation from the U.S. Department of Energy (DOE) Admin Schedule that provides retention guidance to individual DOE organizations.

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- Retention – States how long documents in that record category must be maintained. In the example in Figure 1, File Code 0010.05 has a permanent retention requirement.
- Transfer Instructions – The fifth and sixth columns of the File Plan provide instruction on where records from each file code should be stored.
- Volume – The LM File Plan lists the current estimated LM volume of similar documents.

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